

Senior managers and certification regime: Certification regime

## Chapter 27

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## 27.1 Application and purpose

### Application

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- 27.1.1 **R** This chapter applies to an *SMCR firm*, except those excluded from this chapter by **SYSC 27.6** (Other exclusions).
- 27.1.2 **G** This chapter is also relevant to *employees* of *SMCR firms* performing functions specified as *FCA certification functions*.

### Purpose

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- 27.1.3 **G**
  - (1) This chapter is about the *FCA's* certification regime.
  - (2) Under this regime, a *firm* should ensure that its employees only perform an *FCA certification function* if they have a certificate issued by that *firm* to perform that function.
  - (3) The purpose of this chapter is to specify '*FCA certification functions*' and to give *guidance* on the *FCA's* certification regime.