

Chapter 4

British Steel Consumer Redress Scheme

Form of Attestation for use of FCA DBAAT

I [name] of [firm] attest on [date] that:

- (1) I have read the BSPS Consumer Redress Scheme *rules* in CONRED 4 and in particular the BSPS DBAAT instructions at CONRED 4 Annex 21R;
- (2) I am approved to perform the SMF16 (Compliance oversight) *FCA controlled function* for the *firm* or [another appropriate *senior management function*] within the *firm*;
- (3) I have reviewed the completed FCA DBAAT in light of the *rules* for the BSPS DBAAT referred to in (1);
- (4) where applicable, the completed FCA DBAAT has been amended as a consequence of applying the rules referred to in (1);
- (5) where the FCA DBAAT information section rating was 'non-compliant – unclear' or 'non-compliant – proceed to suitability assessment', the *firm* has taken the steps in CONRED 4.3.5R and has assessed the case in accordance with the *rules, evidential provisions* and *guidance* in CONRED 4.3.2R to CONRED 4.3.4R, CONRED 4.4.12G and CONRED 4.3.13G (or took equivalent steps previously); and
- (6) in my view, the *firm* would have come to the same conclusion (that the advice was suitable, unsuitable or a rating of 'not-compliant – unclear' (as applicable)) if it had used the BSPS DBAAT.

Signed: