

Supervision

Chapter 10A

FCA Approved Persons



10A.4 Specification of functions

10A.4.1 **R** Each of the functions described in **■ SUP 10A.4.4 R** (the table of FCA controlled function) is an *FCA controlled function*.

10A.4.2 **R** The *table of FCA controlled functions* applies in relation to an *FCA- authorised person*. It also applies in relation to an *appointed representative* for the purposes of **■ SUP 10A.1.15 R** to **■ SUP 10A.1.16BR** (Appointed representatives) whether its *principal* is an *FCA- authorised person* or a *PRA- authorised person*.

10A.4.2A **G** [deleted]

10A.4.3 **G** The fact that a *person* may be *FCA- approved* for one purpose does not have the effect of bringing all his activities within that *FCA controlled function*.

10A.4.4 **R** FCA controlled functions

(FCA controlled functions for FCA- authorised persons and appointed representatives)

Type	CF	Description of FCA controlled function
<i>FCA governing functions*</i>	1	<i>Director function</i>
	2	<i>Non-executive director function</i>
	3	<i>Chief executive function</i>
	4	<i>Partner function</i>
	5	<i>Director of unincorporated association function</i>
	6	<i>Small friendly society function</i>
<i>FCA required functions*</i>	8	<i>Apportionment and oversight function</i>
	10	<i>Compliance oversight function</i>
	10A	<i>CASS operational oversight function</i>
	11	<i>Money laundering reporting function</i>
	28	<i>Systems and controls function</i>
<i>Significant management function*</i>	29	<i>Significant management function</i>

(FCA controlled functions for FCA-authorized persons and appointed representatives)

Type	CF	Description of FCA controlled function
<i>Customer-dealing function</i>	30	<i>Customer function</i>
<i>*FCA significant-influence functions</i>		