

## Chapter 22

# Regulatory references

## 22.3 Drafting the reference and the request for a reference

### How to draft the reference

22.3.1 **G** There are no requirements about the form in which a *firm* that is not an *SMCR firm* should give a reference.

22.3.2 **G** ■ SYSC 22.4 has requirements about the form in which an *SMCR firm* should give a reference.

### How to draft the request for a reference

22.3.3 **G** (1) A *firm* (A) asking another *firm* (B) for a reference should give B sufficient information to let B know that the requirements in this chapter apply to the reference it is being asked to give and which requirements apply.

(2) As long as it complies with (1), A does not have to set out specifically the information this chapter requires it to obtain. This is because B should include that information even though B is not specifically asked to include it.

22.3.4 **G** A *firm* asking for a reference under this chapter from a current or former *employer* that is not a *firm* will normally need to specify what information it would like.

### Inclusion of additional material

22.3.5 **G** (1) This chapter sets out minimum requirements for a reference. It does not prevent a *firm* from including more than is required by this chapter.

(2) If a *firm* does disclose more than is required by this chapter the reference should still meet its duties under general law to its former *employee* and the recipient (see ■ SYSC 22.5.3G to ■ SYSC 22.5.5G).

22.3.6 **G** Nothing in this chapter prevents a *firm* from disclosing material outside the time limits under this chapter.