

Conduct Rules Case Studies

Business Function:	Operations / customer facing	Risk, compliance and financial crime	Dealing and asset management	Change / project management	HR, recruitment, L&D and training	Marketing and internal comms	Finance/Accounts, Legal, Facilities and IT	SMFs, SMRs, certified, material risk takers
Job Roles below selectable under more than one Business Function								
Job/ Role:	Customer service advisers, claims advisers, training roles and line managers	Compliance roles and business development	Dealers and their managers, treasurers, brokers and desk heads	Material risk takers, certificated roles and change	Employee line managers and HR/recruitment	Product teams, marketing and MRTs	Finance/accounts, legal, facilities and IT*	Senior managers Conduct Rule scenario including certificated individuals
	New customer onboarding	Fraud and financial crime teams	Benchmark submission and administration, and proprietary trader	-	Learning and development / Training roles	Heads of Compliance, risk managers, Chief Risk Officers, business development and marketing	-	SMF 18 Roles of significant responsibility
	Underwriters and managers of underwriters	MLRO and deputy, compliance and risk	Fund managers, analysts (including SMRs and CRs), compliance and risk	-	Customer service advisers, claims advisers, training roles and line managers	-	-	MLRO and deputy, compliance and risk
	Department managers, material risk takers and actuarial	Heads of Compliance, risk managers, Chief Risk Officers, business development and marketing	-	-	-	-	-	Heads of Compliance, risk managers, Chief Risk Officers, business development and marketing
	Advice, investment and all roles to which TC rules apply	Fund managers, analysts (including SMRs and CRs), compliance and risk	-	-	-	-	-	Fund managers, analysts (including SMRs and CRs), compliance and risk
	Mortgage advisers and mortgage adviser line managers	-	-	-	-	-	-	Material risk takers, certificated roles and change
	Compliance roles and business development (including internal audit)	-	-	-	-	-	-	Department managers, material risk takers and actuarial
	Dealers and their managers, treasurers, brokers and desk heads	-	-	-	-	-	-	Product teams, marketing and MRTs
	Benchmark submission and administration, and proprietary trader	-	-	-	-	-	-	-
	Fund managers, analysts (including SMRs and CRs), compliance and risk	-	-	-	-	-	-	-
Employee line managers and HR/recruitment	-	-	-	-	-	-	-	
Product teams, marketing and MRTs	-	-	-	-	-	-	-	