

Jonathan Smith & Partners
Statements of Responsibility (SoR)
CORE FIRMS

Senior Managers & Certification Regime

Statement of Responsibility

Senior management function	Description of senior management function	Tick SMF applied for or held					Effective Date
		Core Firms				Enhanced SMCR firms	
		Limited scope SMCR firms	UK core SMCR firms	EEA core SMCR firms	Third country branches		
SMF 16	COMPLIANCE OVERSIGHT	X	☐	☐	☐	☐	09/12/2019
SMF 17	MONEY LAUNDERING REPORTING OFFICER	X					09/12/2019
SMF 29	LIMITED SCOPE FUNCTION	X					09/12/2019

Prescribed Responsibilities

Ref	Prescribed Responsibility (Applicable to UK Core SMCR Firms)	Does this prescribed responsibility apply?	Is the prescribed responsibility shared?
a	Responsibility for the firm's performance of its obligations under the senior managers regime	Yes	No
b	Responsibility for the firm's performance of its obligations under the employee certification regime	No	n/a

Other Responsibilities

Please provide title for this other responsibility	Please provide further details of this other responsibility	Is the responsibility shared? If yes, please provide; Name(s), job title and IRN of who you are sharing this with (where known)
Mortgage sales and advice	Responsible for all aspects of mortgage advice and sales apart from mortgages on commercial properties	No
Customer Service	Responsible for providing services to existing mortgage customers, including responses to queries and processing alterations to existing mortgages, liaising with providers as necessary. This includes mortgages on commercial properties.	No
Business Upgrade	Responsible for the business change programme 'Labyrinth'. Labyrinth is a project upscaling the mortgage unit, ending in August 2020	No

Other Information

I am a Sole Trader Mortgage Broker and transact residential and buy to let mortgages. I am the only FCA registered individual at my premises where I work from home. I have one part time administrator