

# Dentons Ongoing SMCR Compliance Support Menu and pricing

A. Gap analysis review	Price
High level paper-based review of compliance with key SMCR requirements including allocation of responsibilities, categorisation of staff, appropriate documentation. Legally privileged summary report on compliance with RAG status according to priority of issue.	
Limited Scope firm	£3,000
Core Scope firm	£5,000
Enhanced Scope firm /bank /insurer	Price on request
B. Compliance deep dive review	Price
Detailed review of SMCR compliance, with bespoke scope according to firm's risk exposure and perceived level of existing compliance. Legally privileged report with prioritised recommendations for addressing gaps and enhancing compliance.	Price on request
C. Certification process review	Price
Review and advice on the route to having a compliant and workable process for conducting the annual assessment of fitness and propriety of certified persons and issuing certificates. Will include review of existing policies and processes and assessment framework and recommending amendments and/or new documents.	£5,000-£15,000
D. Employment document review	Price
Review of existing employment documents including contracts of employment, director appointment letters, code of conduct, staff handbook and settlement agreement for SMCR compliance. If these documents do not exist or have not been updated for SMCR compliance, see our SMCR Toolkit.	£2,500-£7,500
E. Disciplinary / conduct rule breach reporting advice	Price
Advice on annual requirement to report to FCA disciplinary action resulting from conduct rule breaches. Will include advice on required oversight by CEO or other prescribed responsibility holder, data gathering and validation, scope of reporting requirement, required level of detail for completion of Form H by the October deadline.	£2,500-£7,500
F. SMCR employee incident management support	Price
Support and advice from regulatory and employment lawyers on serious performance or conduct issues affecting employees subject to the SMCR. May include investigating the factual background, advising on disciplinary process, and advising on regulatory obligations around FCA reporting, settlement agreements and regulatory references.	Price on request

## NOTES

- Where a single price appears in the above table this is a proposed fixed fee subject to agreement on scope of work. Where a range appears this indicates a likely fee band rather than an estimate. We can provide an estimate or agree a fixed fee on agreement of scope.
- In addition to the list above we can assist with advice on all aspects of SMCR. We would be happy to discuss different pricing models for additional advice.
- Please see our SMCR Toolkit menu for details of our individually priced SMCR templates and guidance documents. We can also draft or review policies which are bespoke to your firm.
- If you have particular areas of interest and/or a particular budget we can work with you to prioritise and come up with an optimal mix of advice, templates and drafting to meet your aims within your budget.
- Prices listed are exclusive of VAT.