

As a business regulated by the Financial Conduct Authority (FCA) under the Financial Services and Markets Act (FSMA), you have a duty to comply with the Senior Managers and Certification Regime (SM&CR). You are responsible for ensuring that appropriate pre-employment screening and annual re-screening checks are conducted to confirm your staff are deemed “fit and proper.”

Checks Included:



ID Verification

Mitigate the risk of fraud and identity theft for your business while meeting legal and regulatory requirements by verifying the true identities of individuals.



FCA Regulatory Reference

Ensure your candidate meets the regulatory requirements for roles within the financial services industry, protecting your company from legal and regulatory risks. Verifying a candidates professional standing and integrity ensures they are fit and proper to carry out their duties in a regulated environment.



Qualification Checks

Validating the candidates necessary qualifications and professional memberships required for the role, ensuring they are competent and legally allowed to perform their duties.



FCA Register

Confirm your candidates are financially responsible and poses no risk of misconduct or mismanagement. This safeguards the company's financial integrity, minimises the risk of fraud or embezzlement, and ensures that employees in key financial positions are trustworthy and dependable.



Criminal Record

Protect your company's reputation and safety by ensuring that employees do not have a criminal background that deems them unsuitable for the role you are recruiting for. Maintain a safe and trustworthy work environment, ensuring you comply with legal and regulatory requirements and mitigating risks associated with hiring individuals with a criminal history.



Financial Check

Confirm your candidates are financially responsible and poses no risk of misconduct or mismanagement. This safeguards the company's financial integrity, minimises the risk of fraud or embezzlement, and ensures that employees in key financial positions are trustworthy and dependable.



Directorship

Assess any potential risks associated with hiring candidates, such as a history of legal issues that may affect their suitability for the position. This ensures you can make informed hiring decisions by confirming the candidate's background won't lead to future legal challenges to harm your company's reputation.



Internet Mining (Recommended)

Conduct a comprehensive vetting process by uncovering any publicly available information that may signal potential risks, such as controversial statements, questionable behaviour or ties to extremist groups. This ensures you make informed decisions, safeguarding the company's reputation, ensuring workplace safety and verifying the overall integrity of the candidate.



Activity Gap Analysis

Confirm your candidate's reported history and to identify any periods of unemployment, travel, or other activities that need to be explained. This provides a complete and accurate profile of your candidate, reducing the risk of hiring someone with undisclosed activities or gaps that could impact their suitability for the role. Any gaps exceeding 31 days will be fully investigated to ensure a thorough review.



Sanctions Check

Avoid potential fines and legal issues by ensuring your candidate does not pose a risk to your company's reputation or operation. Maintain a compliant and ethical business environment and comply with legal and regulatory requirements by verifying that no employees are involved in sanctioned activities or associations.