



# **FCA Register**

## **Senior Management Function Changes**

### **August 2021**



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## Executive Summary

### Appointments

There were 506 new Senior Manager Function appointments made during the month.

120 of these were Executive Directors and there were 82 new Money Laundering Reporting Officers and 83 new Compliance Oversight appointments.

41 new Chief Executives shows a significant number of firms recruiting new leadership.

	AR of Investment/Capital Management	Banking - Investment (only)	Banking - Retail & Investment	Banking - Retail (only)	Building Society	Collective Investment Provider	DFM/Stockbroker	Holistic Financial Planner	Investment/Capital Management	Life/ Pension/ Annuity Provider	Mortgage (only) Broker	Mortgage Event Advisor	Lender	Other Mortgage	Wealth Manager	Wealth/Investment Advisor	Total
SMF1 Chief Executive			1	4		7	1	1	15	3		3	3	2	1		41
SMF10 Chair of the Risk Committee		1	2	2			1		1								7
SMF11 Chair of the Audit Committee		1	1	2			1										5
SMF12 Chair of the Remuneration Committee				6	1		1		2								10
SMF13 Chair of the Nominations Committee				1			1		3	2							7
SMF14 Senior Independent Director				1													1
SMF16 Compliance Oversight				3		18	1	10	30			6	1	3	11		83
SMF17 Money Laundering Reporting Officer (MLRO)			1	3		15	1	14	31			3	1	2	11		82
SMF18 Other Overall Responsibility		1	2	3		1	6	2	2	1				1			19
SMF2 Chief Finance			1	1	1		1			3		1	4				12
SMF21 EEA Branch Senior Manager (EBSM)		1	2			3											6
SMF22 Other Local Responsibility				4													4
SMF24 Chief Operations		1	3	7	1		2		1	1			1				17
SMF27 Partner						18		3	16						7	8	52
SMF3 Executive Director	1			1	2	21	3	20	37	1		5	1	4	24		120
SMF4 Chief Risk				5	1		1										7
SMF5 Head of Internal Audit				2	1	1					1						5
SMF6 Head of Key Business Areas		1															1
SMF7 Group Entity Senior Manager			4	3					4	3							14
SMF9 Chair of the Governing Body				2		6			2	1			1	1			13
<b>Total</b>	<b>1</b>	<b>6</b>	<b>17</b>	<b>50</b>	<b>7</b>	<b>90</b>	<b>20</b>	<b>50</b>	<b>144</b>	<b>15</b>	<b>1</b>	<b>18</b>	<b>12</b>	<b>20</b>	<b>55</b>		<b>506</b>

## Terminations

There were 327 terminations during the month, spread across all the functions.

	Banking - Retail & Investment	Banking - Retail (only)	DFM/Stockbroker	Holistic Financial Planner	Life/ Pension/ Annuity Provider	Mortgage (only) Broker	Other Mortgage Lender	Wealth Manager	Wealth/Investment Advisor	Investment/Capital Management	(blank)	Collective Investment Provider	Mortgage Event Advisor	Banking - Investment (only)	Building Society	Total
SMF1 Chief Executive	2	3		1	1	1	4	1		8		2	1			24
SMF10 Chair of the Risk Committee	1	1														2
SMF12 Chair of the Remuneration Committee		1														1
SMF16 Compliance Oversight		3		19		1		3	7	17		15	1			66
SMF17 Money Laundering Reporting Officer (MLRO)		1		17		2		3	8	18		12	2	1		64
SMF18 Other Overall Responsibility	5	3	1		1	1		1								12
SMF3 Executive Director		1	1	12	4	4	1	1	11	42		10	5			92
SMF7 Group Entity Senior Manager					1		1			1			2			5
SMF11 Chair of the Audit Committee		1					2									3
SMF9 Chair of the Governing Body			1	1	1			2		4		1		1	1	12
SMF4 Chief Risk	1	3								1				1		6
SMF13 Chair of the Nominations Committee										1						1
SMF19 Head of Overseas Branch/Head of Overseas		2														2
SMF2 Chief Finance	2	1	1		1		1			1						7
SMF21 EEA Branch Senior Manager (EBSM)														1		1
SMF24 Chief Operations	3															3
SMF27 Partner				3				1	2	5		8				19
SMF5 Head of Internal Audit		1	1			1	1					1				5
SMF6 Head of Key Business Areas		1												1		2
<b>Total</b>	<b>14</b>	<b>22</b>	<b>5</b>	<b>53</b>	<b>9</b>	<b>10</b>	<b>10</b>	<b>12</b>	<b>28</b>	<b>98</b>		<b>49</b>	<b>11</b>	<b>5</b>	<b>1</b>	<b>327</b>

With 506 appointments and 327 terminations, there was an increase of 179 roles over the month showing the resilience of the sector as we emerge from the worst impacts of Covid 19.

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# 1. Banking, Building Society and Mortgage Lender

## 1.1. New Appointment

- The individuals below have had a Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
Andrews, Robert	The Dominion Insurance Company Limited	BR6 0NX	202112	Banking - Retail (only)	SMF1 Chief Executive	31/08/2021	6	<1
Andrews, Robert	Trent Insurance Company Limited	BR6 0NX	202770	Banking - Retail (only)	SMF1 Chief Executive	31/08/2021	6	<1
Aziz, Rishad	Nedbank Private Wealth Limited	EC4R 9AB	313189	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	16/08/2021	<1	<1
Baker, Andrew	Bank of Ireland (UK) Plc	BS1 6DX	512956	Banking - Retail (only)	SMF5 Head of Internal Audit	26/08/2021	6	<1
Baker, Richard	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF24 Chief Operations	24/08/2021	<1	<1
Bennett, John	PT Bank Negara Indonesia (Persero) Tbk	EC2V 8AG	204622	Banking - Retail (only)	SMF16 Compliance Oversight	26/08/2021	4	4
Bennett, Wei	China Construction Bank Corporation London Branch	EC2N 1AP	652628	Banking - Retail (only)	SMF4 Chief Risk	23/08/2021	<1	<1
Bottomley, Andrew	Skipton Building Society	BD23 1DN	153706	Building Society	SMF24 Chief Operations	24/08/2021	15	5
Bowen, Gemma	Principality Building Society	CF10 3FA	155998	Building Society	SMF5 Head of Internal Audit	16/08/2021	<1	<1
Broadbent, David	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF2 Chief Finance	24/08/2021	4	<1
Butler, Nancy	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF18 Other Overall Responsibility	24/08/2021	<1	<1
Cannon, David	Morgan Stanley Bank International Limited	E14 4QA	195430	Banking - Retail & Investment	SMF11 Chair of the Audit Committee	17/08/2021	8	8
Cannon, David	Morgan Stanley & Co. International Plc	E14 4QA	165935	Banking - Investment (only)	SMF11 Chair of the Audit Committee	17/08/2021	8	8
Chaudhary, Vivek	Bank of Baroda	EC1Y 2BD	204624	Banking - Retail (only)	SMF22 Other Local Responsibility	26/08/2021	<1	<1
Churchouse, Robin	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	24/08/2021	15	<1
Churchouse, Robin	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF10 Chair of the Risk Committee	24/08/2021	15	<1
Churchouse, Robin	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF13 Chair of the Nominations Committee	24/08/2021	15	<1
Connell, Michael	Alpha Bank London Limited	EC4N 7BL	135327	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	<1
Corlett, Lesley	Nedbank Private Wealth Limited	EC4R 9AB	313189	Banking - Retail (only)	SMF16 Compliance Oversight	23/08/2021	19	<1
Cotes, Nicola	Santander UK Plc	NW1 3AN	106054	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	10/08/2021	<1	<1
Cripps, Catherine	Goldman Sachs International Bank	EC4A 4AU	124659	Banking - Retail & Investment	SMF10 Chair of the Risk Committee	09/08/2021	17	2
Cripps, Catherine	Goldman Sachs International	EC4A 4AU	142888	Banking - Investment (only)	SMF10 Chair of the Risk Committee	09/08/2021	17	2
Cummine, Ian	Initial Finance Limited	HD1 1RL	661151	Other Mortgage Lender	SMF3 Executive Director	26/08/2021	16	<1
Dalton, Andrea	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF18 Other Overall Responsibility	24/08/2021	<1	<1
Davis, Richard	Vanquis Bank Limited	EC3M 3BY	221156	Banking - Retail (only)	SMF24 Chief Operations	11/08/2021	19	<1
Diop, Mbar	Citibank, N.A.	E14 5LB	124704	Banking - Retail (only)	SMF22 Other Local Responsibility	26/08/2021	14	9
Diop, Mbar	Citigroup Global Markets Limited	E14 5LB	124384	Banking - Investment (only)	SMF18 Other Overall Responsibility	26/08/2021	14	9
Emerson, Ronald	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF9 Chair of the Governing Body	24/08/2021	<1	<1
Gavin, David	Cynergy Bank Limited	N14 5BU	575105	Banking - Retail (only)	SMF4 Chief Risk	02/08/2021	3	<1
Gledhill, David	Bank of Scotland plc	EH1 1YZ	169628	Banking - Retail & Investment	SMF24 Chief Operations	23/08/2021	<1	<1
Gledhill, David	Lloyds Bank PLC	EC2V 7HN	119278	Banking - Retail & Investment	SMF24 Chief Operations	23/08/2021	<1	<1
Haldane, David	Citibank, N.A.	E14 5LB	124704	Banking - Retail (only)	SMF22 Other Local Responsibility	10/08/2021	19	6
Haldane, David	Citigroup Global Markets Limited	E14 5LB	124384	Banking - Investment (only)	SMF6 Head of Key Business Areas	10/08/2021	19	6

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Haldane, David	Citigroup Global Markets Europe AG	E14 5LB	204827	Banking - Investment (only)	SMF21 EEA Branch Senior Manager (EBSM)	10/08/2021	19	<1
Haldane, David	Citibank Europe plc	E14 5LB	211646	Banking - Retail & Investment	SMF21 EEA Branch Senior Manager (EBSM)	10/08/2021	19	3
Hall, Joanna	The Chorley and District Building Society	PR7 1NZ	206023	Building Society	SMF12 Chair of the Remuneration Committee	19/08/2021	2	2
Harper, Christopher	Secure Trust Bank Plc	B90 4LH	204550	Banking - Retail (only)	SMF4 Chief Risk	05/08/2021	2	<1
Hazell, Deborah	Unity Trust Bank Plc	B1 2JB	204570	Banking - Retail (only)	SMF1 Chief Executive	17/08/2021	14	<1
Heeley, Stephen	Dudley Building Society	DY5 1LN	161294	Building Society	SMF2 Chief Finance	03/08/2021	1	<1
Hodes, Paul	Citibank UK Limited	E14 5LB	805574	Banking - Retail (only)	SMF3 Executive Director	20/08/2021	1	1
Holmes, William	Itau BBA International PLC	EC2M 2AT	575225	Banking - Retail & Investment	SMF10 Chair of the Risk Committee	02/08/2021	19	<1
Hutton, Ewan	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF24 Chief Operations	24/08/2021	<1	<1
Inch, Simon	Stonehaven UK Ltd	EC4N 6EU	435892	Other Mortgage Lender	SMF2 Chief Finance	06/08/2021	1	<1
Jones, Steven	The Stafford Railway Building Society	ST16 2JH	206063	Building Society	SMF3 Executive Director	11/08/2021	17	3
Jones, Steven	The Stafford Railway Building Society	ST16 2JH	206063	Building Society	SMF4 Chief Risk	11/08/2021	17	3
Karofsky, Robert	UBS AG	EC2M 2QS	186958	Banking - Retail (only)	SMF7 Group Entity Senior Manager	05/08/2021	4	4
Kazmi, Mohammad	Charter Mortgages Limited	WV10 6TD	739516	Other Mortgage Lender	SMF17 Money Laundering Reporting Officer (MLRO)	09/08/2021	5	<1
Kazmi, Mohammad	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF7 Group Entity Senior Manager	09/08/2021	5	<1
Kazmi, Mohammad	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF16 Compliance Oversight	09/08/2021	5	<1
Kazmi, Mohammad	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	09/08/2021	5	<1
Kazmi, Mohammad	Charter Mortgages Limited	WV10 6TD	739516	Other Mortgage Lender	SMF16 Compliance Oversight	09/08/2021	5	<1
Kirk, Christopher	Nedbank Private Wealth Limited	EC4R 9AB	313189	Banking - Retail (only)	SMF4 Chief Risk	02/08/2021	2	<1
Laws, Gavin	Union Bank UK Plc	EC2R 7AF	400712	Banking - Retail (only)	SMF11 Chair of the Audit Committee	06/08/2021	7	7
Linwood, David	British Arab Commercial Bank Plc	EC4N 8BJ	204564	Banking - Retail (only)	SMF24 Chief Operations	23/08/2021	1	1
Martel, Marlene	FCE Bank Plc	SS15 6EE	204469	Banking - Retail (only)	SMF9 Chair of the Governing Body	19/08/2021	<1	<1
Mathews, Jasmine	Deutsche Bank AG	EC2N 2DB	150018	Banking - Retail & Investment	SMF2 Chief Finance	04/08/2021	19	<1
McDonald, Patrice	TD Bank Europe Limited	EC2R 8AP	165556	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	05/08/2021	15	6
Murphy, Fergus	Clydesdale Bank Plc	G1 2HL	121873	Banking - Retail (only)	SMF24 Chief Operations	11/08/2021	5	5
Nunn, Charles	Bank of Scotland plc	EH1 1YZ	169628	Banking - Retail & Investment	SMF1 Chief Executive	16/08/2021	3	<1
Nunn, Charles	Lloyds Bank Corporate Markets Plc	EC2V 7HN	763256	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	16/08/2021	3	<1
Oganes, Luis	JPMorgan Chase Bank, N.A.	E14 5JP	124491	Banking - Retail (only)	SMF22 Other Local Responsibility	19/08/2021	7	7
Oganes, Luis	J.P. Morgan Securities plc	E14 5JP	155240	Banking - Retail & Investment	SMF18 Other Overall Responsibility	19/08/2021	7	7
Pepere, Merav	Morgan Stanley & Co. International Plc	E14 4QA	165935	Banking - Investment (only)	SMF24 Chief Operations	09/08/2021	<1	<1
Pepere, Merav	Morgan Stanley Bank International Limited	E14 4QA	195430	Banking - Retail & Investment	SMF24 Chief Operations	09/08/2021	<1	<1
Phizacklea, Joanne	Klarna Bank AB (publ)	WC2B 6NH	536065	Banking - Retail & Investment	SMF17 Money Laundering Reporting Officer (MLRO)	17/08/2021	<1	<1
Priestley, Richard	Stonehaven UK Ltd	EC4N 6EU	435892	Other Mortgage Lender	SMF24 Chief Operations	23/08/2021	9	1
Raybould, Lee	Coventry Building Society	CV1 5QN	150892	Building Society	SMF3 Executive Director	05/08/2021	9	<1
Revuelta, Alicia	TSB Bank plc	EC2V 7JE	191240	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	18/08/2021	19	<1
Roper, David	Atom Bank PLC	DH1 5TS	661960	Banking - Retail (only)	SMF14 Senior Independent Director	03/08/2021	3	3
Sheridan, Stephen	OakNorth Bank plc	W1F 9QS	629564	Banking - Retail (only)	SMF24 Chief Operations	13/08/2021	15	<1
Sheriff, Rizwan	Standard Life Lifetime Mortgages Limited	EH1 2DH	310206	Other Mortgage Lender	SMF9 Chair of the Governing Body	11/08/2021	2	<1
Sheriff, Rizwan	Standard Life Lifetime Mortgages Limited	EH1 2DH	310206	Other Mortgage Lender	SMF2 Chief Finance	11/08/2021	2	<1
Shiliashki, Mario	Crown Agents Bank Limited	SM2 5AS	204456	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	11/08/2021	<1	<1
Simoes, Antonio	Santander UK Plc	NW1 3AN	106054	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	10/08/2021	9	<1
Singh, Kameljit	Deutsche Bank AG	EC2N 2DB	150018	Banking - Retail & Investment	SMF21 EEA Branch Senior Manager (EBSM)	20/08/2021	19	16
Smith, Jan	Reliance Bank Ltd	EC3R 8EB	204537	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	16/08/2021	16	<1
Smith, Jane	Reliance Bank Ltd	EC3R 8EB	204537	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	16/08/2021	19	<1

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<b>Sommers, Richard</b>	Bank of Ireland (UK) Plc	BS1 6DX	512956	Banking - Retail (only)	SMF10 Chair of the Risk Committee	03/08/2021	19	<1
<b>Swift, William</b>	Pearl Group Management Services Limited	B47 6WG	415029	Other Mortgage Lender	SMF2 Chief Finance	03/08/2021	2	<1
<b>Swift, William</b>	Pearl Group Services Limited	B47 6WG	571858	Other Mortgage Lender	SMF2 Chief Finance	03/08/2021	2	<1
<b>Tate, Colin</b>	HAMPDEN & CO PLC	EH2 4DR	606934	Banking - Retail (only)	SMF24 Chief Operations	18/08/2021	2	<1
<b>Thompson, Jonathan</b>	Commercial and Northern Ltd	M1 3LD	848024	Banking - Retail (only)	SMF1 Chief Executive	24/08/2021	13	<1
<b>Ward, Anthony</b>	Bank and Clients PLC	EC2V 8EH	204459	Banking - Retail (only)	SMF12 Chair of the Remuneration Committee	17/08/2021	15	3
<b>Watts, David</b>	CAF Bank Ltd	ME19 4JQ	204451	Banking - Retail (only)	SMF11 Chair of the Audit Committee	23/08/2021	5	<1
<b>Went, Paul</b>	Shawbrook Bank Limited	CM13 3BE	204574	Banking - Retail (only)	SMF18 Other Overall Responsibility	09/08/2021	5	5
<b>Williamson, Anita</b>	The Royal Bank of Scotland International Limited	WC2R 0QS	760675	Banking - Retail (only)	SMF5 Head of Internal Audit	26/08/2021	1	<1
<b>Wilson, Richard</b>	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF4 Chief Risk	20/08/2021	7	1
<b>Wouldhave, Mark</b>	Bradford & Bingley Plc	BD16 2UA	106126	Other Mortgage Lender	SMF1 Chief Executive	01/08/2021	1	1
<b>Wouldhave, Mark</b>	NRAM Limited	BD16 2UA	718097	Other Mortgage Lender	SMF1 Chief Executive	01/08/2021	1	1
<b>Wouldhave, Mark</b>	Mortgage Express	BD16 2UA	305572	Other Mortgage Lender	SMF1 Chief Executive	01/08/2021	1	1
<b>Yokomaku, Katsunori</b>	MUFG BANK, LTD	EC2Y 9AN	139189	Banking - Retail (only)	SMF7 Group Entity Senior Manager	04/08/2021	<1	<1

## 1.2. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
<b>Amini, Nina</b>	Bank Sepah International Plc	EC3M 1JT	208019	Banking - Retail (only)	SMF2 Chief Finance	30/06/2021	17	17
<b>Artemiou, Andreas</b>	Cynergy Bank Limited	N14 5BU	575105	Banking - Retail (only)	SMF4 Chief Risk	28/06/2021	2	2
<b>Atkinson, Daniel</b>	Tandem Bank Limited	WC1V 6PX	204479	Banking - Retail (only)	SMF18 Other Overall Responsibility	11/06/2021	4	3
<b>Battle, Brendan</b>	FirstRand Bank Limited	EC2N 2HD	476154	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	18/06/2021	15	10
<b>Billah, Khawja</b>	Habib Bank AG Zurich	EC2R 6JJ	113991	Banking - Retail (only)	SMF24 Chief Operations	01/06/2021	2	2
<b>Billah, Khawja</b>	Habib Bank Zurich Plc	EC2R 6JJ	627671	Banking - Retail (only)	SMF24 Chief Operations	01/06/2021	2	2
<b>Billah, Khawja</b>	Habib Bank Zurich Plc	EC2R 6JJ	627671	Banking - Retail (only)	SMF3 Executive Director	01/06/2021	2	2
<b>Boucher, J.</b>	Merrill Lynch International	EC1A 1HQ	147150	Banking - Investment (only)	SMF18 Other Overall Responsibility	04/06/2021	17	9
<b>Boucher, J.</b>	Bank of America, N.A.	EC1A 1HQ	124642	Banking - Retail (only)	SMF22 Other Local Responsibility	04/06/2021	17	9
<b>Branson, Gabrielle</b>	SG Kleinwort Hambros Bank Limited	E14 4SG	119250	Banking - Retail & Investment	SMF3 Executive Director	28/06/2021	18	11
<b>Burton, Matthew</b>	Julian Hodge Bank Limited	CF10 1FS	204439	Banking - Retail (only)	SMF2 Chief Finance	21/06/2021	2	2
<b>Cowie, Ian</b>	Shawbrook Bank Limited	CM13 3BE	204574	Banking - Retail (only)	SMF1 Chief Executive	07/06/2021	13	2
<b>Cullen, Margaret</b>	Progressive Building Society	BT1 6HH	161841	Building Society	SMF12 Chair of the Remuneration Committee	17/06/2021	6	6
<b>Curran, Bernard</b>	Pearl Group Services Limited	B47 6WG	571858	Other Mortgage Lender	SMF7 Group Entity Senior Manager	14/06/2021	12	<1
<b>Curran, Bernard</b>	Pearl Group Management Services Limited	B47 6WG	415029	Other Mortgage Lender	SMF7 Group Entity Senior Manager	14/06/2021	12	<1
<b>Dainton, Stephen</b>	Barclays Capital Securities Limited	E14 4BB	124431	Banking - Investment (only)	SMF1 Chief Executive	07/06/2021	18	2
<b>Denby, Nigel</b>	Australia and New Zealand Banking Group Ltd	E14 5EJ	114151	Banking - Retail (only)	SMF4 Chief Risk	30/06/2021	4	4
<b>Denby, Nigel</b>	Australia and New Zealand Banking Group Ltd	E14 5EJ	114151	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	30/06/2021	4	4
<b>Dolby, Emma</b>	Coöperatieve Rabobank U.A.	EC4V 3RL	171596	Banking - Retail & Investment	SMF21 EEA Branch Senior Manager (EBSM)	11/06/2021	1	1
<b>Drury, Nigel</b>	Schroder & Co Ltd	EC2Y 5AU	144206	Banking - Retail & Investment	SMF4 Chief Risk	24/06/2021	10	5

Duhigg, Genevieve	Santander UK Plc	NW1 3AN	106054	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	30/06/2021	6	6
Eaton, Carley	Monzo Bank Ltd	EC2A 2AG	730427	Banking - Retail (only)	SMF5 Head of Internal Audit	18/06/2021	1	1
Elcock, Peter	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	11/06/2021	6	5
Elcock, Peter	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF16 Compliance Oversight	11/06/2021	6	5
Elcock, Peter	Charter Court Financial Services Limited	WV10 6TD	494549	Banking - Retail (only)	SMF4 Chief Risk	11/06/2021	6	5
Elcock, Peter	Charter Mortgages Limited	WV10 6TD	739516	Other Mortgage Lender	SMF16 Compliance Oversight	11/06/2021	6	4
Elcock, Peter	Charter Mortgages Limited	WV10 6TD	739516	Other Mortgage Lender	SMF17 Money Laundering Reporting Officer (MLRO)	11/06/2021	6	4
Farren, Neil	Banco de Sabadell	SW1Y 5EA	204720	Banking - Retail & Investment	SMF17 Money Laundering Reporting Officer (MLRO)	04/06/2021	19	19
Felder, Allan	C Hoare & Co	EC4P 4DQ	122093	Banking - Retail (only)	SMF18 Other Overall Responsibility	24/06/2021	9	5
Fisher, Amy	Zopa Bank Limited	SE1 2QG	800542	Banking - Retail (only)	SMF4 Chief Risk	28/06/2021	3	3
Glover, Michael	R&Q ETA COMPANY LIMITED	EC3M 4BS	402394	Banking - Retail (only)	SMF16 Compliance Oversight	21/06/2021	19	2
Glover, Michael	R&Q Reinsurance Company (UK) Limited	EC3M 4BS	202188	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	21/06/2021	19	19
Glover, Michael	R&Q ETA COMPANY LIMITED	EC3M 4BS	402394	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	21/06/2021	19	2
Glover, Michael	R&Q Reinsurance Company (UK) Limited	EC3M 4BS	202188	Banking - Retail (only)	SMF16 Compliance Oversight	21/06/2021	19	19
Green, Michael	Bank Leumi (UK) plc	EC2R 7HJ	139217	Banking - Retail & Investment	SMF10 Chair of the Risk Committee	30/06/2021	19	9
Haggart, Keith	Responsible Lending Limited	PL1 2EX	763158	Other Mortgage Lender	SMF17 Money Laundering Reporting Officer (MLRO)	18/06/2021	13	4
Henry, Philippe	HSBC Bank Plc	E14 5HQ	114216	Banking - Retail & Investment	SMF6 Head of Key Business Areas	14/06/2021	8	8
Hourican, Declan	Tesco Personal Finance PLC	EH12 9FQ	186022	Banking - Retail (only)	SMF2 Chief Finance	29/06/2021	13	4
Huntington, Brad	Gringoleet Company Limited	EC2N 1DP	202792	Banking - Retail (only)	SMF7 Group Entity Senior Manager	30/06/2021	7	6
Jarrett, Michael	Nedbank Ltd	EC4R 9AB	204684	Banking - Retail (only)	SMF16 Compliance Oversight	11/06/2021	3	3
Jess, Keith	Progressive Building Society	BT1 6HH	161841	Building Society	SMF11 Chair of the Audit Committee	17/06/2021	3	3
Johnson, Graham	Kaizen Credit Limited	SW2 1BZ	712309	Other Mortgage Lender	SMF3 Executive Director	24/06/2021	10	4
Johnstone, Janet	The Bank of New York Mellon (International) Limited	E14 5AL	183100	Banking - Retail (only)	SMF24 Chief Operations	07/06/2021	7	3
Johnstone, Janet	The Bank of New York Mellon	E14 5AL	122467	Banking - Retail (only)	SMF24 Chief Operations	07/06/2021	7	3
Kitchen, Louise	Deutsche Bank AG	EC2N 2DB	150018	Banking - Retail & Investment	SMF21 EEA Branch Senior Manager (EBSM)	08/06/2021	19	<1
Li, Ge	Shanghai Pudong Development Bank Co., Ltd	EC2R 7HJ	777597	Banking - Retail (only)	SMF22 Other Local Responsibility	18/06/2021	3	3
Longo, Marco	INTESA SANPAOLO PRIVATE BANK (SUISSE) MORVAL SA	EC4N 1SA	844332	Banking - Retail (only)	SMF7 Group Entity Senior Manager	04/06/2021	7	2
Lyons, Nicholas	Pearl Group Management Services Limited	B47 6WG	415029	Other Mortgage Lender	SMF7 Group Entity Senior Manager	17/06/2021	19	2
Lyons, Nicholas	Pearl Group Services Limited	B47 6WG	571858	Other Mortgage Lender	SMF7 Group Entity Senior Manager	17/06/2021	19	2
Marriott, Ian	UBS AG	EC2M 2QS	186958	Banking - Retail (only)	SMF22 Other Local Responsibility	11/06/2021	16	11
McCormick, Karen	The Stafford Railway Building Society	ST16 2JH	206063	Building Society	SMF12 Chair of the Remuneration Committee	23/06/2021	19	5
McGuinness, Dominic	Aldermore Bank Plc	RG1 1AX	204503	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	30/06/2021	12	12
Meeks, Alfred	BFC Bank Limited	E14 9SH	716167	Banking - Retail (only)	SMF14 Senior Independent Director	14/06/2021	19	4
Meeks, Alfred	BFC Bank Limited	E14 9SH	716167	Banking - Retail (only)	SMF10 Chair of the Risk Committee	14/06/2021	19	4
Meeks, Alfred	BFC Bank Limited	E14 9SH	716167	Banking - Retail (only)	SMF11 Chair of the Audit Committee	14/06/2021	19	4
Miller, Therese	Goldman Sachs International Bank	EC4A 4AU	124659	Banking - Retail & Investment	SMF10 Chair of the Risk Committee	24/06/2021	5	5
Miller, Therese	Goldman Sachs International	EC4A 4AU	142888	Banking - Investment (only)	SMF10 Chair of the Risk Committee	24/06/2021	5	1
Mochizuki, Masahiko	Mizuho International Plc	EC4M 7AU	119256	Banking - Retail & Investment	SMF3 Executive Director	30/06/2021	15	15



<b>Mustafawi, Adel</b>	Al Rayan Bank PLC	B15 1RP	229148	Banking - Retail (only)	SMF7 Group Entity Senior Manager	30/06/2021	10	10
<b>Neilson, Gregory</b>	Aviva Equity Release UK Limited	YO90 1WR	310433	Other Mortgage Lender	SMF1 Chief Executive	17/06/2021	3	1
<b>Neilson, Gregory</b>	Aviva Equity Release UK Limited	YO90 1WR	310433	Other Mortgage Lender	SMF3 Executive Director	17/06/2021	3	1
<b>Nelson, Brendan</b>	NatWest Markets Plc	EH2 2YB	121882	Banking - Retail & Investment	SMF11 Chair of the Audit Committee	04/06/2021	18	11
<b>O'Neill, Elinore</b>	Gringoleet Company Limited	EC2N 1DP	202792	Banking - Retail (only)	SMF20 Chief Actuary	18/06/2021	1	<1
<b>Price, Helen</b>	EFG Private Bank Limited	W1J 5JB	144036	Banking - Retail & Investment	SMF2 Chief Finance	18/06/2021	5	2
<b>Radhakrishnan, Viswesvaran</b>	UNION BANK OF INDIA (UK) LIMITED	EC4V 4AB	601551	Banking - Retail & Investment	SMF1 Chief Executive	18/06/2021	3	3
<b>Radhakrishnan, Viswesvaran</b>	UNION BANK OF INDIA (UK) LIMITED	EC4V 4AB	601551	Banking - Retail & Investment	SMF2 Chief Finance	18/06/2021	3	3
<b>Robins, Mark</b>	Oplo HL Ltd	FY4 2FB	661248	Other Mortgage Lender	SMF17 Money Laundering Reporting Officer (MLRO)	30/06/2021	16	4
<b>Robinska, Katarzyna</b>	OakNorth Bank plc	W1F 9QS	629564	Banking - Retail (only)	SMF11 Chair of the Audit Committee	04/06/2021	17	<1
<b>Rodriguez-Rey, Francisco</b>	Wells Fargo Securities International Limited	EC4R 9AT	186745	Banking - Investment (only)	SMF10 Chair of the Risk Committee	11/06/2021	19	3
<b>Sakamaki, Hiroshi</b>	DBJ Europe Limited	EC2M 7EA	502505	Banking - Investment (only)	SMF3 Executive Director	25/06/2021	4	4
<b>Sakamaki, Hiroshi</b>	DBJ Europe Limited	EC2M 7EA	502505	Banking - Investment (only)	SMF9 Chair of the Governing Body	25/06/2021	4	4
<b>Scales, Michelle</b>	J.P. Morgan Europe Limited	E14 5JP	124579	Banking - Retail & Investment	SMF4 Chief Risk	28/06/2021	1	1
<b>Shah, Rajen</b>	State Street Bank and Trust Company	E14 5HJ	170462	Banking - Retail (only)	SMF3 Executive Director	17/06/2021	14	6
<b>Sinclair, Maxim</b>	Wells Fargo Bank, National Association	EC4R 9AT	456183	Banking - Retail (only)	SMF3 Executive Director	30/06/2021	14	7
<b>Sinclair, Rachael</b>	The Mortgage Works (UK) Plc	BH2 6EP	189623	Other Mortgage Lender	SMF7 Group Entity Senior Manager	02/06/2021	1	<1
<b>Singh, Abhijit</b>	OakNorth Bank plc	W1F 9QS	629564	Banking - Retail (only)	SMF24 Chief Operations	21/06/2021	1	1
<b>Smith, Letitia</b>	Lloyds Bank Corporate Markets Plc	EC2V 7HN	763256	Banking - Retail & Investment	SMF7 Group Entity Senior Manager	04/06/2021	15	<1
<b>Smolicz, Richard</b>	Vanquis Bank Limited	EC3M 3BY	221156	Banking - Retail (only)	SMF17 Money Laundering Reporting Officer (MLRO)	04/06/2021	19	<1
<b>Stran, Garry</b>	PCF Bank Limited	EC2N 1ER	747017	Banking - Retail (only)	SMF24 Chief Operations	15/06/2021	7	<1
<b>Torres-Fernandez, Rafael</b>	Cooperatieve Rabobank U.A.	EC4V 3RL	171596	Banking - Retail & Investment	SMF21 EEA Branch Senior Manager (EBSM)	11/06/2021	<1	<1
<b>Trevett, Philip</b>	C Hoare & Co	EC4P 4DQ	122093	Banking - Retail (only)	SMF16 Compliance Oversight	30/06/2021	12	12
<b>Trevett, Philip</b>	C Hoare & Co	EC4P 4DQ	122093	Banking - Retail (only)	SMF4 Chief Risk	30/06/2021	12	12
<b>Tschang, Chih-Chung</b>	First Commercial Bank	EC2M 2SJ	204655	Banking - Retail (only)	SMF19 Head of Overseas Branch/Head of Overseas	03/06/2021	2	2
<b>Turkmen, Ayten</b>	T C Ziraat Bankasi AS	EC3V 3PF	204705	Banking - Retail (only)	SMF19 Head of Overseas Branch/Head of Overseas	30/06/2021	2	2
<b>Walker, Grahame</b>	Scottish Building Society	EH11 2EF	206034	Building Society	SMF16 Compliance Oversight	25/06/2021	1	1
<b>Walker, Grahame</b>	Scottish Building Society	EH11 2EF	206034	Building Society	SMF17 Money Laundering Reporting Officer (MLRO)	25/06/2021	1	1
<b>Walker, Grahame</b>	Scottish Building Society	EH11 2EF	206034	Building Society	SMF4 Chief Risk	25/06/2021	1	1
<b>Walker, Michael</b>	R&Q Reinsurance Company (UK) Limited	EC3M 4BS	202188	Banking - Retail (only)	SMF3 Executive Director	21/06/2021	8	<1
<b>Williams, John</b>	Gringoleet Company Limited	EC2N 1DP	202792	Banking - Retail (only)	SMF7 Group Entity Senior Manager	30/06/2021	16	6
<b>Williamson, Jerold</b>	Al Rayan Bank PLC	B15 1RP	229148	Banking - Retail (only)	SMF4 Chief Risk	30/06/2021	19	<1
<b>Wouldhave, Mark</b>	Mortgage Express	BD16 2UA	305572	Other Mortgage Lender	SMF18 Other Overall Responsibility	25/06/2021	1	1
<b>Wouldhave, Mark</b>	NRAM Limited	BD16 2UA	718097	Other Mortgage Lender	SMF18 Other Overall Responsibility	25/06/2021	1	1
<b>Wouldhave, Mark</b>	Bradford & Bingley Plc	BD16 2UA	106126	Other Mortgage Lender	SMF18 Other Overall Responsibility	25/06/2021	1	1

## 2. Life / Pension / Annuity Provider

### 2.1. New Appointment

- The individuals below have had a Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
Benson, Lucy	Wealthtime Limited	SP1 3HP	468461	Life/Pension/Annuity Provider	SMF1 Chief Executive	26/08/2021	4	2
Byrne, Jonathan	Virgin Money Unit Trust Managers Ltd	NE3 4PL	171748	Life/Pension/Annuity Provider	SMF1 Chief Executive	18/08/2021	4	<1
Byrne, Jonathan	Virgin Money Unit Trust Managers Ltd	NE3 4PL	171748	Life/Pension/Annuity Provider	SMF3 Executive Director	18/08/2021	4	<1
Craston, Michael	Aviva Investors Pensions Limited	EC3P 3DQ	110410	Life/Pension/Annuity Provider	SMF13 Chair of the Nominations Committee	06/08/2021	19	4
Croft, Andrew	St James's Place UK plc	GL7 1FP	150026	Life/Pension/Annuity Provider	SMF7 Group Entity Senior Manager	16/08/2021	19	19
English, Richard	Aviva International Insurance Limited	EC3P 3DQ	202082	Life/Pension/Annuity Provider	SMF2 Chief Finance	20/08/2021	11	<1
Harney, David	Canada Life Platform Limited	EN6 5BA	598800	Life/Pension/Annuity Provider	SMF1 Chief Executive	25/08/2021	5	<1
Jobanputra, Deepak	Vitality Life Limited	EC3V 0XL	675028	Life/Pension/Annuity Provider	SMF18 Other Overall Responsibility	10/08/2021	12	5
Nunn, Charles	Scottish Widows Limited	EH3 8YF	181655	Life/Pension/Annuity Provider	SMF7 Group Entity Senior Manager	16/08/2021	3	<1
O'Shea, Henrietta	Investec Wealth & Investment Limited	EC2V 7QN	124537	Life/Pension/Annuity Provider	SMF9 Chair of the Governing Body	24/08/2021	19	<1
O'Shea, Henrietta	Investec Wealth & Investment Limited	EC2V 7QN	124537	Life/Pension/Annuity Provider	SMF13 Chair of the Nominations Committee	24/08/2021	19	<1
Poole, Jane	Aviva Insurance Limited	NR1 3NG	202153	Life/Pension/Annuity Provider	SMF2 Chief Finance	23/08/2021	1	<1
Priestley, Richard	Canada Life Limited	EN6 5BA	110394	Life/Pension/Annuity Provider	SMF24 Chief Operations	23/08/2021	9	9
Sheriff, Rizwan	Phoenix Wealth Services Limited	B47 6WG	465753	Life/Pension/Annuity Provider	SMF2 Chief Finance	11/08/2021	2	<1
Solash, Todd	AIG Life Limited	RH2 7JR	473752	Life/Pension/Annuity Provider	SMF7 Group Entity Senior Manager	06/08/2021	<1	<1

### 2.1. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
Colebrook, Matthew	HSBC Life (UK) Limited	E14 5HQ	133435	Life/Pension/Annuity Provider	SMF7 Group Entity Senior Manager	01/08/2021	12	1
Croft, Andrew	St James's Place UK plc	GL7 1FP	150026	Life/Pension/Annuity Provider	SMF1 Chief Executive	16/08/2021	19	19
Elliott, Stephen	Investec Wealth & Investment Limited	EC2V 7QN	124537	Life/Pension/Annuity Provider	SMF9 Chair of the Governing Body	31/08/2021	19	19
Jobanputra, Deepak	Vitality Life Limited	EC3V 0XL	675028	Life/Pension/Annuity Provider	SMF3 Executive Director	10/08/2021	12	5
Latter, Tom	Aviva Insurance Limited	NR1 3NG	202153	Life/Pension/Annuity Provider	SMF2 Chief Finance	22/08/2021	3	2
Smith, Phillip	Rowanmoor Personal Pensions Limited	SP1 3TS	458260	Life/Pension/Annuity Provider	SMF3 Executive Director	27/08/2021	8	5
Smith, Phillip	Embark Investment Services Limited	EC4N 6EU	737356	Life/Pension/Annuity Provider	SMF3 Executive Director	27/08/2021	8	5
Smith, Phillip	Sterling ISA Managers Limited	SN1 1HN	191278	Life/Pension/Annuity Provider	SMF3 Executive Director	27/08/2021	8	1
Wegbrans, Hugo	Aon UK Limited	EC3V 4AN	310451	Life/Pension/Annuity Provider	SMF18 Other Overall Responsibility	18/08/2021	1	1

## 3. Wealth Adviser

### 3.1. New Appointment

- The individuals below have had a Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
Angel, Robert	The Northern Trust Company	E14 5NT	122020	DFM/Stockbroker	SMF16 Compliance Oversight	27/08/2021	<1	<1
Arona, Marcello	AXA Investment Managers UK Ltd	EC2N 4BQ	119368	DFM/Stockbroker	SMF1 Chief Executive	04/08/2021	<1	<1
Arona, Marcello	AXA Investment Managers UK Ltd	EC2N 4BQ	119368	DFM/Stockbroker	SMF3 Executive Director	04/08/2021	<1	<1
Badini, Fatima	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF18 Other Overall Responsibility	11/08/2021	1	1
Balgarnie, Ian	Capital Professional Limited	RG1 8LS	578614	Holistic Financial Planner	SMF3 Executive Director	06/08/2021	19	<1
Bates, Gary	Bates Independent Limited	GU18 5UL	944080	Holistic Financial Planner	SMF16 Compliance Oversight	12/08/2021	19	<1
Bates, Gary	Bates Independent Limited	GU18 5UL	944080	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	12/08/2021	19	<1
Bates, Gary	Bates Independent Limited	GU18 5UL	944080	Holistic Financial Planner	SMF3 Executive Director	12/08/2021	19	<1
Beal, Thomas	Verdant Financial Planning Limited	RG1 7YN	928401	Wealth/Investment Advisor	SMF3 Executive Director	15/08/2021	6	<1
Beaney, Alan	Portcullis Financial Planning Limited	DY9 9JH	506044	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	19	<1
Beckett, Nathan	Wesleyan Financial Services Ltd	B4 6AR	134753	Holistic Financial Planner	SMF18 Other Overall Responsibility	23/08/2021	11	11
Bedford, Kirsty	Bedford Wealth Ltd	BB5 0RE	948359	Holistic Financial Planner	SMF16 Compliance Oversight	03/08/2021	16	<1
Bedford, Kirsty	Bedford Wealth Ltd	BB5 0RE	948359	Holistic Financial Planner	SMF3 Executive Director	03/08/2021	16	<1
Bedford, William	Bedford Wealth Ltd	BB5 0RE	948359	Holistic Financial Planner	SMF3 Executive Director	03/08/2021	11	<1
Bedford, William	Bedford Wealth Ltd	BB5 0RE	948359	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	03/08/2021	11	<1
Bevan, Rachel	Uniq Family Wealth Ltd	CF3 0LT	594440	Holistic Financial Planner	SMF3 Executive Director	13/08/2021	<1	<1
Bevington, Richard	MULBERRY WEALTH CLIENT SERVICES LIMITED	CF23 6SA	197003	Holistic Financial Planner	SMF16 Compliance Oversight	20/08/2021	19	1
Bevington, Richard	MULBERRY WEALTH CLIENT SERVICES LIMITED	CF23 6SA	197003	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	20/08/2021	19	1
Bevington, Richard	MULBERRY WEALTH CLIENT SERVICES LIMITED	CF23 6SA	197003	Holistic Financial Planner	SMF3 Executive Director	20/08/2021	19	1
Binns, Christopher	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	19	5
Birch, Christopher	Omnium Capital Limited	GU5 9LY	210765	Holistic Financial Planner	SMF1 Chief Executive	05/08/2021	19	<1
Birch, Christopher	Omnium Capital Limited	GU5 9LY	210765	Holistic Financial Planner	SMF3 Executive Director	05/08/2021	19	<1
Blythe, Elizabeth	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF12 Chair of the Remuneration Committee	10/08/2021	16	1
Blythe, Elizabeth	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF11 Chair of the Audit Committee	10/08/2021	16	1
Bradley, Amanda	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	26/08/2021	<1	<1
Brearley, Richard	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF10 Chair of the Risk Committee	11/08/2021	15	<1
Brett, Russell	Matthew Douglas Ltd	IP7 5AP	226918	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	7	7
Brewster, Calum	Brown Shipley & Co Limited	EC2R 6AG	124548	Wealth Manager	SMF18 Other Overall Responsibility	06/08/2021	9	<1
Budge, Graham	Budge and Company Limited	HG1 1HB	133515	Wealth/Investment Advisor	SMF16 Compliance Oversight	13/08/2021	12	12
Carter, Alexander	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF18 Other Overall Responsibility	10/08/2021	19	10
Causar, Jason	HUB Financial Solutions Limited	RH2 7RP	455713	Holistic Financial Planner	SMF3 Executive Director	25/08/2021	14	<1
Chandan, Dhawal	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF3 Executive Director	06/08/2021	15	<1

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Chandan, Dhawal	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF16 Compliance Oversight	06/08/2021	15	<1
Chandan, Dhawal	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	06/08/2021	15	<1
Chapman, Andrew	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF18 Other Overall Responsibility	10/08/2021	19	10
Clayton, Henry	Westinsure Webb (Financial Services) Limited	TR1 2RX	138165	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	20/08/2021	19	19
Clayton, Henry	Westinsure Webb (Financial Services) Limited	TR1 2RX	138165	Wealth/Investment Advisor	SMF16 Compliance Oversight	20/08/2021	19	19
Counsell, Falon	Darnells Wealth Management Ltd	TQ12 2BU	474566	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	1	1
Counsell, Falon	Appleton Fox Wealth Management Ltd	BS9 3BH	466149	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	1	<1
Counsell, Falon	Chetwood Wealth Management Ltd	TA21 8RD	195024	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	1	1
Crean, Sarah	Turpin Barker Armstrong	SM1 4LA	112720	Holistic Financial Planner	SMF27 Partner	26/08/2021	<1	<1
Curran, David	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF4 Chief Risk	11/08/2021	16	10
Daniels, Peter	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	6	6
Davies, Robin	CQRS Limited	RG7 4SG	764618	Wealth/Investment Advisor	SMF1 Chief Executive	25/08/2021	4	4
Davison, Stuart	StoneX Financial Ltd	EC2Y 5ET	446717	DFM/Stockbroker	SMF3 Executive Director	20/08/2021	11	1
Dempster, Lynn	Synergy Financial Planning Limited	G64 2QG	464465	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	<1	<1
Dhall, Sunil	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF24 Chief Operations	10/08/2021	11	10
Dhall, Sunil	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF2 Chief Finance	10/08/2021	11	10
Dhariwal, Jaspreet	Vintage Wealth Management Limited	N3 2BP	593380	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	<1	<1
Dhariwal, Jaspreet	Vintage Wealth Management Limited	N3 2BP	593380	Holistic Financial Planner	SMF16 Compliance Oversight	05/08/2021	<1	<1
Drake, Katie	Turpin Barker Armstrong	SM1 4LA	112720	Holistic Financial Planner	SMF27 Partner	26/08/2021	<1	<1
Eggar, Robin	Brooks Macdonald Financial Consulting Ltd	EC3V 9AH	149420	Holistic Financial Planner	SMF3 Executive Director	12/08/2021	18	<1
Elliot, Michael	Rossie House Investment Management LLP	EH3 6BQ	793399	Wealth Manager	SMF27 Partner	05/08/2021	4	3
Errington, Christopher	Kestrel Partners LLP	WC2N 6LE	503303	Wealth Manager	SMF27 Partner	24/08/2021	3	3
Esfandi, David	CG Wealth Planning Limited	EC2R 7AE	594155	Wealth Manager	SMF1 Chief Executive	13/08/2021	19	2
Ford, James	Halcyon Wealth UK Ltd	TN1 1ED	948417	Wealth/Investment Advisor	SMF3 Executive Director	31/08/2021	11	<1
Ford, James	Halcyon Wealth UK Ltd	TN1 1ED	948417	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	11	<1
Ford, James	Halcyon Wealth UK Ltd	TN1 1ED	948417	Wealth/Investment Advisor	SMF16 Compliance Oversight	31/08/2021	11	<1
Frampton, Vanessa	Best Practice IFA Group Limited	RH12 4QP	223112	Wealth Manager	SMF3 Executive Director	24/08/2021	1	1
Garwood, Felicity	Garwood Wealth Management Limited	PO16 7AN	941828	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	4	<1
Garwood, Kristopher	Garwood Wealth Management Limited	PO16 7AN	941828	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	14	<1
Garwood, Kristopher	Garwood Wealth Management Limited	PO16 7AN	941828	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	14	<1
Garwood, Kristopher	Garwood Wealth Management Limited	PO16 7AN	941828	Wealth/Investment Advisor	SMF16 Compliance Oversight	05/08/2021	14	<1
Gault, Shareen	Johnston Carmichael Wealth Limited	AB10 1YL	114322	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	<1	<1
Gerty, Jonathan	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	9	4
Glozer, Eyal	CBH Europe Limited	W1S 3PW	514546	Wealth Manager	SMF3 Executive Director	04/08/2021	6	6
Hall, Charles	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF18 Other Overall Responsibility	10/08/2021	19	10
Hamm, Lewis	Opulence Investment Management Limited	BH12 1DZ	941150	Wealth Manager	SMF1 Chief Executive	02/08/2021	<1	<1
Hamm, Lewis	Opulence Investment Management Limited	BH12 1DZ	941150	Wealth Manager	SMF3 Executive Director	02/08/2021	<1	<1
Hayes, Simon	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF13 Chair of the Nominations Committee	10/08/2021	19	10
Haylett, Daniel	TFP Financial Planning Ltd	CM9 5EP	667433	Wealth/Investment Advisor	SMF3 Executive Director	13/08/2021	2	2
Hendry, Paula	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	<1	<1

Hunt, Philip	Omnium Capital Limited	GU5 9LY	210765	Holistic Financial Planner	SMF3 Executive Director	05/08/2021	16	<1
Hunt, Philip	Omnium Capital Limited	GU5 9LY	210765	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	16	<1
Hutcheson, Ian	Taylor Watson Financial Management Ltd	IV12 5QR	550013	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	19	9
Isaac, Derek	Wealthcare Management Limited	AB32 6UF	629975	Holistic Financial Planner	SMF3 Executive Director	26/08/2021	19	6
King, Anthony	MacBeth Currie Financial Services Limited	KY12 7NT	812252	Holistic Financial Planner	SMF3 Executive Director	10/08/2021	6	<1
King, Anthony	MacBeth Currie Financial Services Limited	KY12 7NT	812252	Holistic Financial Planner	SMF16 Compliance Oversight	10/08/2021	6	<1
King, Anthony	MacBeth Currie Financial Services Limited	KY12 7NT	812252	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	6	<1
Kirkley, Fraser	Canford and Castle Financial Planning Limited	DL10 6DD	939118	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	4	<1
Kirkley, Fraser	Canford and Castle Financial Planning Limited	DL10 6DD	939118	Wealth/Investment Advisor	SMF3 Executive Director	02/08/2021	4	<1
Kirkley, Fraser	Canford and Castle Financial Planning Limited	DL10 6DD	939118	Wealth/Investment Advisor	SMF16 Compliance Oversight	02/08/2021	4	<1
Kline, Philip	Heron Wealth Management Limited	CF24 2SA	428873	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	11/08/2021	19	<1
Kline, Philip	Priscum Limited	CV12 9SD	507387	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	11/08/2021	19	<1
Kline, Philip	Heron Wealth Management Limited	CF24 2SA	428873	Wealth/Investment Advisor	SMF16 Compliance Oversight	11/08/2021	19	<1
Kline, Philip	Priscum Limited	CV12 9SD	507387	Holistic Financial Planner	SMF16 Compliance Oversight	11/08/2021	19	<1
Kooij, Frederik	Tribe Impact Capital LLP	EC3V 3QQ	756411	Wealth Manager	SMF27 Partner	09/08/2021	19	<1
Lawrence, David	Regency Investment Services Limited	TW20 9ED	125678	Holistic Financial Planner	SMF3 Executive Director	11/08/2021	<1	<1
Lazeris, Siobhan	Tribe Impact Capital LLP	EC3V 3QQ	756411	Wealth Manager	SMF27 Partner	02/08/2021	13	4
Limon, Claire	Openwork Limited	SN5 8UB	408285	Holistic Financial Planner	SMF18 Other Overall Responsibility	17/08/2021	13	1
Mackenzie, Robyn	Canford and Castle Financial Planning Limited	DL10 6DD	939118	Wealth/Investment Advisor	SMF3 Executive Director	02/08/2021	<1	<1
Marvin, Neale	Daiwa Corporate Advisory Limited	EC4N 7DA	175853	Wealth/Investment Advisor	SMF3 Executive Director	03/08/2021	18	7
Matthews, Caroline	CSM Financial Solutions Limited	RG17 9QB	942693	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	19	<1
Matthews, Caroline	CSM Financial Solutions Limited	RG17 9QB	942693	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	19	<1
Matthews, Caroline	CSM Financial Solutions Limited	RG17 9QB	942693	Wealth/Investment Advisor	SMF16 Compliance Oversight	05/08/2021	19	<1
McIntosh, James	Grange Wealth Management Ltd	EH12 6AH	623155	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	19	6
Meiklejohn, James	Lincoln Private Investment Office LLP	SW1W 0DH	613327	Wealth Manager	SMF27 Partner	04/08/2021	19	<1
Mitios, Alexandros	Jellings Dalton Investments Limited	WV6 8QS	724139	Wealth/Investment Advisor	SMF3 Executive Director	12/08/2021	<1	<1
Mitios, Alexandros	A.J. Wealth Management Limited	WV6 8QS	191874	Wealth/Investment Advisor	SMF3 Executive Director	12/08/2021	<1	<1
Morgan, Iain	Peel Hunt LLP	EC2M 2AT	530083	DFM/Stockbroker	SMF18 Other Overall Responsibility	10/08/2021	19	10
Morris, Mark	MULBERRY WEALTH CLIENT SERVICES LIMITED	CF23 6SA	197003	Holistic Financial Planner	SMF3 Executive Director	20/08/2021	12	1
Moss, Justin	MacIntyre Hudson Corporate Finance Ltd	MK9 1LZ	197182	Wealth Manager	SMF16 Compliance Oversight	17/08/2021	<1	<1
Nadarajah, Satheshraj	WG Partners LLP	EC2V 7NQ	595861	Wealth/Investment Advisor	SMF27 Partner	10/08/2021	15	<1
Parpia, Alkarim	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF3 Executive Director	23/08/2021	13	<1
Payne, Philip	MULBERRY WEALTH CLIENT SERVICES LIMITED	CF23 6SA	197003	Holistic Financial Planner	SMF3 Executive Director	20/08/2021	19	1
Perrett, Marcus	Instinet Europe Limited	EC4R 3AB	140822	DFM/Stockbroker	SMF24 Chief Operations	04/08/2021	<1	<1
Peters, Michael	West Wake Price LLP	EC1Y 2AA	516758	Wealth/Investment Advisor	SMF16 Compliance Oversight	16/08/2021	19	11



<b>Reah, Joanne</b>	Chetwood Wealth Management Ltd	TA21 8RD	195024	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	12	7
<b>Reah, Joanne</b>	Darnells Wealth Management Ltd	TQ12 2BU	474566	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	12	<1
<b>Reah, Joanne</b>	Appleton Fox Wealth Management Ltd	BS9 3BH	466149	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	12	<1
<b>Richards, Christopher</b>	Alvarium Investment Managers (UK) LLP	W1S 3AG	455686	Wealth Manager	SMF27 Partner	17/08/2021	10	<1
<b>Richmond, Thomas</b>	PlanHappy Investment Management Limited	TS18 3TA	833492	Wealth Manager	SMF17 Money Laundering Reporting Officer (MLRO)	03/08/2021	<1	<1
<b>Richmond, Thomas</b>	PlanHappy Investment Management Limited	TS18 3TA	833492	Wealth Manager	SMF16 Compliance Oversight	03/08/2021	<1	<1
<b>Rosson, Paul</b>	Adroit Financial Planning Limited	M2 3HZ	579324	Wealth/Investment Advisor	SMF3 Executive Director	07/08/2021	19	4
<b>Rowe, Steven</b>	Lucent Financial Planning Ltd	B91 3AB	945107	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	16	<1
<b>Rowe, Steven</b>	Lucent Financial Planning Ltd	B91 3AB	945107	Holistic Financial Planner	SMF16 Compliance Oversight	02/08/2021	16	<1
<b>Rowe, Steven</b>	Lucent Financial Planning Ltd	B91 3AB	945107	Holistic Financial Planner	SMF3 Executive Director	02/08/2021	16	<1
<b>Russell, Ryan</b>	Turpin Barker Armstrong	SM1 4LA	112720	Holistic Financial Planner	SMF27 Partner	26/08/2021	<1	<1
<b>Sackfield, Ian</b>	Charles Stanley & Co Ltd	EC2N 3AS	124412	DFM/Stockbroker	SMF18 Other Overall Responsibility	18/08/2021	19	<1
<b>Salinas, Helen</b>	Coleshill Mortgage Services Limited	B46 3BJ	950748	Holistic Financial Planner	SMF3 Executive Director	04/08/2021	4	<1
<b>Salinas, Phillip</b>	Coleshill Mortgage Services Limited	B46 3BJ	950748	Holistic Financial Planner	SMF3 Executive Director	04/08/2021	19	<1
<b>Salinas, Phillip</b>	Coleshill Mortgage Services Limited	B46 3BJ	950748	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	04/08/2021	19	<1
<b>Saxton, Timothy</b>	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	1	<1
<b>Schmitt, Eva</b>	Trade Facts Ltd	E1W 1JP	401179	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	<1	<1
<b>Schmitt, Eva</b>	Trade Facts Ltd	E1W 1JP	401179	Wealth/Investment Advisor	SMF16 Compliance Oversight	26/08/2021	<1	<1
<b>Smith, Kevin</b>	Mortgage Brothers Limited	B63 4PU	813073	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	04/08/2021	3	3
<b>Soar, Sarah</b>	Hawksmoor Investment Management Ltd	EX1 1QA	472929	Wealth Manager	SMF9 Chair of the Governing Body	27/08/2021	19	1
<b>Sperber, Daniel</b>	Coleshill Mortgage Services Limited	B46 3BJ	950748	Holistic Financial Planner	SMF3 Executive Director	04/08/2021	1	<1
<b>Sperber, Daniel</b>	Coleshill Mortgage Services Limited	B46 3BJ	950748	Holistic Financial Planner	SMF16 Compliance Oversight	04/08/2021	1	<1
<b>Stelfox, Carl</b>	Opulence Investment Management Limited	BH12 1DZ	941150	Wealth Manager	SMF16 Compliance Oversight	02/08/2021	<1	<1
<b>Stelfox, Carl</b>	Opulence Investment Management Limited	BH12 1DZ	941150	Wealth Manager	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	<1	<1
<b>Stelfox, Carl</b>	Opulence Investment Management Limited	BH12 1DZ	941150	Wealth Manager	SMF3 Executive Director	02/08/2021	<1	<1
<b>Su, Kenneth</b>	R.J. O'Brien Limited	EC2V 6DT	114120	DFM/Stockbroker	SMF3 Executive Director	18/08/2021	1	<1
<b>Thompson, Barbara-Ann</b>	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	<1	<1
<b>Thompson, Clive</b>	SERENITY FINANCIAL PLANNING LTD	EN4 8JF	452299	Wealth/Investment Advisor	SMF3 Executive Director	05/08/2021	19	12
<b>Thompson, Clive</b>	SERENITY FINANCIAL PLANNING LTD	EN4 8JF	452299	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	19	12
<b>Thompson, Clive</b>	SERENITY FINANCIAL PLANNING LTD	EN4 8JF	452299	Wealth/Investment Advisor	SMF16 Compliance Oversight	05/08/2021	19	12
<b>Tucker, James</b>	Tuckers Legal & Financial Services Ltd	EX35 6HW	947911	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	19	<1
<b>Tucker, James</b>	Tuckers Legal & Financial Services Ltd	EX35 6HW	947911	Holistic Financial Planner	SMF3 Executive Director	02/08/2021	19	<1
<b>Tucker, James</b>	Tuckers Legal & Financial Services Ltd	EX35 6HW	947911	Holistic Financial Planner	SMF16 Compliance Oversight	02/08/2021	19	<1
<b>White, Sebastian</b>	Kestrel Partners LLP	WC2N 6LE	503303	Wealth Manager	SMF27 Partner	18/08/2021	3	3
<b>Wilford, Alison</b>	Adroit Financial Planning Limited	M2 3HZ	579324	Wealth/Investment Advisor	SMF3 Executive Director	11/08/2021	18	<1
<b>Willis, Martin</b>	Barnett Waddingham LLP	EC2Y 5AU	494494	Wealth/Investment Advisor	SMF27 Partner	05/08/2021	14	12
<b>Woods, Mark</b>	Watermark Wealth Management Limited	TA8 2AS	828533	Holistic Financial Planner	SMF16 Compliance Oversight	31/08/2021	19	2
<b>Woods, Mark</b>	Watermark Wealth Management Limited	TA8 2AS	828533	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	19	2

### 3.2. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
<b>Bernstein, Jacob</b>	Richdale Brokers & Financial Services Ltd	EC2R 7HG	769876	Holistic Financial Planner	SMF3 Executive Director	28/08/2021	4	4
<b>Boden, Daniel</b>	Ermin Fosse Financial Management LLP	GL7 2PP	197438	Wealth/Investment Advisor	SMF27 Partner	02/08/2021	10	6
<b>Brady, Calvin</b>	Saltus Financial Planning Limited	PO15 7AW	722703	Wealth/Investment Advisor	SMF3 Executive Director	13/08/2021	19	5
<b>Butters, Samantha</b>	Omnium Capital Limited	GU5 9LY	210765	Holistic Financial Planner	SMF16 Compliance Oversight	18/08/2021	6	6
<b>Chapman, Brian</b>	Boler Wiseman Financial Services Limited	SO51 0HE	197176	Holistic Financial Planner	SMF16 Compliance Oversight	12/08/2021	19	19
<b>Cook, Jeffrey</b>	Turner Insurance Services Limited	LE1 6TQ	457721	Wealth/Investment Advisor	SMF3 Executive Director	10/08/2021	8	8
<b>Covell, Beverley</b>	Capital Professional Limited	RG1 8LS	578614	Holistic Financial Planner	SMF9 Chair of the Governing Body	11/08/2021	18	2
<b>Cowlan, Kevin</b>	Crocus Wealth Limited	CM12 9DF	429588	Wealth/Investment Advisor	SMF3 Executive Director	18/08/2021	19	16
<b>Cunningham, Bernard</b>	Vintage Wealth Management Limited	N3 2BP	593380	Holistic Financial Planner	SMF16 Compliance Oversight	12/08/2021	4	4
<b>Cunningham, Bernard</b>	Vintage Wealth Management Limited	N3 2BP	593380	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	12/08/2021	4	4
<b>Davidson, Craig</b>	Davidsons Independent Financial Advisers Limited	EX20 1AN	224407	Holistic Financial Planner	SMF3 Executive Director	12/08/2021	19	18
<b>De Lisle Wells, James</b>	Ermin Fosse Financial Management LLP	GL7 2PP	197438	Wealth/Investment Advisor	SMF27 Partner	02/08/2021	12	10
<b>Douglas, William</b>	Oakworth Financial Planning Limited	WF8 1NB	229355	Holistic Financial Planner	SMF3 Executive Director	16/08/2021	19	17
<b>Douglas, William</b>	Oakworth Financial Planning Limited	WF8 1NB	229355	Holistic Financial Planner	SMF1 Chief Executive	16/08/2021	19	17
<b>Eedy, Louise</b>	Thomas, Carroll Independent Financial Advisers Limited	CF83 1XX	450497	Wealth/Investment Advisor	SMF3 Executive Director	31/08/2021	19	15
<b>Ellis, Jeffrey</b>	Cathedral Financial Services LLP	CF5 2DQ	438073	Holistic Financial Planner	SMF16 Compliance Oversight	10/08/2021	19	15
<b>Fouracres, Andrew</b>	Tavistock Partners (UK) Limited	HR4 9AR	230342	Holistic Financial Planner	SMF16 Compliance Oversight	31/08/2021	16	4
<b>Fouracres, Andrew</b>	The Tavistock Partnership Limited	DE74 2EE	519014	Holistic Financial Planner	SMF3 Executive Director	31/08/2021	16	4
<b>Fouracres, Andrew</b>	Tavistock Partners Limited	DE74 2EE	449607	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	16	4
<b>Fouracres, Andrew</b>	Tavistock Partners (UK) Limited	HR4 9AR	230342	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	16	4
<b>Fouracres, Andrew</b>	The Tavistock Partnership Limited	DE74 2EE	519014	Holistic Financial Planner	SMF16 Compliance Oversight	31/08/2021	16	4
<b>Fouracres, Andrew</b>	Tavistock Partners (UK) Limited	HR4 9AR	230342	Holistic Financial Planner	SMF3 Executive Director	31/08/2021	16	4
<b>Fouracres, Andrew</b>	The Tavistock Partnership Limited	DE74 2EE	519014	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	16	4
<b>Fouracres, Andrew</b>	Tavistock Partners Limited	DE74 2EE	449607	Holistic Financial Planner	SMF16 Compliance Oversight	31/08/2021	16	4
<b>Fouracres, Andrew</b>	Tavistock Partners Limited	DE74 2EE	449607	Holistic Financial Planner	SMF3 Executive Director	31/08/2021	16	4
<b>Frampton, Vanessa</b>	Best Practice IFA Group Limited	RH12 4QP	223112	Wealth Manager	SMF18 Other Overall Responsibility	24/08/2021	1	1
<b>Fraser, Simon</b>	McInroy & Wood Ltd	EH41 3SF	121926	Wealth Manager	SMF9 Chair of the Governing Body	09/08/2021	19	5
<b>Frost, Matthew</b>	Matthew Douglas Ltd	IP7 5AP	226918	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	19	17
<b>Halket, Iain</b>	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF3 Executive Director	13/08/2021	19	15
<b>Hanlon, Sarah</b>	Castlefield Advisory Partners Limited	M1 2HY	478430	Wealth/Investment Advisor	SMF16 Compliance Oversight	23/08/2021	5	5
<b>Hayden-Cook, Colin</b>	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF3 Executive Director	13/08/2021	19	15

Heaton, Mark	KM Financial Solutions LLP	BB11 1JG	530637	Holistic Financial Planner	SMF27 Partner	05/08/2021	15	10
Hendry, Craig	Johnston Carmichael Wealth Limited	AB10 1YL	114322	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	09/08/2021	19	19
Hilton, Mark	Fairhurst Financial Planning Limited	WN1 2TB	403077	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	19	15
Hilton, Mark	Fairhurst Financial Planning Limited	WN1 2TB	403077	Wealth/Investment Advisor	SMF16 Compliance Oversight	18/08/2021	19	15
Hilton, Mark	Fairhurst Financial Planning Limited	WN1 2TB	403077	Wealth/Investment Advisor	SMF3 Executive Director	18/08/2021	19	15
Hobbs, David	Rowan Dartington & Co. Limited	BS1 6NL	155241	DFM/Stockbroker	SMF9 Chair of the Governing Body	16/08/2021	14	2
Howarth, Richard	KM Financial Solutions LLP	BB11 1JG	530637	Holistic Financial Planner	SMF27 Partner	05/08/2021	1	1
Kelly, Declan	4wealth Ltd	SS9 5PS	526121	Wealth/Investment Advisor	SMF3 Executive Director	13/08/2021	11	10
Lewis, Kevin	Turner Insurance Services Limited	LE1 6TQ	457721	Wealth/Investment Advisor	SMF3 Executive Director	10/08/2021	19	14
Loveday, Simon	Loveday & Partners Limited	NR7 0WG	601756	Wealth/Investment Advisor	SMF3 Executive Director	16/08/2021	12	8
MacKenzie, Colin	EIS Financial Services Ltd	G3 7LW	401581	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	19	16
Mackinlay, Derek	Horton Kirby Financial Services Ltd	SM7 3PP	488660	Wealth/Investment Advisor	SMF3 Executive Director	25/08/2021	19	9
MacLean, Alexander	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF3 Executive Director	06/08/2021	19	14
MacLean, Alexander	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF16 Compliance Oversight	06/08/2021	19	14
MacLean, Alexander	Aspire Wealth Management Limited	EH12 5EH	456262	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	06/08/2021	19	14
Mallahan, Michael	E D & F Man Capital Markets Limited	SE1 9SG	194926	DFM/Stockbroker	SMF18 Other Overall Responsibility	11/08/2021	1	1
Milne, Roderic	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF3 Executive Director	13/08/2021	19	19
Morrissey, Kevin	OPENMONEY ADVISER SERVICES LTD	M2 3DE	676331	Wealth Manager	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	5	1
Morrissey, Kevin	OPENMONEY ADVISER SERVICES LTD	M2 3DE	676331	Wealth Manager	SMF16 Compliance Oversight	05/08/2021	5	1
O'Reilly, Heather	Jupp Castle Financial Services Limited	GU10 1PX	465681	Holistic Financial Planner	SMF3 Executive Director	19/08/2021	16	14
O'Toole, Daren	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF3 Executive Director	13/08/2021	19	19
O'Toole, Daren	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	19
O'Toole, Daren	HFS Milbourne Financial Services Limited	EC2R 6AY	125051	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	19
Owen, John	Southern Financial Services Ltd	BH8 8EX	174623	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	19	19
Owen, John	Southern Financial Services Ltd	BH8 8EX	174623	Wealth/Investment Advisor	SMF16 Compliance Oversight	18/08/2021	19	19
Owen, John	Southern Financial Services Ltd	BH8 8EX	174623	Wealth/Investment Advisor	SMF3 Executive Director	18/08/2021	19	19
Pan, Colin	Partners Capital LLP	W8 5EH	475743	Wealth Manager	SMF27 Partner	09/08/2021	11	11
Pinder, Trevor	Ashcroft Financial Solutions Limited	DN1 1TD	231629	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	27/08/2021	19	17
Pinder, Trevor	Ashcroft Financial Solutions Limited	DN1 1TD	231629	Holistic Financial Planner	SMF16 Compliance Oversight	27/08/2021	19	17
Postlethwaite, Richard	Alder Investment Management Ltd	EC2R 7AF	122428	Wealth Manager	SMF1 Chief Executive	23/08/2021	19	19
Postlethwaite, Richard	Alder Investment Management Ltd	EC2R 7AF	122428	Wealth Manager	SMF3 Executive Director	23/08/2021	19	19
Sheridan, Raymond	R Sheridan & Co	BT40 2QP	133733	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	03/08/2021	19	19
Sheridan, Raymond	R Sheridan & Co	BT40 2QP	133733	Holistic Financial Planner	SMF27 Partner	03/08/2021	19	19
Sheridan, Raymond	R Sheridan & Co	BT40 2QP	133733	Holistic Financial Planner	SMF16 Compliance Oversight	03/08/2021	19	19
Tapner, Rory	Brown Shipley & Co Limited	EC2R 6AG	124548	Wealth Manager	SMF9 Chair of the Governing Body	04/08/2021	19	2
Todd, Nicholas	Southbank Investment Research Limited	SE1 1UN	706697	Wealth/Investment Advisor	SMF16 Compliance Oversight	24/08/2021	<1	<1
Todd, Nicholas	Southbank Investment Research Limited	SE1 1UN	706697	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	24/08/2021	<1	<1
Treharne, Alison	Shore Financial Planning (Plymouth) Limited	PL1 2RH	611382	Holistic Financial Planner	SMF16 Compliance Oversight	19/08/2021	12	7

Treharne, Alison	Shore Financial Planning (Plymouth) Limited	PL1 2RH	611382	Holistic Financial Planner	SMF3 Executive Director	19/08/2021	12	7
Treharne, Alison	Shore Financial Planning (Plymouth) Limited	PL1 2RH	611382	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	19/08/2021	12	7
Welch, Ian	Platform Securities LLP	B16 8TP	214206	DFM/Stockbroker	SMF2 Chief Finance	09/08/2021	10	10
Welch, Ian	Platform Securities LLP	B16 8TP	214206	DFM/Stockbroker	SMF3 Executive Director	09/08/2021	10	10
Welch, Ian	Platform Securities LLP	B16 8TP	214206	DFM/Stockbroker	SMF5 Head of Internal Audit	09/08/2021	10	10
Willis, Barry	AFH Select Limited	B60 4JE	628009	Wealth/Investment Advisor	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	Core Financial Services Ltd	B60 4JE	471184	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	Corville Financial Services Ltd	B60 4JE	221379	Wealth/Investment Advisor	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	LFS & Partners Limited	B60 4JE	460692	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	The Insurance Partnership Financial Services Limited	HU3 4AE	232445	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	Corville Financial Services Ltd	B60 4JE	221379	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	St Johns Asset Management Limited	B60 4JE	441074	Wealth Manager	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Mulberry Independent Financial Advisers Ltd	TW2 5QB	459871	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Hayburn Rock Financial Planning Ltd	B60 4JE	608396	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	Mulberry Independent Financial Advisers Ltd	TW2 5QB	459871	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	St Johns Asset Management Limited	B60 4JE	441074	Wealth Manager	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	Thomas Heald Solutions Ltd	B60 4JE	528610	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	AFH Select Limited	B60 4JE	628009	Wealth/Investment Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	The Insurance Partnership Financial Services Limited	HU3 4AE	232445	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Broadleaf Financial Services Ltd	B60 4JE	231686	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Core Financial Services Ltd	B60 4JE	471184	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Broadleaf Financial Services Ltd	B60 4JE	231686	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	LFS & Partners Limited	B60 4JE	460692	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Thomas Heald Solutions Ltd	B60 4JE	528610	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	AFH Independent Financial Services Limited	B60 4JE	216704	Wealth Manager	SMF16 Compliance Oversight	13/08/2021	19	10
Willis, Barry	Thomas Heald Ltd	B60 4JE	492792	Holistic Financial Planner	SMF16 Compliance Oversight	13/08/2021	19	1
Willis, Barry	AFH Independent Financial Services Limited	B60 4JE	216704	Wealth Manager	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	10
Willis, Barry	Hayburn Rock Financial Planning Ltd	B60 4JE	608396	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1
Willis, Barry	Thomas Heald Ltd	B60 4JE	492792	Holistic Financial Planner	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	1

## 4. Mortgage Advisor

### 4.1. New Appointment

- Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF3 Executive Director	25/08/2021	16	<1
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF16 Compliance Oversight	26/08/2021	16	<1
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF1 Chief Executive	26/08/2021	16	<1
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	16	<1
Griffiths, Matthew	Fox Private Finance Limited	EH15 1RB	718934	Mortgage Event Advisor	SMF16 Compliance Oversight	11/08/2021	6	5
Hemming, Peter	ABC Finance Ltd	WS12 2DF	304671	Mortgage Event Advisor	SMF16 Compliance Oversight	13/08/2021	19	16
Hemming, Peter	ABC Finance Ltd	WS12 2DF	304671	Mortgage Event Advisor	SMF1 Chief Executive	13/08/2021	19	16
Hemming, Peter	ABC Finance Ltd	WS12 2DF	304671	Mortgage Event Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	19	16
Horner, Brian	Modern Money Ltd	BT37 9SW	939805	Mortgage Event Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	16/08/2021	7	<1
Horner, Brian	Modern Money Ltd	BT37 9SW	939805	Mortgage Event Advisor	SMF3 Executive Director	16/08/2021	7	<1
Horner, Brian	Modern Money Ltd	BT37 9SW	939805	Mortgage Event Advisor	SMF16 Compliance Oversight	16/08/2021	7	<1
Loftus, David	London and Country Mortgages Ltd	BA2 3BA	143002	Mortgage Event Advisor	SMF2 Chief Finance	06/08/2021	6	6
Loynds, Ian	Clear Mortgages (NW) Ltd	OL6 6BY	940002	Mortgage Event Advisor	SMF16 Compliance Oversight	05/08/2021	7	<1
Loynds, Ian	Clear Mortgages (NW) Ltd	OL6 6BY	940002	Mortgage Event Advisor	SMF3 Executive Director	05/08/2021	7	<1
Mills, Christopher	London and Country Mortgages Ltd	BA2 3BA	143002	Mortgage Event Advisor	SMF1 Chief Executive	06/08/2021	6	<1
Nichols, Graeme	West End Mortgages Limited	G14 0XR	943099	Mortgage Event Advisor	SMF3 Executive Director	02/08/2021	1	<1
Nichols, Graeme	West End Mortgages Limited	G14 0XR	943099	Mortgage Event Advisor	SMF16 Compliance Oversight	02/08/2021	1	<1
Spencer, Timothy	Optimus Mortgages Ltd	DH7 6UX	945578	Mortgage Event Advisor	SMF3 Executive Director	31/08/2021	16	<1
Tiernan, Emily	Moneysupermarket.com Financial Group Limited	CH5 3UZ	303190	Mortgage (only) Broker	SMF5 Head of Internal Audit	11/08/2021	<1	<1

### 4.2. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF1 Chief Executive	11/08/2021	16	<1
Antoniou, Daniel	Danire Services Limited	SG9 0DY	938952	Mortgage Event Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	11/08/2021	16	<1
Arberry, Richard	Computershare Mortgage Services Limited	BD16 2UA	303216	Mortgage Event Advisor	SMF7 Group Entity Senior Manager	16/08/2021	1	1
Arberry, Richard	Homeloan Management Limited	BD16 2UA	304476	Mortgage Event Advisor	SMF7 Group Entity Senior Manager	16/08/2021	1	1



<b>Badyal, Ravinder</b>	ABUNDANCE FINANCE LTD	RG12 1WA	926161	Mortgage Event Advisor	SMF3 Executive Director	11/08/2021	2	1
<b>Bennison, Vanessa</b>	JVR FINANCIAL SERVICES LTD	TS18 3HR	941514	Mortgage Event Advisor	SMF17 Money Laundering Reporting Officer (MLRO)	28/08/2021	<1	<1
<b>Edwards, Philippa</b>	Moneysupermarket.com Financial Group Limited	CH5 3UZ	303190	Mortgage (only) Broker	SMF5 Head of Internal Audit	11/08/2021	1	1
<b>Fretwell, Lisa</b>	Runpath Regulated Services Limited	EC1Y 8AF	728244	Mortgage (only) Broker	SMF1 Chief Executive	01/08/2021	1	1
<b>Fretwell, Lisa</b>	Runpath Regulated Services Limited	EC1Y 8AF	728244	Mortgage (only) Broker	SMF3 Executive Director	01/08/2021	1	1
<b>Garrett, Nicola</b>	The Five Lamps Organisation	TS17 7DJ	656112	Mortgage (only) Broker	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	1	1
<b>Hancock, Andrew</b>	Moneysupermarket.com Financial Group Limited	CH5 3UZ	303190	Mortgage (only) Broker	SMF18 Other Overall Responsibility	20/08/2021	1	1
<b>Karpinski, Helen</b>	Lerwick Financial Group Limited	HR9 6FA	737449	Mortgage (only) Broker	SMF3 Executive Director	02/08/2021	14	5
<b>Mahmood, Aysha</b>	Ross & Richardson Limited	CW12 3AU	812760	Mortgage Event Advisor	SMF3 Executive Director	11/08/2021	3	3
<b>McKenzie, Richard</b>	Consumer Credit Counselling Service (Equity Release) Limited	LS2 8ER	517674	Mortgage (only) Broker	SMF3 Executive Director	13/08/2021	7	2
<b>McKinney, Richard</b>	Mortgage Excellence plc	WS13 6QS	301192	Mortgage (only) Broker	SMF16 Compliance Oversight	02/08/2021	8	<1
<b>Newham, Victoria</b>	Key Commercial Finance Solutions Ltd	HD1 5JL	673419	Mortgage (only) Broker	SMF3 Executive Director	09/08/2021	6	6
<b>Sharpe-Szunko, Caroline</b>	Upic Financial Services Ltd	CH2 4NE	809669	Mortgage Event Advisor	SMF3 Executive Director	17/08/2021	3	3
<b>Thorpe, Scott</b>	Access 4 Finance Limited	S60 2LN	619502	Mortgage Event Advisor	SMF16 Compliance Oversight	03/08/2021	5	5
<b>Thorpe, Scott</b>	Access 4 Finance Limited	S60 2LN	619502	Mortgage Event Advisor	SMF3 Executive Director	03/08/2021	5	5
<b>Whifield, Ellen</b>	LEA Financial Services Limited	PL2 1AX	482614	Mortgage Event Advisor	SMF3 Executive Director	31/08/2021	13	13
<b>Wilson, Martin</b>	The Business Mortgage Company Services Limited	CF15 7NE	302764	Mortgage (only) Broker	SMF17 Money Laundering Reporting Officer (MLRO)	12/08/2021	1	<1

## 5. Collective Investment Provider

### 5.1. New Appointment

- Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
Abeyawickrama, Diane	RESI CAPITAL MANAGEMENT LIMITED	EC4V 2AU	546188	Collective Investment Provider	SMF3 Executive Director	10/08/2021	<1	<1
Arona, Marcello	AXA Investment Managers GS Limited	EC2N 4BQ	188523	Collective Investment Provider	SMF1 Chief Executive	04/08/2021	<1	<1
Arona, Marcello	AXA Investment Managers GS Limited	EC2N 4BQ	188523	Collective Investment Provider	SMF3 Executive Director	04/08/2021	<1	<1
Atkins, Amanda	Signet Capital Management Ltd	SW1Y 5LU	222755	Collective Investment Provider	SMF3 Executive Director	19/08/2021	<1	<1
Atkins, Amanda	Signet Capital Management Ltd	SW1Y 5LU	222755	Collective Investment Provider	SMF16 Compliance Oversight	19/08/2021	<1	<1
Bercetche, Martin	Frontier Road Limited	W9 1BN	937460	Collective Investment Provider	SMF3 Executive Director	24/08/2021	6	<1
Bocchio, Luca	Accel Partners Management LLP	W1S 2HR	222503	Collective Investment Provider	SMF27 Partner	11/08/2021	1	1
Bridgeman, Luke	Hosking Partners LLP	SW1Y 4AH	629271	Collective Investment Provider	SMF27 Partner	05/08/2021	19	7
Burnett, George	BOMAD Investments Limited	KT18 6EN	822295	Collective Investment Provider	SMF9 Chair of the Governing Body	20/08/2021	2	2
Butt, Ahmad	Jetstone Asset Management (UK) LLP	SW1Y 6RJ	936054	Collective Investment Provider	SMF1 Chief Executive	03/08/2021	17	<1
Butt, Ahmad	Jetstone Asset Management (UK) LLP	SW1Y 6RJ	936054	Collective Investment Provider	SMF27 Partner	03/08/2021	17	<1
Carron, Brett	Arrowgrass Capital Partners LLP	N13 4BS	413647	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	15	5
Carron, Brett	Arrowgrass Capital Partners LLP	N13 4BS	413647	Collective Investment Provider	SMF16 Compliance Oversight	26/08/2021	15	5
Charles, David	Calibrate Management Ltd	EC2V 7AZ	705601	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	18	<1
Charles, David	Calibrate Management Ltd	EC2V 7AZ	705601	Collective Investment Provider	SMF16 Compliance Oversight	23/08/2021	18	<1
Charles, David	Calibrate Management Ltd	EC2V 7AZ	705601	Collective Investment Provider	SMF3 Executive Director	23/08/2021	18	<1
Clarke, Brian	Low Carbon Investment Management Limited	W1J 8DU	722819	Collective Investment Provider	SMF9 Chair of the Governing Body	10/08/2021	19	<1
Connery, Jason	Deutsche Trustee Company Ltd	EC2N 2EQ	122126	Collective Investment Provider	SMF1 Chief Executive	10/08/2021	5	<1
Connery, Jason	Deutsche Trustee Company Ltd	EC2N 2EQ	122126	Collective Investment Provider	SMF3 Executive Director	10/08/2021	5	<1
Coppin, Mark	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	9	<1
Coppin, Mark	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF3 Executive Director	23/08/2021	9	<1
Coppin, Mark	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF1 Chief Executive	23/08/2021	9	<1
Counsell, Gavin	Allianz Global Investors GmbH	EC2M 3TY	419431	Collective Investment Provider	SMF21 EEA Branch Senior Manager (EBSM)	25/08/2021	15	2
De La Boulaye, Benoit	BNP Paribas Real Estate Investment Management (UK) Limited	EC2V 7BP	208725	Collective Investment Provider	SMF3 Executive Director	24/08/2021	<1	<1
De La Rosa, Jose	Covalis Capital LLP	W1S 2YX	583194	Collective Investment Provider	SMF27 Partner	02/08/2021	16	<1
De Lalouviere, Dominic	Symmetry Investments UK LLP	SW1Y 6JD	610478	Collective Investment Provider	SMF27 Partner	04/08/2021	19	<1
Deblanc, Emmanuel	Allianz Global Investors GmbH	EC2M 3TY	419431	Collective Investment Provider	SMF21 EEA Branch Senior Manager (EBSM)	25/08/2021	19	4
Decoeur, Francois	MV Credit Partners LLP	W1S 4QT	677177	Collective Investment Provider	SMF27 Partner	18/08/2021	11	5
Detlie, Gunnar	AK Jensen Investment Management Limited	EC3V 3ND	622484	Collective Investment Provider	SMF1 Chief Executive	18/08/2021	<1	<1
Detlie, Gunnar	AK Jensen Investment Management Limited	EC3V 3ND	622484	Collective Investment Provider	SMF3 Executive Director	18/08/2021	<1	<1
Deurell, Martin	Kersley Street Capital LLP	W1S 2PB	947286	Collective Investment Provider	SMF27 Partner	10/08/2021	18	<1
Dickinson, Judith	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF9 Chair of the Governing Body	23/08/2021	<1	<1
Dickinson, Judith	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF3 Executive Director	23/08/2021	<1	<1

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Ellis, Simon	Morgan Stanley Investment Management (ACD) Limited	E14 4QA	230885	Collective Investment Provider	SMF9 Chair of the Governing Body	18/08/2021	19	1
Farrell, Katherine	Brunel Pension Partnership Limited	BS1 6PU	790168	Collective Investment Provider	SMF16 Compliance Oversight	31/08/2021	12	1
Faruqi, Maleeha	LENDLEASE REAL ESTATE INVESTMENTS (EUROPE) LIMITED	NW1 3BF	189452	Collective Investment Provider	SMF3 Executive Director	25/08/2021	<1	<1
Flach, Robert	Argenta Private Capital Limited	EC3V 0XL	204845	Collective Investment Provider	SMF1 Chief Executive	26/08/2021	19	16
Gabriel, Gilles	Alma Capital Investment Management S.A.	1118	847717	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	01/08/2021	<1	<1
Hanbury, Stuart	Accel Partners Management LLP	W1S 2HR	222503	Collective Investment Provider	SMF16 Compliance Oversight	16/08/2021	5	<1
Hansen-Luke, Douglas	Midven Limited	B2 5PP	148549	Collective Investment Provider	SMF9 Chair of the Governing Body	05/08/2021	3	<1
Hubble, Justin	Triple Point Investment Management LLP	EC4N 7AF	456597	Collective Investment Provider	SMF16 Compliance Oversight	24/08/2021	5	2
Jaccard, Galina	Jetstone Asset Management (UK) LLP	SW1Y 6RJ	936054	Collective Investment Provider	SMF27 Partner	03/08/2021	<1	<1
Jacobs, Spencer	Praetura Ventures Limited	M3 3GY	817345	Collective Investment Provider	SMF16 Compliance Oversight	23/08/2021	<1	<1
Jacobs, Spencer	Praetura Ventures Limited	M3 3GY	817345	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	<1	<1
Kenny, Mairead	Commodities World Capital LLP	SW1Y 5JH	594002	Collective Investment Provider	SMF27 Partner	10/08/2021	<1	<1
Kenny, Mairead	Commodities World Capital LLP	SW1Y 5JH	594002	Collective Investment Provider	SMF16 Compliance Oversight	10/08/2021	<1	<1
Kenny, Mairead	Commodities World Capital LLP	SW1Y 5JH	594002	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	<1	<1
Klempa, Jennifer	Eaton Vance Advisers International Ltd	EC2N 1AR	772389	Collective Investment Provider	SMF3 Executive Director	21/08/2021	<1	<1
Lauque, Hugo	ARDIAN INVESTMENT UK LIMITED	W1S 4FE	462092	Collective Investment Provider	SMF3 Executive Director	24/08/2021	1	1
Lee, Gary	Kersley Street Capital LLP	W1S 2PB	947286	Collective Investment Provider	SMF27 Partner	10/08/2021	6	<1
Lindsay, James	Gresham House Asset Management Limited	EC2V 6AA	682776	Collective Investment Provider	SMF3 Executive Director	09/08/2021	10	<1
Lipscombe, Samuel	Mobeus Equity Partners LLP	SW1Y 4EX	456538	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	11/08/2021	5	5
Lipscombe, Samuel	Mobeus Equity Partners LLP	SW1Y 4EX	456538	Collective Investment Provider	SMF16 Compliance Oversight	11/08/2021	5	5
Lloyd-Baker, Ewan	Seismic Venture Partners Ltd	NW1 5NR	784448	Collective Investment Provider	SMF3 Executive Director	24/08/2021	2	1
McBride, Richard	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF3 Executive Director	23/08/2021	5	<1
McCartney, Alison	Standish Management (UK) Ltd	W1D 2LF	929695	Collective Investment Provider	SMF16 Compliance Oversight	23/08/2021	6	<1
Middleton, Stephen	Frontier Road Limited	W9 1BN	937460	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	24/08/2021	13	<1
Middleton, Stephen	Frontier Road Limited	W9 1BN	937460	Collective Investment Provider	SMF3 Executive Director	24/08/2021	13	<1
Middleton, Stephen	Frontier Road Limited	W9 1BN	937460	Collective Investment Provider	SMF16 Compliance Oversight	24/08/2021	13	<1
Morse, Stella	Inverleith LLP	EH3 7JF	520669	Collective Investment Provider	SMF16 Compliance Oversight	18/08/2021	<1	<1
Morse, Stella	Inverleith LLP	EH3 7JF	520669	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	<1	<1
Muir, Helen	Europa Capital Partners LLP	SW1W 8ER	518295	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	<1	<1
Muir, Helen	Europa Capital Partners LLP	SW1W 8ER	518295	Collective Investment Provider	SMF16 Compliance Oversight	10/08/2021	<1	<1
Muir, Helen	Europa Capital LLP	SW1W 8ER	230238	Collective Investment Provider	SMF16 Compliance Oversight	10/08/2021	<1	<1
Muir, Helen	Europa Capital LLP	SW1W 8ER	230238	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	<1	<1
Murphy, Vanessa	Octopus AIF Management Limited	EC1N 2HT	615467	Collective Investment Provider	SMF16 Compliance Oversight	03/08/2021	<1	<1
O'Connell, Richard	Columbus Point LLP	W1S 4GA	783838	Collective Investment Provider	SMF1 Chief Executive	27/08/2021	18	<1
Omo, Lorraine	HSBC Global Asset Management (UK) Limited	E14 5HQ	122335	Collective Investment Provider	SMF5 Head of Internal Audit	05/08/2021	3	<1
Ost, Philip	Mirabella Financial Services LLP	SW1Y 4UR	415559	Collective Investment Provider	SMF16 Compliance Oversight	26/08/2021	6	<1

<b>Ost, Philip</b>	Mirabella Financial Services LLP	SW1Y 4UR	415559	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	6	<1
<b>Ost, Philip</b>	Mirabella Malta Limited	SW1Y 4UR	651328	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	6	<1
<b>Paul, Robert</b>	London and Capital Asset Management Limited	W1T 3JJ	143286	Collective Investment Provider	SMF3 Executive Director	05/08/2021	8	7
<b>Sarda, Karan</b>	Alma Capital Investment Management S.A.	1118	847717	Collective Investment Provider	SMF21 EEA Branch Senior Manager (EBSM)	17/08/2021	12	<1
<b>Sham, Cleo</b>	Stride.VC LLP	W1H 6LR	927462	Collective Investment Provider	SMF27 Partner	02/08/2021	<1	<1
<b>Sinnott, Ryan</b>	Alderwood Capital LLP	WC2E 9DA	932036	Collective Investment Provider	SMF27 Partner	25/08/2021	<1	<1
<b>Smith, Michelle</b>	Affirmative Investment Management Partners Limited	EC3V 9BW	658030	Collective Investment Provider	SMF3 Executive Director	18/08/2021	6	6
<b>Suignard, Nicole</b>	Jetstone Asset Management (UK) LLP	SW1Y 6RJ	936054	Collective Investment Provider	SMF16 Compliance Oversight	03/08/2021	<1	<1
<b>Suignard, Nicole</b>	Jetstone Asset Management (UK) LLP	SW1Y 6RJ	936054	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	03/08/2021	<1	<1
<b>Sutcliffe, Jayne</b>	WHEB Asset Management LLP	W1G 0PE	496413	Collective Investment Provider	SMF9 Chair of the Governing Body	11/08/2021	19	<1
<b>Thornton, Matthew</b>	ARDIAN INVESTMENT UK LIMITED	W1S 4FE	462092	Collective Investment Provider	SMF3 Executive Director	18/08/2021	8	1
<b>Trabacchi, Corrado</b>	Orion Capital Managers LLP	W1G 0PU	533351	Collective Investment Provider	SMF27 Partner	02/08/2021	<1	<1
<b>Vallonthaiel, Nishad</b>	Numis Securities Limited	EC2V 7BF	144822	Collective Investment Provider	SMF18 Other Overall Responsibility	12/08/2021	12	1
<b>Van Wyngaarden, Heiko</b>	Optis Investment Management Limited	KT11 3BA	486872	Collective Investment Provider	SMF3 Executive Director	03/08/2021	<1	<1
<b>Walters, Peter</b>	Kersley Street Capital LLP	W1S 2PB	947286	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	14	<1
<b>Walters, Peter</b>	Kersley Street Capital LLP	W1S 2PB	947286	Collective Investment Provider	SMF16 Compliance Oversight	10/08/2021	14	<1
<b>Walters, Peter</b>	Kersley Street Capital LLP	W1S 2PB	947286	Collective Investment Provider	SMF27 Partner	10/08/2021	14	<1
<b>White, Mark</b>	Boundary Capital Partners LLP	EC1N 8LE	610927	Collective Investment Provider	SMF27 Partner	25/08/2021	19	<1
<b>Wilkins, Susan</b>	Actis LLP	SE1 2JT	230585	Collective Investment Provider	SMF27 Partner	13/08/2021	2	2
<b>Wilkins, Susan</b>	Actis GP LLP	SE1 2JT	586759	Collective Investment Provider	SMF27 Partner	13/08/2021	2	2
<b>Williams, Mark</b>	Somerset Capital Management LLP	SW1P 1JA	470343	Collective Investment Provider	SMF27 Partner	05/08/2021	19	<1

## 5.2. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
<b>Aird, David</b>	Ninety One Fund Managers UK Limited	EC2V 7EL	145007	Collective Investment Provider	SMF3 Executive Director	12/08/2021	19	19
<b>Ambrose, Timothy</b>	Farm Street Partners Investment Management LLP	W1U 7NA	530002	Collective Investment Provider	SMF27 Partner	02/08/2021	1	1
<b>Anderson, Nigel</b>	Martin Currie Inc	EH1 2ES	122023	Collective Investment Provider	SMF3 Executive Director	08/08/2021	19	8
<b>Anderson, Nigel</b>	Martin Currie Fund Management Limited	EH1 2ES	119358	Collective Investment Provider	SMF3 Executive Director	08/08/2021	19	8
<b>Averill, John</b>	Octopus AIF Management Limited	EC1N 2HT	615467	Collective Investment Provider	SMF16 Compliance Oversight	03/08/2021	4	4
<b>Barrero, Ignacio</b>	Orion Global Advisors UK Limited	EC4M 7AN	415036	Collective Investment Provider	SMF16 Compliance Oversight	26/08/2021	5	5
<b>Bates, Alexander</b>	Sussex Place Ventures Limited	W1T 5BU	188525	Collective Investment Provider	SMF3 Executive Director	20/08/2021	19	19
<b>Bayer, Michael</b>	Triple Point Investment Management LLP	EC4N 7AF	456597	Collective Investment Provider	SMF16 Compliance Oversight	25/08/2021	15	14
<b>Beerekamp, Ryckert</b>	Zamo Capital LLP	EH10 5RE	922522	Collective Investment Provider	SMF27 Partner	31/08/2021	<1	<1

<b>Boal, David</b>	Siguler Guff UK LLP	W1K 5JA	471987	Collective Investment Provider	SMF27 Partner	20/08/2021	19	6
<b>Boshell, Ffion</b>	Octopus AIF Management Limited	EC1N 2HT	615467	Collective Investment Provider	SMF3 Executive Director	04/08/2021	1	1
<b>Cevdet, Korsan</b>	HSBC Global Asset Management (UK) Limited	E14 5HQ	122335	Collective Investment Provider	SMF5 Head of Internal Audit	04/08/2021	1	1
<b>D'Arcy, Kevin</b>	Europa Capital Partners LLP	SW1W 8ER	518295	Collective Investment Provider	SMF16 Compliance Oversight	23/08/2021	10	10
<b>D'Arcy, Kevin</b>	Europa Capital LLP	SW1W 8ER	230238	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	10	10
<b>D'Arcy, Kevin</b>	Europa Capital LLP	SW1W 8ER	230238	Collective Investment Provider	SMF16 Compliance Oversight	23/08/2021	10	10
<b>D'Arcy, Kevin</b>	Europa Capital Partners LLP	SW1W 8ER	518295	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	10	10
<b>Davies, Paul</b>	Sandbar Asset Management LLP	EC2N 2AT	801828	Collective Investment Provider	SMF16 Compliance Oversight	31/08/2021	3	3
<b>Davies, Paul</b>	Sandbar Asset Management LLP	EC2N 2AT	801828	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	3	3
<b>Davies, Paul</b>	Sandbar Asset Management LLP	EC2N 2AT	801828	Collective Investment Provider	SMF27 Partner	31/08/2021	3	3
<b>De Run, Hamish</b>	Hermes GPE LLP	EC2V 8AS	511314	Collective Investment Provider	SMF27 Partner	13/08/2021	15	8
<b>Freedman, Natasha</b>	Calibrate Management Ltd	EC2V 7AZ	705601	Collective Investment Provider	SMF16 Compliance Oversight	24/08/2021	19	5
<b>Freedman, Natasha</b>	Calibrate Management Ltd	EC2V 7AZ	705601	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	24/08/2021	19	5
<b>Hakham, Benjamin</b>	Albatroz Security Management UK LLP	WD7 8NU	595847	Collective Investment Provider	SMF27 Partner	31/08/2021	19	8
<b>Hakham, Benjamin</b>	Albatroz Security Management UK LLP	WD7 8NU	595847	Collective Investment Provider	SMF1 Chief Executive	31/08/2021	19	8
<b>Hakham, Benjamin</b>	Albatroz Security Management UK LLP	WD7 8NU	595847	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	19	8
<b>Hakham, Benjamin</b>	Albatroz Security Management UK LLP	WD7 8NU	595847	Collective Investment Provider	SMF16 Compliance Oversight	31/08/2021	19	8
<b>Hall, Geoffrey</b>	WHEB Asset Management LLP	W1G 0PE	496413	Collective Investment Provider	SMF9 Chair of the Governing Body	13/08/2021	19	9
<b>Hughes, John</b>	Cambridge Investment Management Limited	CB2 1LQ	515843	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	3	3
<b>Hughes, John</b>	Cambridge Investment Management Limited	CB2 1LQ	515843	Collective Investment Provider	SMF16 Compliance Oversight	02/08/2021	3	3
<b>Hutchinson, Deborah</b>	Channel Capital Advisors LLP	W1T 2RH	462037	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	19	14
<b>Hutchinson, Deborah</b>	Channel Capital Advisors LLP	W1T 2RH	462037	Collective Investment Provider	SMF16 Compliance Oversight	25/08/2021	19	14
<b>Kelley, Micaela</b>	JNE Partners LLP	W1K 1RB	505922	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	31/08/2021	19	2
<b>Kelley, Micaela</b>	JNE Partners LLP	W1K 1RB	505922	Collective Investment Provider	SMF16 Compliance Oversight	31/08/2021	19	2
<b>Lees, Roger</b>	Principal Real Estate Limited	W1K 3JH	564971	Collective Investment Provider	SMF16 Compliance Oversight	18/08/2021	19	4
<b>Lees, Roger</b>	Principal Real Estate Limited	W1K 3JH	564971	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	19	4
<b>Lees, Roger</b>	Principal Real Estate Limited	W1K 3JH	564971	Collective Investment Provider	SMF3 Executive Director	18/08/2021	19	4
<b>Ltd, Brummer</b>	Observatory Capital Management LLP	W1S 2PB	229622	Collective Investment Provider	SMF27 Partner	02/08/2021	11	11
<b>McIlvenny, Robin</b>	New Model Venture Capital Limited	W1K 5JF	564597	Collective Investment Provider	SMF3 Executive Director	26/08/2021	19	9
<b>Morton, Rafe</b>	Deutsche Trustee Company Ltd	EC2N 2EQ	122126	Collective Investment Provider	SMF1 Chief Executive	10/08/2021	7	7
<b>Morton, Rafe</b>	Deutsche Trustee Company Ltd	EC2N 2EQ	122126	Collective Investment Provider	SMF3 Executive Director	10/08/2021	7	7
<b>Patel, Dalisha</b>	EQT Services (UK) Limited	W1F 8JB	577156	Collective Investment Provider	SMF16 Compliance Oversight	26/08/2021	5	3
<b>Patel, Dalisha</b>	EQT Services (UK) Limited	W1F 8JB	577156	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	5	3
<b>Price, Huw</b>	Santander Asset Management UK Limited	G2 5NB	122491	Collective Investment Provider	SMF3 Executive Director	31/08/2021	14	4
<b>Speight, Sebastian</b>	Ingenious Capital Management Limited	W1F 9JG	562563	Collective Investment Provider	SMF3 Executive Director	12/08/2021	13	9



<b>Timone, Anna</b>	Charles Street Securities Europe LLP	SW1X 8RN	483311	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	04/08/2021	1	1
<b>Timone, Anna</b>	Charles Street Securities Europe LLP	SW1X 8RN	483311	Collective Investment Provider	SMF16 Compliance Oversight	04/08/2021	1	1
<b>Vinton, Michael</b>	LGPS Central Ltd	WV1 3NB	784958	Collective Investment Provider	SMF16 Compliance Oversight	18/08/2021	12	3
<b>Vinton, Michael</b>	LGPS Central Ltd	WV1 3NB	784958	Collective Investment Provider	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	12	3
<b>Waugh, Andrew</b>	Oceanwood Capital Management LLP	W1S 4GA	450391	Collective Investment Provider	SMF27 Partner	13/08/2021	19	12

## 6. Investment/Capital Management

### 6.1. New Appointment

- Senior Manager Function added last month at the organisation listed.
- They may have worked for the organisation for some time already or may be new to it.

Person	Firm Name	Postcode	FRN	Segment	Function	Approved Date	Years on Register	Years at Firm
<b>Ahuja, Rahul</b>	Azura Partners Ltd	W1S 4HX	824031	Investment/Capital Management	SMF3 Executive Director	18/08/2021	13	<1
<b>Angel, Robert</b>	Northern Trust Investor Services Limited	E14 5NT	927658	Investment/Capital Management	SMF16 Compliance Oversight	27/08/2021	<1	<1
<b>Ballantine, Elizabeth</b>	Teviot Partners LLP	EH2 4HQ	766508	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	13	<1
<b>Beaumont, James</b>	Natixis Investment Managers UK Limited	EC4V 5ER	190258	Investment/Capital Management	SMF3 Executive Director	09/08/2021	19	8
<b>Benson, Lucy</b>	Amber Financial Investments Limited	SK9 3ND	557354	Investment/Capital Management	SMF1 Chief Executive	09/08/2021	4	<1
<b>Benson, Lucy</b>	Amber Financial Investments Limited	SK9 3ND	557354	Investment/Capital Management	SMF3 Executive Director	09/08/2021	4	<1
<b>Berliand, Richard</b>	Tullett Prebon (Europe) Limited	EC2M 3TP	146880	Investment/Capital Management	SMF13 Chair of the Nominations Committee	23/08/2021	19	<1
<b>Berliand, Richard</b>	Tullett Prebon (Securities) Limited	EC2M 3TP	154234	Investment/Capital Management	SMF13 Chair of the Nominations Committee	23/08/2021	19	<1
<b>Berry, Timothy</b>	Tibra Trading Europe Limited	EC2V 7HR	465790	Investment/Capital Management	SMF1 Chief Executive	26/08/2021	14	14
<b>Blomfield, Sarah</b>	Evercore ISI International Limited	W1S 2HX	575376	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	19	<1
<b>Blomfield, Sarah</b>	Evercore ISI International Limited	W1S 2HX	575376	Investment/Capital Management	SMF3 Executive Director	18/08/2021	19	<1
<b>Blomfield, Sarah</b>	Evercore ISI International Limited	W1S 2HX	575376	Investment/Capital Management	SMF16 Compliance Oversight	18/08/2021	19	<1
<b>Borwell, Nigel</b>	Lead Technologies (Europe) Limited	LS21 1FD	947409	Investment/Capital Management	SMF3 Executive Director	10/08/2021	<1	<1
<b>Borwell, Nigel</b>	Lead Technologies (Europe) Limited	LS21 1FD	947409	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	<1	<1
<b>Borwell, Nigel</b>	Lead Technologies (Europe) Limited	LS21 1FD	947409	Investment/Capital Management	SMF16 Compliance Oversight	10/08/2021	<1	<1
<b>Brennan, Paul</b>	King Street (Europe) LLP	W1J 8HA	432783	Investment/Capital Management	SMF27 Partner	18/08/2021	<1	<1
<b>Brooks, Haydn</b>	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF3 Executive Director	02/08/2021	7	<1
<b>Burton, Trevor</b>	Jane Street Financial Ltd	EC2M 4UJ	486546	Investment/Capital Management	SMF7 Group Entity Senior Manager	18/08/2021	<1	<1
<b>Bushore, Michael</b>	Tyler Investment Management Limited	EC3A 7DT	942489	Investment/Capital Management	SMF3 Executive Director	02/08/2021	8	<1
<b>Bushore, Michael</b>	Tyler Investment Management Limited	EC3A 7DT	942489	Investment/Capital Management	SMF1 Chief Executive	02/08/2021	8	<1
<b>Charbel, Wissam</b>	Farallon Capital Europe LLP	WC2H 9EA	403306	Investment/Capital Management	SMF1 Chief Executive	24/08/2021	13	13
<b>Clarke, Peter</b>	RWC Partners Limited	SW1E 5DH	192676	Investment/Capital Management	SMF9 Chair of the Governing Body	11/08/2021	19	5

Cockbill, Simon	Wells Fargo Asset Management (International) Limited	EC4R 9AT	190608	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	17	<1
Cockbill, Simon	Wells Fargo Asset Management (International) Limited	EC4R 9AT	190608	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	17	<1
Colley, Louise	Zurich Intermediary Group Limited	SN1 1HN	191080	Investment/Capital Management	SMF3 Executive Director	20/08/2021	7	<1
Collins, Edward	Arlington Capital Ltd	SW1A 1RE	810629	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	19/08/2021	16	1
Croft, Andrew	St James's Place Investment Administration Limited	GL7 1FP	622916	Investment/Capital Management	SMF7 Group Entity Senior Manager	16/08/2021	19	6
Daby, Deshika	EuroMTS Limited	EC4N 6EU	188924	Investment/Capital Management	SMF16 Compliance Oversight	18/08/2021	<1	<1
Daby, Deshika	EuroMTS Limited	EC4N 6EU	188924	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	<1	<1
Degiglio, Kenneth	Equilend Europe Limited	E14 5AA	225141	Investment/Capital Management	SMF3 Executive Director	21/08/2021	<1	<1
Deniger, Clayton	Capstone Advisors Limited	W1T 7QZ	794299	Investment/Capital Management	SMF3 Executive Director	17/08/2021	<1	<1
Devchand, Dipesh	CIVITAS INVESTMENT MANAGEMENT LIMITED	W1J 8DU	815699	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	17/08/2021	11	<1
Devchand, Dipesh	CIVITAS INVESTMENT MANAGEMENT LIMITED	W1J 8DU	815699	Investment/Capital Management	SMF16 Compliance Oversight	17/08/2021	11	<1
Eastlund, Eric	SCIO Capital LLP	W1F 8JB	514518	Investment/Capital Management	SMF16 Compliance Oversight	25/08/2021	19	10
Eastlund, Eric	SCIO Capital LLP	W1F 8JB	514518	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	19	10
Eyles, Thomas	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF3 Executive Director	02/08/2021	7	<1
Fitch, Tim	Portsea Asset Management LLP	EC2M 2EF	705149	Investment/Capital Management	SMF27 Partner	24/08/2021	13	<1
Flynn, Michael	SFM UK Management LLP	W1S 2HR	486382	Investment/Capital Management	SMF16 Compliance Oversight	06/08/2021	11	11
Flynn, Michael	SFM UK Management LLP	W1S 2HR	486382	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	06/08/2021	11	11
Fullerton, Alistair	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF3 Executive Director	02/08/2021	6	<1
Granger, Simon	GoldenTree Asset Management UK LLP	W1K 4BP	433066	Investment/Capital Management	SMF27 Partner	02/08/2021	10	<1
Griffin, Jill	Wells Fargo Asset Management (International) Limited	EC4R 9AT	190608	Investment/Capital Management	SMF9 Chair of the Governing Body	26/08/2021	2	2
Guaranys, Camila	Turim UK Limited	W1K 7JF	946494	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	23/08/2021	<1	<1
Hansford, Nicholas	Cowen International Limited	EC2A 2DQ	442744	Investment/Capital Management	SMF18 Other Overall Responsibility	16/08/2021	10	1
Heuberger, Michael	BDT & Company International, LLP	SW1A 1NP	731456	Investment/Capital Management	SMF27 Partner	02/08/2021	19	<1
Holman, Nicholas	Kartesia UK Ltd	W1J 5BQ	920933	AR of Investment/Capital Management	SMF3 Executive Director	21/08/2021	1	1
Hubble, Justin	Triple Point Administration LLP	EC4N 7AF	618187	Investment/Capital Management	SMF16 Compliance Oversight	24/08/2021	5	1
King, James	The Asset Management Exchange (UK) Limited	EC4M 7DQ	823316	Investment/Capital Management	SMF3 Executive Director	12/08/2021	14	1
Klempa, Jennifer	Eaton Vance Management (International) Limited	EC2N 1AR	208634	Investment/Capital Management	SMF3 Executive Director	21/08/2021	<1	<1
Knott, Richard	CVC Credit Partners European CLO Management LLP	WC2R 0AG	740003	Investment/Capital Management	SMF27 Partner	18/08/2021	<1	<1
Knott, Richard	CVC Credit Partners Investment Management Limited	WC2R 0AG	543560	Investment/Capital Management	SMF3 Executive Director	18/08/2021	<1	<1
Korinke, Kimberley	PIMCO Europe Ltd	W1U 3AH	149303	Investment/Capital Management	SMF7 Group Entity Senior Manager	18/08/2021	<1	<1
Kutner, Daryn	Olivetree Financial Limited	EC3R 6EN	494671	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	19/08/2021	19	12

<b>Kutner, Daryn</b>	Olivetree Financial Limited	EC3R 6EN	494671	Investment/Capital Management	SMF1 Chief Executive	19/08/2021	19	12
<b>Kutner, Daryn</b>	Olivetree Financial Limited	EC3R 6EN	494671	Investment/Capital Management	SMF16 Compliance Oversight	19/08/2021	19	12
<b>Langley, Julie</b>	Results International Group LLP	W1D 3AY	461148	Investment/Capital Management	SMF1 Chief Executive	04/08/2021	19	9
<b>Langley, Julie</b>	Results International Group LLP	W1D 3AY	461148	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	04/08/2021	19	9
<b>Langley, Julie</b>	Results International Group LLP	W1D 3AY	461148	Investment/Capital Management	SMF16 Compliance Oversight	04/08/2021	19	9
<b>Latter, Thomas</b>	Assured Investment Management (London) LLP	EC3A 7BA	431877	Investment/Capital Management	SMF27 Partner	23/08/2021	2	2
<b>Loomes-Liebenberg, Ilani</b>	Fusion Wealth Limited	RH12 4QP	541404	Investment/Capital Management	SMF3 Executive Director	27/08/2021	1	1
<b>Louro, Rodrigo</b>	Turim UK Limited	W1K 7JF	946494	Investment/Capital Management	SMF3 Executive Director	23/08/2021	2	<1
<b>Louro, Rodrigo</b>	Turim UK Limited	W1K 7JF	946494	Investment/Capital Management	SMF16 Compliance Oversight	23/08/2021	2	<1
<b>MacKenzie, David</b>	Spreadex Limited	AL1 3UU	190941	Investment/Capital Management	SMF1 Chief Executive	26/08/2021	18	18
<b>Mathieson, Robert</b>	Stamford Partners LLP	EC4M 8AY	512154	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	24/08/2021	19	8
<b>Mathieson, Robert</b>	Stamford Partners LLP	EC4M 8AY	512154	Investment/Capital Management	SMF16 Compliance Oversight	24/08/2021	19	8
<b>Mathieu, Hekeani</b>	Nassau Corporate Credit (UK) LLP	EC2V 5DE	940868	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	12	<1
<b>Mathieu, Hekeani</b>	Nassau Corporate Credit (UK) LLP	EC2V 5DE	940868	Investment/Capital Management	SMF27 Partner	26/08/2021	12	<1
<b>McKay, Anna</b>	Farallon Capital Europe LLP	WC2H 9EA	403306	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	18/08/2021	2	2
<b>McNally, Keith</b>	Demeter Capital Limited	SW1W 0SR	745647	Investment/Capital Management	SMF16 Compliance Oversight	12/08/2021	13	2
<b>McNally, Keith</b>	Demeter Capital Limited	SW1W 0SR	745647	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	12/08/2021	13	2
<b>Meloche, Paul</b>	Nassau Corporate Credit (UK) LLP	EC2V 5DE	940868	Investment/Capital Management	SMF27 Partner	26/08/2021	14	<1
<b>Meloche, Paul</b>	Nassau Corporate Credit (UK) LLP	EC2V 5DE	940868	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	14	<1
<b>Moffatt, Simon</b>	Prudential Distribution Limited	EC3M 5AG	194709	Investment/Capital Management	SMF3 Executive Director	02/08/2021	5	5
<b>Moore, Peter</b>	Cinven Limited	SW1Y 4JZ	938064	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	9	<1
<b>Mortlock, Anna</b>	Mako Global Derivatives Partnership LLP	EC2A 2DQ	231154	Investment/Capital Management	SMF27 Partner	17/08/2021	6	6
<b>Mortlock, Anna</b>	Mako Financial Markets Partnership LLP	EC2A 2DQ	231157	Investment/Capital Management	SMF27 Partner	17/08/2021	6	6
<b>Mowlem, Ruth</b>	N. Roditi and Co. Limited	NW3 1HL	938144	Investment/Capital Management	SMF3 Executive Director	02/08/2021	<1	<1
<b>Muers, Stephen</b>	Big Society Capital Limited	EC4A 1AZ	568940	Investment/Capital Management	SMF3 Executive Director	10/08/2021	4	4
<b>N/a, Nassau</b>	Nassau Corporate Credit (UK) LLP	EC2V 5DE	940868	Investment/Capital Management	SMF27 Partner	26/08/2021	<1	<1
<b>Nigrelli, Paul</b>	Equilend Europe Limited	E14 5AA	225141	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	21/08/2021	17	17
<b>O'Donohue, Brian</b>	Flatgate Capital LLP	MK19 7LU	476897	Investment/Capital Management	SMF27 Partner	10/08/2021	3	<1
<b>O'Donohue, Brian</b>	Flatgate Capital LLP	MK19 7LU	476897	Investment/Capital Management	SMF1 Chief Executive	10/08/2021	3	<1
<b>Ost, Philip</b>	Mirabella Advisers LLP	SW1Y 4UR	606792	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	6	<1
<b>Ost, Philip</b>	Mirabella Advisers LLP	SW1Y 4UR	606792	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	6	<1
<b>Panek, Melanie</b>	Daiwa Capital Markets Europe Limited	EC4N 7DA	124490	Investment/Capital Management	SMF10 Chair of the Risk Committee	13/08/2021	19	<1
<b>Pantekidis, John</b>	Soteria Insurance Limited	M4 3AG	435022	Investment/Capital Management	SMF7 Group Entity Senior Manager	02/08/2021	3	<1
<b>Pepere, Merav</b>	Morgan Stanley Investment Management Limited	E14 4QW	121920	Investment/Capital Management	SMF24 Chief Operations	09/08/2021	<1	<1
<b>Pitts, Stacie</b>	Shell International Trading and Shipping Company Limited	SE1 7NA	171941	Investment/Capital Management	SMF3 Executive Director	20/08/2021	14	14

Pleaner, Mark	Lightrock LLP	SW1Y 4AH	792455	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	21/08/2021	3	<1
Pleaner, Mark	Lightrock LLP	SW1Y 4AH	792455	Investment/Capital Management	SMF16 Compliance Oversight	21/08/2021	3	<1
Pringle, Emma	Hamilton Shanghai Limited	NE20 9LF	950464	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	10/08/2021	<1	<1
Pringle, Martin	Scottish Friendly Asset Managers Limited	G2 4HJ	188832	Investment/Capital Management	SMF1 Chief Executive	24/08/2021	13	5
Pringle, Stephen	Hamilton Shanghai Limited	NE20 9LF	950464	Investment/Capital Management	SMF16 Compliance Oversight	09/08/2021	<1	<1
Pringle, Stephen	Hamilton Shanghai Limited	NE20 9LF	950464	Investment/Capital Management	SMF3 Executive Director	09/08/2021	<1	<1
Pringle, Stephen	Hamilton Shanghai Limited	NE20 9LF	950464	Investment/Capital Management	SMF1 Chief Executive	09/08/2021	<1	<1
Puchtler, Shanta	Man Group Investments Limited	EC4R 3AD	185621	Investment/Capital Management	SMF3 Executive Director	02/08/2021	<1	<1
Purohit, Akash	First Eagle Investment Management Ltd	EC2N 1AR	798029	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	12/08/2021	3	3
Purohit, Akash	First Eagle Investment Management Ltd	EC2N 1AR	798029	Investment/Capital Management	SMF3 Executive Director	12/08/2021	3	3
Purohit, Akash	First Eagle Investment Management Ltd	EC2N 1AR	798029	Investment/Capital Management	SMF1 Chief Executive	12/08/2021	3	3
Rae-Moore, Andrew	Cowen International Limited	EC2A 2DQ	442744	Investment/Capital Management	SMF18 Other Overall Responsibility	16/08/2021	2	1
Reid, Jonathan	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	2	<1
Reid, Jonathan	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	2	<1
Rhodes, Christopher	Tyler Investment Management Limited	EC3A 7DT	942489	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	19	<1
Rhodes, Christopher	Tyler Investment Management Limited	EC3A 7DT	942489	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	19	<1
Roditi, Spencer	N. Roditi and Co. Limited	NW3 1HL	938144	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	19	<1
Roditi, Spencer	N. Roditi and Co. Limited	NW3 1HL	938144	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	19	<1
Roditi, Spencer	N. Roditi and Co. Limited	NW3 1HL	938144	Investment/Capital Management	SMF3 Executive Director	02/08/2021	19	<1
Rosbrook, Michaela	Wessex Capital Partners Limited	W1S 1HU	939073	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	<1	<1
Rosbrook, Michaela	Wessex Capital Partners Limited	W1S 1HU	939073	Investment/Capital Management	SMF3 Executive Director	02/08/2021	<1	<1
Rosbrook, Michaela	Wessex Capital Partners Limited	W1S 1HU	939073	Investment/Capital Management	SMF1 Chief Executive	02/08/2021	<1	<1
Rosbrook, Michaela	Wessex Capital Partners Limited	W1S 1HU	939073	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	<1	<1
Saybasili, Rifat	UNLU SECURITIES UK LIMITED	W1K 5JH	817231	Investment/Capital Management	SMF16 Compliance Oversight	25/08/2021	9	2
Saybasili, Rifat	UNLU SECURITIES UK LIMITED	W1K 5JH	817231	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	9	2
Schmitt, Eva	Gain Capital UK Limited	E1W 1JP	113942	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	<1	<1
Schmitt, Eva	Gain Capital UK Limited	E1W 1JP	113942	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	<1	<1
Seaton, David	Morphose Limited	SW1Y 4JS	803483	Investment/Capital Management	SMF16 Compliance Oversight	19/08/2021	3	3
Seaton, David	Morphose Limited	SW1Y 4JS	803483	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	19/08/2021	3	3
Seaton, David	Morphose Limited	SW1Y 4JS	803483	Investment/Capital Management	SMF3 Executive Director	19/08/2021	3	3
Smith, Elaine	Momentum Global Investment Management Limited	EC4R 1EB	232357	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	13	<1
Smith, Elaine	Momentum Global Investment Management Limited	EC4R 1EB	232357	Investment/Capital Management	SMF3 Executive Director	02/08/2021	13	<1
Smith, Jason	Tabula Investment Management Limited	WC2N 5LR	837444	Investment/Capital Management	SMF3 Executive Director	10/08/2021	19	1
Sparke, Stephen	Tullett Prebon (Securities) Limited	EC2M 3TP	154234	Investment/Capital Management	SMF12 Chair of the Remuneration Committee	23/08/2021	19	<1
Sparke, Stephen	Tullett Prebon (Europe) Limited	EC2M 3TP	146880	Investment/Capital Management	SMF12 Chair of the Remuneration Committee	23/08/2021	19	<1
Sparke, Thomas	Gibbs Denley Investment Management Ltd	CB24 4UL	729017	Investment/Capital Management	SMF3 Executive Director	10/08/2021	7	5

<b>Stent, Carla</b>	Marex Financial	EC2M 3TQ	442767	Investment/Capital Management	SMF13 Chair of the Nominations Committee	18/08/2021	15	6
<b>Umayam, Michael</b>	Carlson Capital UK LLP	SW3 1ER	551833	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	<1	<1
<b>Umayam, Michael</b>	Carlson Capital UK LLP	SW3 1ER	551833	Investment/Capital Management	SMF16 Compliance Oversight	25/08/2021	<1	<1
<b>Van Den Aardweg, Andrew</b>	Daiwa Capital Markets Europe Limited	EC4N 7DA	124490	Investment/Capital Management	SMF3 Executive Director	26/08/2021	6	4
<b>Van Den Aardweg, Andrew</b>	Daiwa Capital Markets Europe Limited	EC4N 7DA	124490	Investment/Capital Management	SMF1 Chief Executive	26/08/2021	6	4
<b>Walsh, Paul</b>	Lead Technologies (Europe) Limited	LS21 1FD	947409	Investment/Capital Management	SMF3 Executive Director	10/08/2021	<1	<1
<b>Watson, Timothy</b>	Global Reach Markets Limited	EC2V 7AF	526549	Investment/Capital Management	SMF3 Executive Director	26/08/2021	<1	<1
<b>Wheeler, Mark</b>	Riverfort Global Capital Limited	N12 ODR	766760	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	11/08/2021	<1	<1
<b>Wheeler, Mark</b>	Riverfort Global Capital Limited	N12 ODR	766760	Investment/Capital Management	SMF16 Compliance Oversight	11/08/2021	<1	<1
<b>Whetstone, Laura</b>	Nother Portfolio Services Ltd	EC2N 2AT	940452	Investment/Capital Management	SMF3 Executive Director	02/08/2021	6	<1
<b>Wilder, Gary</b>	Moor Park Capital Partners LLP	EC2N 2HE	536448	Investment/Capital Management	SMF27 Partner	10/08/2021	19	10
<b>Winning, Emma</b>	Knight Frank Capital Advisory LLP	W1U 8AN	823275	Investment/Capital Management	SMF27 Partner	18/08/2021	<1	<1
<b>Wong, Ho</b>	Segantii Capital Management (UK) Limited	EC4N 1TX	778584	Investment/Capital Management	SMF3 Executive Director	21/08/2021	3	3
<b>Woolton, Simon</b>	Baylor Klein Limited	W1J 5HD	496869	Investment/Capital Management	SMF3 Executive Director	31/08/2021	19	<1
<b>Wright, Andrew</b>	Sporting Index Limited	SE11 4AP	150404	Investment/Capital Management	SMF3 Executive Director	09/08/2021	19	<1
<b>Wright, Andrew</b>	Sporting Index Limited	SE11 4AP	150404	Investment/Capital Management	SMF1 Chief Executive	09/08/2021	19	<1
<b>Young, Kenneth</b>	CVC Credit Partners European CLO Management LLP	WC2R 0AG	740003	Investment/Capital Management	SMF27 Partner	10/08/2021	18	<1
<b>Young, Kenneth</b>	CVC Credit Partners Investment Management Limited	WC2R 0AG	543560	Investment/Capital Management	SMF1 Chief Executive	10/08/2021	18	<1
<b>Zdravecka, Jana</b>	London Capital Group Ltd	EC2V 6EE	182110	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	1	1
<b>Zdravecka, Jana</b>	London Capital Group Ltd	EC2V 6EE	182110	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	1	1
<b>Zwicky, Daniel</b>	Providence Equity LLP	W1S 2FA	447678	Investment/Capital Management	SMF27 Partner	25/08/2021	7	5

## 6.2. Terminated Appointment

- The individuals below have had a Senior Manager Function removed in the last month at the organisation listed.
- They may have left the organisation or simply ceased this particular responsibility while remaining at the firm.

Person	Firm Name	Postcode	FRN	Segment	Function	Terminated Date	Years on Register	Years at Firm
<b>Agarwal, Rahul</b>	ITI Capital Limited	EC2N 1HQ	171487	Investment/Capital Management	SMF3 Executive Director	20/08/2021	<1	<1
<b>Ainsworth, David</b>	Dragon Capital Markets (Europe) Limited	BA1 1BT	449901	Investment/Capital Management	SMF3 Executive Director	30/08/2021	4	4
<b>Alnaim, Founder/Managing</b>	Mayar Capital Ltd.	EC1R 0AT	926424	Investment/Capital Management	SMF16 Compliance Oversight	05/08/2021	6	<1
<b>Bamford, Andrew</b>	Teviot Partners LLP	EH2 4HQ	766508	Investment/Capital Management	SMF16 Compliance Oversight	02/08/2021	19	4
<b>Bayer, Michael</b>	Triple Point Administration LLP	EC4N 7AF	618187	Investment/Capital Management	SMF16 Compliance Oversight	25/08/2021	15	7
<b>Bertrand, Marc</b>	Monsas Ltd	EC2V 5DE	753786	Investment/Capital Management	SMF16 Compliance Oversight	25/08/2021	12	2
<b>Bertrand, Marc</b>	Monsas Ltd	EC2V 5DE	753786	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	12	2
<b>Boehm, Jean-Michel</b>	Seilern Investment Management Ltd	WC2N 6DU	144827	Investment/Capital Management	SMF3 Executive Director	03/08/2021	19	7

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<b>Brinkley-Everard, Benjamin</b>	Beckett Asset Management Limited	IP33 3TU	163504	Investment/Capital Management	SMF3 Executive Director	26/08/2021	12	2
<b>Broom, Craig</b>	Halkin Investments Holdings Limited	W1K 6WE	922091	Investment/Capital Management	SMF16 Compliance Oversight	28/08/2021	4	<1
<b>Broom, Craig</b>	Halkin Investments Holdings Limited	W1K 6WE	922091	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	28/08/2021	4	<1
<b>Carrier, Babett</b>	Cinven Limited	SW1Y 4JZ	938064	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	25/08/2021	5	<1
<b>Chan, Cheung</b>	China Merchants Securities (UK) Limited	E14 5NT	610534	Investment/Capital Management	SMF9 Chair of the Governing Body	01/08/2021	2	2
<b>Chard, Peter</b>	Flatgate Capital LLP	MK19 7LU	476897	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	16/08/2021	19	10
<b>Chard, Peter</b>	Flatgate Capital LLP	MK19 7LU	476897	Investment/Capital Management	SMF16 Compliance Oversight	16/08/2021	19	10
<b>Cooke, Oliver</b>	Tavistock Wealth Limited	SL5 9FE	568089	Investment/Capital Management	SMF3 Executive Director	31/08/2021	14	5
<b>Croft, Andrew</b>	St James's Place Investment Administration Limited	GL7 1FP	622916	Investment/Capital Management	SMF3 Executive Director	16/08/2021	19	6
<b>Davidson, Craig</b>	Davidsons Portfolio Management Ltd	EX20 1AN	796573	Investment/Capital Management	SMF3 Executive Director	12/08/2021	19	3
<b>Dhonsi, Darshan</b>	Lothberg Asset Management Limited	E14 5NR	759206	Investment/Capital Management	SMF3 Executive Director	16/08/2021	4	4
<b>Dhonsi, Sundeep</b>	Lothberg Asset Management Limited	E14 5NR	759206	Investment/Capital Management	SMF3 Executive Director	11/08/2021	18	4
<b>Doran, Edward</b>	Denholm Hall Capital Markets Limited	SW6 3AR	191905	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	19	3
<b>Doran, Edward</b>	Denholm Hall Capital Markets Limited	SW6 3AR	191905	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	19	3
<b>Dufetel, Celine</b>	T. Rowe Price International Ltd	EC4N 4TZ	194667	Investment/Capital Management	SMF3 Executive Director	31/08/2021	2	2
<b>Dufetel, Celine</b>	T. Rowe Price International Ltd	EC4N 4TZ	194667	Investment/Capital Management	SMF2 Chief Finance	31/08/2021	2	2
<b>Edwards, Philip</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF1 Chief Executive	20/08/2021	15	2
<b>Edwards, Philip</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	20/08/2021	15	2
<b>Edwards, Philip</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF16 Compliance Oversight	20/08/2021	15	2
<b>Edwards, Philip</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF3 Executive Director	20/08/2021	15	2
<b>Egbubine, Osita</b>	EBC Financial Group Limited		927552	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	4	<1
<b>Egbubine, Osita</b>	EBC Financial Group Limited		927552	Investment/Capital Management	SMF16 Compliance Oversight	13/08/2021	4	<1
<b>Foley, Michael</b>	Guggenheim Investment Advisors (Europe) Limited	SW1V 1AN	499798	Investment/Capital Management	SMF3 Executive Director	06/08/2021	1	1
<b>Foster, Catharine</b>	Perella Weinberg UK Limited	W1S 4DZ	914627	Investment/Capital Management	SMF16 Compliance Oversight	13/08/2021	5	1
<b>Foster, Catharine</b>	Perella Weinberg UK Limited	W1S 4DZ	914627	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	13/08/2021	5	1
<b>Free, Santal</b>	Capita Employee Benefits (Consulting) Limited	EC2V 7NQ	115051	Investment/Capital Management	SMF3 Executive Director	02/08/2021	1	1
<b>Free, Santal</b>	Capita Pension Solutions Limited	EC2V 7NQ	142484	Investment/Capital Management	SMF3 Executive Director	02/08/2021	1	1
<b>Funada, Masahiro</b>	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF3 Executive Director	05/08/2021	4	4
<b>Funada, Masahiro</b>	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF1 Chief Executive	05/08/2021	4	4
<b>Gherbovet, Victor</b>	Admiral Markets UK Ltd	WC2N 4JS	595450	Investment/Capital Management	SMF3 Executive Director	16/08/2021	2	2
<b>Goncalves, Pedro</b>	Finantia UK Limited	EC2N 2HG	169805	Investment/Capital Management	SMF7 Group Entity Senior Manager	03/08/2021	1	1
<b>Grant, Peter</b>	Lightrock LLP	SW1Y 4AH	792455	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	21/08/2021	14	1
<b>Hajjar, Yousef</b>	Azura Partners Ltd	W1S 4HX	824031	Investment/Capital Management	SMF3 Executive Director	19/08/2021	7	<1
<b>Halton, Angus</b>	Wells Fargo Asset Management (International) Limited	EC4R 9AT	190608	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	19	1

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Heron, Douglas	LPFI Limited	EH3 8EX	741954	Investment/Capital Management	SMF1 Chief Executive	02/08/2021	6	2
Heron, Douglas	LPFI Limited	EH3 8EX	741954	Investment/Capital Management	SMF3 Executive Director	02/08/2021	6	2
Hewitt, Alison	Wells Fargo Asset Management (International) Limited	EC4R 9AT	190608	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	12	<1
Hicks, Andrew	Momentum Global Investment Management Limited	EC4R 1EB	232357	Investment/Capital Management	SMF16 Compliance Oversight	06/08/2021	7	3
Higgins, Brian	Rickitt Mitchell & Partners Limited	M3 3WR	139203	Investment/Capital Management	SMF3 Executive Director	26/08/2021	18	18
Hobbs, Robin	BCS Prime Brokerage Ltd	EC2M 3XD	586463	Investment/Capital Management	SMF4 Chief Risk	28/08/2021	8	6
Holland, Richard	Atos BPS Ltd	EH12 9SE	772582	Investment/Capital Management	SMF1 Chief Executive	26/08/2021	16	3
Holland, Richard	Atos BPS Ltd	EH12 9SE	772582	Investment/Capital Management	SMF3 Executive Director	26/08/2021	16	3
Isaacs, Jeremy	Marex Financial	EC2M 3TQ	442767	Investment/Capital Management	SMF13 Chair of the Nominations Committee	18/08/2021	19	11
Jack, Ian	HarbourVest Partners (U.K.) Limited	SW1Y 6DN	147086	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	27/08/2021	2	2
Jack, Ian	HarbourVest Partners (U.K.) Limited	SW1Y 6DN	147086	Investment/Capital Management	SMF16 Compliance Oversight	27/08/2021	2	2
Johnston, Russell	Capital Markets Elite Group (UK) Limited	EC2R 5BJ	583632	Investment/Capital Management	SMF9 Chair of the Governing Body	06/08/2021	1	1
Jones, Catherine	Northhill Capital LLP	W1J 5HD	584025	Investment/Capital Management	SMF27 Partner	06/08/2021	9	8
Kaan, Timucin	BE Investment Ltd	W1T 2QA	926889	Investment/Capital Management	SMF3 Executive Director	31/08/2021	12	<1
Kubota, Shun	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	05/08/2021	3	3
Kubota, Shun	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF16 Compliance Oversight	05/08/2021	3	3
MacKenzie, David	Spreadex Limited	AL1 3UU	190941	Investment/Capital Management	SMF3 Executive Director	26/08/2021	18	18
Mahon, Stephen	Armstrong Energy Limited	EC2A 3AR	612134	Investment/Capital Management	SMF3 Executive Director	16/08/2021	11	6
Mahon, Stephen	Armstrong Energy Limited	EC2A 3AR	612134	Investment/Capital Management	SMF1 Chief Executive	16/08/2021	11	6
Malmfors, Jessica	Nordea Asset Management UK Ltd	EC2V 7AZ	815140	Investment/Capital Management	SMF3 Executive Director	15/08/2021	2	2
McCarthy, Vincent	Assure Hedge (UK) Limited	WC1R 4FS	783837	Investment/Capital Management	SMF16 Compliance Oversight	17/08/2021	<1	<1
McCarthy, Vincent	Assure Hedge (UK) Limited	WC1R 4FS	783837	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	17/08/2021	<1	<1
McDonagh, Brendan	PEAL CAPITAL PARTNERS UK LIMITED	W1H 6DU	768289	Investment/Capital Management	SMF9 Chair of the Governing Body	02/08/2021	19	3
Morashti, Danielle	Fortrade Limited	SW3 6RD	609970	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	27/08/2021	3	3
Oikawa, Masahiro	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF3 Executive Director	05/08/2021	1	1
Patel, Dalisha	EQT Partners Limited	W1F 8JB	917788	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	26/08/2021	5	1
Patel, Dalisha	EQT Partners Limited	W1F 8JB	917788	Investment/Capital Management	SMF16 Compliance Oversight	26/08/2021	5	1
Patel, Roshel	Currency Solutions Limited	SE1 2BG	602082	Investment/Capital Management	SMF3 Executive Director	26/08/2021	4	4
Payne, John	Beckett Asset Management Limited	IP33 3TU	163504	Investment/Capital Management	SMF3 Executive Director	26/08/2021	19	19
Perfect, Charlotte	Arete Research Services LLP	EC1R 4RG	219841	Investment/Capital Management	SMF27 Partner	13/08/2021	19	2
Prakke, Frits	Alchemy Special Opportunities LLP	SW1H 0AD	452050	Investment/Capital Management	SMF27 Partner	01/08/2021	19	14
Quartermain, Mark	Shell International Trading and Shipping Company Limited	SE1 7NA	171941	Investment/Capital Management	SMF3 Executive Director	04/08/2021	19	19
Rattray, Sandy	Man Group Investments Limited	EC4R 3AD	185621	Investment/Capital Management	SMF3 Executive Director	19/08/2021	17	2
Raven, Benjamin	Tavistock Wealth Limited	SL5 9FE	568089	Investment/Capital Management	SMF3 Executive Director	31/08/2021	13	9
Raven, Brian	Tavistock Wealth Limited	SL5 9FE	568089	Investment/Capital Management	SMF3 Executive Director	31/08/2021	11	9
Raven, Brian	Tavistock Wealth Limited	SL5 9FE	568089	Investment/Capital Management	SMF1 Chief Executive	31/08/2021	11	9
Rechsteiner, Gallus	Lightrock LLP	SW1Y 4AH	792455	Investment/Capital Management	SMF16 Compliance Oversight	21/08/2021	3	3
Riddell, Andrew	Gedik International Limited	EC2N 4AY	916641	Investment/Capital Management	SMF3 Executive Director	17/08/2021	19	1

<b>Riedel, Christian</b>	Co-Investment Partners Ltd	EC2M 1NH	781686	Investment/Capital Management	SMF3 Executive Director	06/08/2021	16	3
<b>Samen, Edward</b>	Pembroke Capital Advisors Limited	W8 6HU	442495	Investment/Capital Management	SMF3 Executive Director	31/08/2021	19	11
<b>Sidhu, Brian</b>	Stater Global Markets Limited	N14 6LD	600837	Investment/Capital Management	SMF3 Executive Director	13/08/2021	<1	<1
<b>Sidhu, Brian</b>	Stater Global Markets Limited	N14 6LD	600837	Investment/Capital Management	SMF1 Chief Executive	13/08/2021	<1	<1
<b>Tanner, Deborah</b>	Hehmeyer U.K Limited	W1G 0EF	734607	Investment/Capital Management	SMF3 Executive Director	27/08/2021	19	3
<b>Tanner, Deborah</b>	Hehmeyer U.K Limited	W1G 0EF	734607	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	27/08/2021	19	3
<b>Tynan, Nathan</b>	Amius Limited	WC2B 5SQ	188130	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	06/08/2021	1	1
<b>Utkan, Cenk</b>	Connexion Capital LLP	W1U 3PP	480006	Investment/Capital Management	SMF27 Partner	20/08/2021	19	13
<b>Valiton, Yann</b>	Riva Capital (UK) Limited	SW1Y 6LX	676827	Investment/Capital Management	SMF17 Money Laundering Reporting Officer (MLRO)	02/08/2021	6	6
<b>Vayanos, Dimitrios</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF3 Executive Director	20/08/2021	2	2
<b>Wilson, Mark</b>	Tavistock Wealth Limited	SL5 9FE	568089	Investment/Capital Management	SMF3 Executive Director	31/08/2021	19	1
<b>Wood, Gavin</b>	Beckett Asset Management Limited	IP33 3TU	163504	Investment/Capital Management	SMF3 Executive Director	26/08/2021	19	2
<b>Woolley, Paul</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF9 Chair of the Governing Body	20/08/2021	19	2
<b>Woolley, Paul</b>	Ricardo Research Limited	KT6 6LL	828286	Investment/Capital Management	SMF3 Executive Director	20/08/2021	19	2
<b>Wootton, Jason</b>	Atlantic Equities LLP	EC2R 7BP	225474	Investment/Capital Management	SMF27 Partner	04/08/2021	18	7
<b>Yamamoto, Tatsuki</b>	GMO-Z.com Trade UK Limited	EC2M 4PL	622897	Investment/Capital Management	SMF3 Executive Director	05/08/2021	6	6
<b>Zhelezko, Oleg</b>	ITI Capital Limited	EC2N 1HQ	171487	Investment/Capital Management	SMF1 Chief Executive	20/08/2021	4	4
<b>Zhelezko, Oleg</b>	ITI Capital Limited	EC2N 1HQ	171487	Investment/Capital Management	SMF3 Executive Director	20/08/2021	4	4

## Appendix

The report has been based on the following segments, plus Appointed Representatives thereof:

- |                                  |                                 |                              |                                 |
|----------------------------------|---------------------------------|------------------------------|---------------------------------|
| • Banking - Investment (only)    | • Banking - Retail & Investment | • Banking - Retail (only)    | • Building Society              |
| • Collective Investment Provider | • DFM/Stockbroker               | • Holistic Financial Planner | • Life/Pension/Annuity Provider |
| • Mortgage (only) Broker         | • Mortgage Event Advisor        | • Other Mortgage Lender      | • Wealth Manager                |
| • Wealth/Investment Advisor      |                                 |                              |                                 |

The following segments have **NOT** been included in the report at present.

- |  |  |                                 |                                       |
|--|--|---------------------------------|---------------------------------------|
| • Benchmark Activity   | • Claims Management                        | • Consumer Hire Agreement Owner | • Credit Broking                      |
| • Credit Lending   | • Credit Union                             | • Debt Advice                   | • Debt Collecting/Administration      |
| • EEA Authorised   | • Equity Release/Home Reversion Specialist | • Friendly Society              | • General Insurance Broker            |
| • General Insurance Provider/Reinsurer                       | • Introducer AR                            | • Investment Support Services   | • Investment/Capital Management       |
| • Non Advisory Investment Broker Professional / Counterparty | • Non Advisory Investment Broker Retail    | • Offshore Fund                 | • Peer to Peer credit system provider |

Please contact us at [andy.marson@autusdataservices.co.uk](mailto:andy.marson@autusdataservices.co.uk) if you would like any of them added to the report.

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