**Management Self-Certification**

**Legal name of applicant firm**

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**Important information you should read before completing this form**

We use this form to get confirmation from management within your organisation that they are aware of – and in compliance with – the relevant regulatory rules and guidelines for the activities they are seeking permissions for.

**Instructions for submission:**

You do not need to submit this form with the application. But you should submit it at least one month before the date you want authorisation from. You must complete the actions set out in the management sign-off page below before the firm can be authorised.

To comply with the Data Protection, Act 2018 and the General Data Protection Regulation (GDPR), please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000 (FSMA) and other relevant legislation and may be disclosed to third parties for those purposes.

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, it will call into question your suitability to be authorised, you may be committing a criminal offence and could face prosecution under section 398A of FSMA regardless of the status of your application.**

**Management sign-off**

We confirm that we have reviewed the governance, architecture, development, testing and security controls for our systems.

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| [*Describe the overall purpose of the systems and business they are intended to support]*. |

We confirm that the following has been completed and accepted as satisfactory for launch:

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| Governance, strategy and culture | *Established framework to oversee operational resilience, in line with business and regulatory requirements.* |  |
| Risk management | *Capability to identify, assess and minimise/mitigate the probability and impact of operational risks to business services, in line with tolerances* |  |
| Service mapping and design | *Capability to design and build business services in line with resilience requirements and maintain a complete and accurate mapping of resources required to operate each service.* |  |
| Change management | *Established framework to manage change in a manner that minimises the probability and impact of disruption to business services.* |  |
| Service continuity and testing | *Ability to maintain acceptable service levels in line with business needs and to ensure that plans are rehearsed and tested to recover from disruption.* |  |
| Third-party management | *Capability to manage interactions with third-party organizations (including intra-group arrangements), to minimise the probability and impact of disruption to business services, in line with tolerances.* |  |
| Threat and vulnerability management functions | *Ability to understand and manage threats and vulnerabilities to minimise impact to business services.* |  |
| Identity and access management | *Capability to manage access to property, technology, and information to prevent misuse which could impact business services.* |  |
| Physical environment management | *Capability to manage and maintain an appropriate operating environment, to protect and support business services.* |  |

Signed,

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| Name of person submitting this form[[1]](#footnote-1) |  |

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| Position of person submitting this form |  |

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| Individual Registration Number (if applicable) |  |

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| --- | --- |
| Date | dd/mm/yy |

Please Note: this form should be signed by an individual holding a senior management function who is responsible for the subject matter or by another appropriate individual delegated by the board.

1. [↑](#footnote-ref-1)