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Register of Control Functions and Approved Persons

Name	FSA Ind. Ref. No	NI Number	Control Functions	Date Fit and Proper Test completed.	Agreement of approved person to perform role (signature)

No	Type	Description	Applicable?
1	Governing functions	director function	
2		non-executive director function	
3		chief executive function	
4		partner function	
5		director of unincorporated association function	
6		small friendly society function	
7		sole trader function	
8	Required functions	apportionment and oversight function	
9		EE investment business oversight function	
10		compliance oversight function	
11		money laundering reporting function	
13	Systems and controls functions	finance function	
14		risk assessment function	
15		internal audit function	
17		significant management (other business operations) function	
19		significant management (financial resources) function	
20		significant management (settlements) function	