



## REGULATORY INSURANCE POLICY CONTROL FUNCTIONS

TYPE	CF	DESCRIPTION OF CONTROL FUNCTION	CATEGORY
<b>Governing function</b>	1	Director function	1
	2	Non-executive Director	2
	3	Chief executive function	1
	4	Partner function	1
	5	Director of an unincorporated association function	2
	6	Small friendly society function	2
<b>Required function</b>	8	Apportionment and oversight function	1
	10	Compliance oversight function	1
	11	Money Laundering reporting function	1
	12	Actuarial function	1
	12A	With profits actuary function	1
	12B	Lloyds actuary function	Not Covered
<b>Systems and Controls function</b>	28	This replaces Control Functions 13-15 13 Finance function	1
		14 Risk assessment function	2
		15 Internal audit function	2
<b>Significant Management function</b>	29	This replaces Control Functions 16-20 16 Significant management (designated investment business) function	1
		17 Significant management (other business operations) function	2
		18 Significant management (underwriting) function	Not Covered
		19 Significant management (financial resources) function	1
		20 Significant management (settlement) function	2
<b>Customer function</b>	30	This replaces Control Functions 21-27 21 Investment adviser function	1
		22 Investment Adviser (trainee) function	2
		23 Corporate finance adviser function	1
		24 Pension transfer specialist function	Not Covered
		25 Adviser to syndicates at Lloyd's function	Not Covered
		26 Customer trading function	1
		27 Investment Management function	1

Broker at **LLOYD'S**