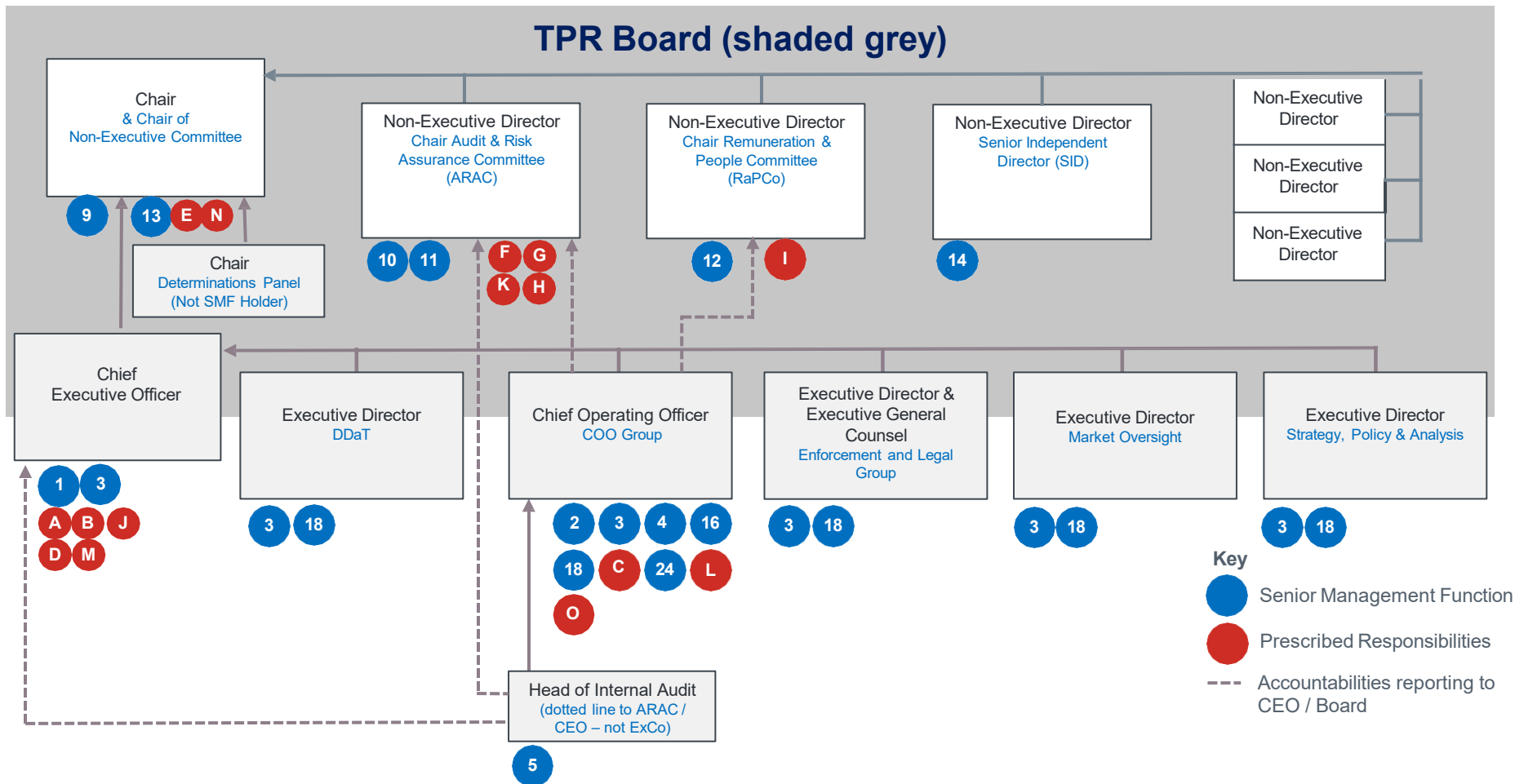


TPR's Management Responsibilities Map



TPR's Senior Manager Function Holders

SMF	Role	Name
SMF 1	Chief Executive Officer & Accounting Officer	Nausicaa Delfas
SMF 2	Chief Financial Officer	Andrew Baigent
SMF 3	Executive Director - CEO Executive Director - COO Group Executive Director - DDaT Executive Director - Market Oversight Executive Director - Strategy, Policy & Analysis Executive Director – Enforcement and Legal Group	Nausicaa Delfas Andrew Baigent Paul Neville Ben Gunnee Richard Knox Gaucho Rasmussen
SMF 4	Chief Risk Function	Andrew Baigent
SMF 5	Head of Internal Audit – Head of Internal Audit (Role is not a member of ExCo)	Jane George
SMF 9	Chair of TPR & Non-Executive Director	Emma Douglas
SMF 10	Chair of Risk Committee & Non-Executive Director	Chris Morson
SMF 11	Chair of Audit Committee (ARAC) & Non-Executive Director	Chris Morson
SMF 12	Chair of Remuneration (RaPCo) & Non-Executive Director	Mandy Clarke

SMF	Role	Name
SMF 13	Chair of Appointments Committee & Non-Executive Director	Emma Douglas
SMF 14	Senior Independent Director & Non-Executive Director	George Walker
SMF 16	Compliance Oversight	Andrew Baigent
SMF 18	Overall Responsibility - People and Culture	Andrew Baigent
SMF 18	Overall Responsibility - DDaT	Paul Neville
SMF 18	Overall Responsibility – Enforcement and Legal Group	Gaucho Rasmussen
SMF 18	Overall Responsibility – Market Oversight	Ben Gunnee
SMF 18	Overall Responsibility – Strategy, Policy and Analysis	Richard Knox
SMF 18	Executive General Counsel	Gaucho Rasmussen
SMF 24	Chief Operating Officer	Andrew Baigent

Prescribed Responsibilities

Description of Prescribed Responsibility	Role	Name
A Responsibility for TPR's performance of its obligations under the Senior Managers Regime	Chief Executive Officer	Nausicaa Delfas
B Responsibility for compliance with TPR's rules relating to the Management Responsibilities Map	Chief Executive Officer	Nausicaa Delfas
C Responsibility for TPR's policies and procedures for countering the risk that the firm might be used to further financial crime	Chief Operating Officer	Andrew Baigent
D Responsibility for overseeing the adoption of TPR's culture in the day-to-day management of the organisation	Chief Executive Officer	Nausicaa Delfas
E Responsibility for leading the development of TPR's culture by the governing body as a whole	Chair of TPR	Emma Douglas
F Responsibility for safeguarding the independence of and oversight of the performance of the Internal Audit function	Chair of ARAC	Chris Morson
G Responsibility for safeguarding the independence of and oversight of the Compliance Function	Chair of ARAC	Chris Morson
H Responsibility for safeguarding the independence of and oversight of second and third line risk	Chair of ARAC	Chris Morson
I Responsibility for overseeing the development of TPR's remuneration policies and practices with specific focus on senior management	Chair of RaPCo	Mandy Clarke
J Responsibility for the development and maintenance of TPR's business model by the governing body	Chief Executive Officer	Nausicaa Delfas

Prescribed Responsibilities

Description of Prescribed Responsibility	Role	Name
K Responsibility for the independence, autonomy and effectiveness of TPR's policies and procedures on internal whistleblowing, including the procedures for protection of staff who raise concerns from detrimental treatment	Chair of ARAC	Chris Morson
L The production and integrity of TPR's financial information	Chief Operating Officer	Andrew Baigent
M Responsibility for the allocation of all TPR's Prescribed Responsibilities	Chief Executive Officer	Nausicaa Delfas
N Responsibility for: (a) leading the development of; and (b) monitoring the effective implementation of; policies and procedures for the induction, training and professional development of all members of TPR's governing body	Chair of TPR	Emma Douglas
O Responsibility for monitoring the effective implementation of policies and procedures for the induction, training and professional development of all persons performing designated Senior Management Functions other than members of the governing body	Chief Operating Officer	Andrew Baigent

 The red circle on the Management Responsibilities Map denotes a Prescribed Responsibility.
TPR has used its own lettering to distinguish responsibilities as this is not determined by the FCA

Appendix: TPR's management responsibilities map - transcript

A flowchart showing TPR's senior management function and prescribed responsibilities.

Please note: Some of the roles have references to Senior management functions and Prescribed responsibilities these can be found in the tables above.

Chair and Chair of Non-Executive Committee

Senior management functions: 9 and 13

Prescribed responsibilities: E and N

The Chair and Chair of Non-Executive Committee has the following reports:

Chair

Determinations Panel (Not SMF holder)

Non-Executive Director

Chair: Audit and Risk Assurance Committee (ARAC)

Senior management functions: 10 and 11

Prescribed responsibilities: F, G, H and K

Non-Executive Director

Chair: Remuneration and People Committee (RaPCo)

Senior management function: 12

Prescribed responsibility: I

Non-Executive Director

Senior Independent Director (SID)

Senior management function: 14

Three Non-Executive Directors

Chief Executive Officer

Senior management functions: 1 and 3

Prescribed responsibilities: A, B, D, J and M

Appendix: TPR's management responsibilities map – transcript continued

The Chief Executive Officer has the following reports:

Executive Director

Digital, Data and Technology (DDaT)

Senior management functions: 3 and 18

Chief Operating Officer

Chief Operating Office Group

Senior management functions: 2, 3, 4, 16, 18 and 24

Prescribed responsibilities: C, L and O

With accountabilities reporting to: Non-Executive Directors of ARAC and RaPCo

Executive Director and Executive General Counsel

Enforcement and Legal Group

Senior management functions: 3 and 18

Executive Director

Market Oversight

Senior management functions: 3 and 18

Executive Director

Strategy, Policy and Analysis

Senior management functions: 3 and 18

The Chief Operating Officer has the following report:

Head of Internal Audit

Senior management function: 5

With accountabilities reporting to ARAC and CEO - not ExCo