

**SUPERVISION MANUAL (NOTIFICATION FORMS) (AMENDMENT)
INSTRUMENT 2015**

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules); and
 - (2) section 137T (General supplementary powers).
- B. The rule-making powers listed above are specified for the purpose of section 138G (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force as follows:
- (1) Part 1 of the Annex to this instrument comes into force on 16 December 2015.
 - (2) Part 2 of the Annex to this instrument comes into force on 7 March 2016.

Amendments to the Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Supervision Manual (Notification Forms) (Amendment) Instrument 2015.

By order of the Board
3 December 2015

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text, unless otherwise stated.

Part 1: Comes into force on 16 December 2015.

The form in the following annex is amended as shown.

15 Form F: Changes in notified persons
Annex
2R

[see following pages]



Application number
(for FCA /PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the notified person in answering the questions in this form. Please read these notes, which are available on both *FCA* and *PRA* websites at:

http://media.fshandbook.info/Forms/notes/imap_formf_notes.doc

<https://www.handbook.fca.org.uk/handbook/SUP/15/Ann2.html>

<http://www.bankofengland.co.uk/PRA>

Both the applicant and the notified person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

Form F - Changes in notified persons

FCA and *PRA* Handbook Reference: *SUP* 15 Annex 2R – Notification under *SUP* 15.4.1R

PRA Rulebook Reference: Notifications 4.1(2)

~~1 April 2013~~ 16 December 2015

Name of notified person[†]
(to be completed by applicant)

Name of *firm*[†]

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 845 606 9966
Facsimile +44 (0) 207 066 0017
E-mail iva@fca.org.uk
Website <http://www.fca.org.uk>

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone +44 (0) 203 461 7000
E-mail PRA.FirmEnquiries@bankofengland.co.uk
Website <http://www.bankofengland.co.uk/PRA>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

[†] The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP3 15.7 or Chapter 7 of the Notifications Part in the *PRA* Rulebook
Form F – Changes in notified persons
Version 6: December 2015

Contact Details


Contact for this application

Title†
First Name†
Surname†
Job Title†
Business address †
Post code†
Phone number (including STD code) †
Email address†
Mobile No†
Fax No. †

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Is the notified person an approved person? YES NO


1.01 a	If 'yes' Notified person's Individual Reference Number (IRN) †	<input type="text"/>
b	OR name of previous regulatory body†	<input type="text"/>
c	AND previous reference number†	<input type="text"/>
1.02	Title (e.g. Mr, Mrs, Ms, etc) †	<input type="text"/>
1.03	Surname†	<input type="text"/>
1.04	ALL forenames†	<input type="text"/>
1.05	Name commonly known by†	<input type="text"/>
1.06	Date of birth†	<input type="text" value="/ /"/>
1.07	National Insurance number†	<input type="text"/>
1.08	Previous name†	<input type="text"/>
1.09	Date of change†	<input type="text" value="/ /"/>
1.10	Reason for change†	<input type="text"/>
1.11 a	Nationality†	<input type="text"/>
b	Passport Number† (If National Insurance number not available)	<input type="text"/>
1.12	Place of birth†	<input type="text"/>

 I have supplied further information related to this in Section 6† YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Firm identification details **Section 2**

2.01	Name of <i>firm</i> making the application†	
2.02	a <i>Firm</i> Reference Number (FRN) †	
2.03	a Name of Home State regulator†	
	b Country†	

 I have supplied further information related to this in Section 6† YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Notified Positions**Section 3**

3.01 Notified positions individual is taking over. †

a Firm's world-wide chief executive where *the person* is situated outside the *United Kingdom*

b The *person*, if not the world-wide chief executive, within the *overseas* firm with a purely strategic responsibility for *UK* operations

c For a *bank*: the two or more *persons* who effectively direct its business in accordance with SYSC 4.2.2

d For a *UK* branch of an *insurer*: the *authorised UK representative*

3.02 Effective date†

/ /

3.03 Individual Reference Number of individual being replaced†

3.04 Name of individual being replaced†



I have supplied further information related to this in Section 6†

YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Employment history for past 5 years**Section 4**

Please start with the most recent employment. †

Note: ALL gaps in employment must be accounted for

4.01 Employment details (1)

a	Period (mm/yyyy) †	From /	To /
b	Nature of employment†	<i>a</i> Employed	<input type="checkbox"/>
		<i>b</i> Self-employed	<input type="checkbox"/>
		<i>c</i> Unemployed	<input type="checkbox"/>
		<i>d</i> Full-time education	<input type="checkbox"/>
	if b, c or d is ticked, please give details†		
c	Name of employer†		
d	Nature of business†		
e	Previous / other names of employer†		
f	Last known address of employer†		
g	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
h	Is / was employer an appointed representative/tied agent†	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which firm?
i	Position held†		
j	Responsibilities†		
k	Reason for leaving†	<i>a</i> Resignation	<input type="checkbox"/>
		<i>b</i> Redundancy	<input type="checkbox"/>
		<i>c</i> Retirement	<input type="checkbox"/>
		<i>d</i> Termination/dismissal	<input type="checkbox"/>
		<i>e</i> End of contract	<input type="checkbox"/>
		<i>f</i> Other	<input type="checkbox"/>

Specify†



I have supplied further information related to this in Section 6†

YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

4.02 a Period (mm/yyyy) †

From / To /

b Nature of employment†

a Employed

b Self-employed

c Unemployed

d Full-time education

if b, c or d is ticked, please give details†

c Name of employer†

d Nature of business†

e Previous / other names of employer†

f Last known address of employer†

g Is / was employer regulated by a regulatory body? †

Yes No Name of regulatory body

h Is / was employer an *appointed representative/tied agent*†

Yes No If yes, of which *firm*?

i Position held†

j Responsibilities†

k Reason for leaving†

a Resignation

b Redundancy


c Retirement

d Termination/dismissal

e End of contract

f Other

Specify†

 I have supplied further information related to this in Section 6† YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

4.03 Employment details (3)

a	Period (mm/yyyy) †	From /	To /
b	Nature of employment†	<i>a</i> Employed	<input type="checkbox"/>
		<i>b</i> Self-employed	<input type="checkbox"/>
		<i>c</i> Unemployed	<input type="checkbox"/>
		<i>d</i> Full-time education	<input type="checkbox"/>
	if b, c or d is ticked, please give details†		
c	Name of employer†		
d	Nature of business†		
e	Previous / other names of employer†		
f	Last known address of employer†		
g	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
h	Is / was employer an <i>appointed representative/tied agent</i> †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which <i>firm</i> ?
i	Position held†		
j	Responsibilities†		
k	Reason for leaving†	<i>a</i> Resignation	<input type="checkbox"/>
		<i>b</i> Redundancy	<input type="checkbox"/>
		<i>c</i> Retirement	<input type="checkbox"/>
		<i>d</i> Termination/dismissal	<input type="checkbox"/>
		<i>e</i> End of contract	<input type="checkbox"/>
		<i>f</i> Other	<input type="checkbox"/>
	Specify†		

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

4.04 Employment details (4)

a Period (mm/yyyy) †

From / To /

b Nature of employment†

- a Employed
- b Self-employed
- c Unemployed
- d Full-time education

if b, c or d is ticked, please give details †

c Name of employer†

d Nature of business†

e Previous / other names of employer†

f Last known address of employer†

g Is / was employer regulated by a regulatory body? †

Yes No Name of regulatory body

h Is / was employer an *appointed representative/tied agent*†

Yes No If yes, of which *firm*?

i Position held†

j Responsibilities†

k Reason for leaving†

- a Resignation
- b Redundancy
- c Retirement
- d Termination/dismissal
- e End of contract
- f Other

Specify†



I have supplied further information related to this in Section 6†

YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

4.05 Employment details (5)

a	Period (mm/yyyy) †	From /	To /
b	Nature of employment†	a Employed <input type="checkbox"/> b Self-employed <input type="checkbox"/> c Unemployed <input type="checkbox"/> d Full-time education <input type="checkbox"/>	
	if b, c or d is ticked, please give details†		
c	Name of employer†		
d	Nature of business†		
e	Previous / other names of employer†		
f	Last known address of employer†		
g	Is / was employer regulated by a regulatory body? †		
h	Is / was employer an <i>appointed representative/tied agent</i> †		
i	Position held†		
j	Responsibilities†		
k	Reason for leaving†		
	Specify†		

➔ I have supplied further information related to this in Section 6† YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Fitness and Propriety†**Section 5**

When answering the questions in this section, the notified person should include matters whether in the UK or overseas. However, the notified person is not required to disclose spent convictions or spent cautions.

5.01	a	Has the notified person ever been convicted of any offence (whether spent or not and whether or not in the <i>United Kingdom</i>):	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	i.	involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or		
	ii.	relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies</i> , insurance, banking or other financial services, insolvency, consumer credit or consumer protection, <i>money laundering</i> , market manipulations or <i>insider dealing</i> ?		
	b	Is the notified person the subject of any current criminal proceedings?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	c	Has the notified person ever been given a caution in relation to any criminal offence	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		*		
5.02		Has the notified person any convictions for any offences (whether spent or not and whether or not in the United Kingdom) other than those in 5.01 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?*	Yes <input type="checkbox"/>	No <input type="checkbox"/>
5.03	a	Has the notified person ever had a County Court Judgment (CCJ) or other judgement debt, (whether or not in the United Kingdom)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Has the notified person had:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	i.	more than 2 CCJs or judgment debts?		
		or		
	ii.	more than £1,000 in total of CCJs or judgment debts?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	b	Is the notified person aware of anybody's intention to:		
	i.	begin more than one set of proceedings against the notified person for a CCJ or other judgment debt? Or	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	ii.	claim more than £1,000 of CCJs or	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		judgment debts in total from the notified person	Yes <input type="checkbox"/>	No <input type="checkbox"/>

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

- 5.04** Does the notified person have any judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part? Yes No
- 5.05** Has the notified person **ever** failed to satisfy any such judgment debts within one year of the making of the order? Yes No
- 5.06 a** Is the notified person, or has the notified person **ever** been, the subject of any bankruptcy proceedings or proceedings for the sequestration of the notified person's estate? Yes No
- b** Has the notified person **ever** entered or is in the process of entering into an agreement in favour of the notified person's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)? Yes No
- 5.07** Does the notified person have any outstanding financial obligations arising from *regulated activities*, which the notified person has carried on in the past (whether or not in the *United Kingdom*)? Yes No
- (In the case of *advisers*, this will include any outstanding liabilities arising from commissions paid for the sale of *packaged products* that have lapsed.)
- 5.08** Has the notified person **ever** been found guilty of carrying on any unauthorised *regulated activities* or been investigated for the possible carrying on of unauthorised *regulated activities*? Yes No
- 5.09** Is the notified person, or has the notified person **ever** been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activities? Yes No
- 5.10** **Has the notified person ever** (whether or not in the *United Kingdom*) –
- a** been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or any fiduciary office or position of trust, whether or not remunerated? Yes No
- b** been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required? Yes No
- c** been disqualified by a court from acting as a *director* of a *company* or from acting in a management capacity or conducting the affairs of any *company*, *partnership* or *unincorporated association*? Yes No
- d** been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56 of the Financial Services and Markets Act 2000, or received a warning Yes No

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notice that such a direction or order be made?

- 5.11** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:
- i. the notified person, or
 - ii. any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner or company secretary, during the notified person's association with that entity and for a period of three years after the notified person ceased to be associated with it, **ever** –
- a** been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted **by any such body?**
 - b** been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action **by any such body?**
 - c** resigned whilst under investigation by, or been required to resign from, **any such body?**
 - d** decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by **any such body**, not to proceed with it?
 - e** been the subject of any civil action which has resulted in a finding against the notified person or it by a court?

Yes No

Yes No

Yes No

Yes No

Yes No

- 5.12** **Has any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner, or company secretary, in the United Kingdom or elsewhere, at any time during the notified person's involvement or within one year of such an involvement -**

- a** been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?
- b** been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?
- c** been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?
- d** been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, by the *Takeover Panel* or any governmental or statutory authority or any other regulatory body (other than as already indicated under 5.11(b) above)?

Yes No

Yes No

Yes No

Yes No

- 5.13** Is the notified person aware of any business interests, employment obligations, or any other situations which may conflict with the performance of the *controlled functions* for which approval is now sought?

Yes No



I have supplied further information related to this in Section 6†

YES NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Supplementary Information †**Section 6**

6.01 Is there any other information the notified person of the firm considers to be relevant to the application? †

Please provide full details†

6.02 Full details must be provided here if there were any issues that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5. †

Please indicate clearly which question additional information relates to. †

Question	Information

6.03 Include a list of all directorships currently or previously held by the notified person in the past 10 years (where *director* has the meaning given in the Glossary). †

6.04 Is there any other information the notified person or the *firm* considers to be relevant to the application? †

Yes No

If yes, provide details below or on a separate sheet of paper†

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

Supporting Documents[†]

Indicate the required supporting documents to accompany this form.

Documents	Mode (Send by Email, Post, or by Fax)

Other information

--

[†] The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

DECLARATION OF NOTIFIED PERSON†

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another *regulatory body*. ~~If there is any doubt about the relevance of information, it should be included.~~

Data Protection†

For the purposes of complying with the Data Protection Act, the personal information in this Form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the ~~applicant~~ notified person.

I can confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the Notes to this Form.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. **I authorise the *FCA* and/or *PRA* to make such enquiries and seek further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.**

7.01 Notified person's full name†

7.02 Signature *

Date† / /

Tick here to confirm you have read and understood this declaration: ∞



* The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission

∞ The above question(s) appears on the electronic form submission only. It does not appear on a paper form submission.

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

DECLARATION OF FIRM†

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and/or *PRA* and to notify the *FCA* and/or *PRA* immediately if materially inaccurate information has been provided.

APER 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. *COCON* 4.2.27G contains a similar provision. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*.

It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another regulatory body. ~~If there is any doubt about the relevance of information, it should be included.~~

In making this application the *firm* believes on the basis of due and diligent enquiry that the notified person is a fit and proper person to perform the notified position(s) listed in section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the notified person is competent to fulfil the duties required of such function(s).

I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the Notes to this Form.

I confirm that I have authority to make this notification, and sign this Form, on behalf of each *firm* identified in section 7. I also confirm that a copy of this Form, as submitted to the *FCA* and/or *PRA* will be sent to each of those *firms* at the same time as submitting the Form to the *FCA* and/or *PRA*.

7.03 Name of the *firm* submitting the application†

7.04 Name of *person* signing on behalf of the firm†

7.05 Job title†

7.06 Signature

Date†

Tick here to confirm you have read and understood this declaration:

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7 or Chapter 7 of the Notifications Part in the *PRA* Rulebook

Completion Checklist

Is the Form fully completed? †

Are ALL forenames included? †

Is there a complete five-year employment history with all gaps explained? †

Is the Form correctly signed and dated by both the *firm* making the application and the notified person? †

Has all supplementary information been included and clearly marked? †

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

10A **Form D: Notification of changes to personal information or**
Annex **application details**
7R

Replace existing Form D with the version shown below. The text is not underlined.

[see following pages]



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for FCA/PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the approved person in answering the questions in this form. Please read these notes, which are available on the *FCA* and *PRA*'s website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>
www.bankofengland.co.uk/PRA

Both the applicant and the approved person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

Form D

Notification of changes in personal information or application details

FCA Handbook Reference: SUP 10A Annex 7R

PRA Handbook Reference: SUP 10B Annex 7R

16 December 2015

Name of individual
(to be completed by applicant)

Name of *firm*
(as entered in 4.01)

Financial Conduct Authority
25 The North Colonnade
Canary Wharf, London E14 5HS, United Kingdom
Telephone +44 (0) 300 500 0597
E-mail iva@fca.org.uk
Website <http://www.fca.org.uk>
Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

Prudential Regulation Authority
20 Moorgate
London, EC2R 6DA, United Kingdom
Telephone +44 (0) 203 461 7000
Email PRA-ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA
Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

What sections should you complete?

The question will below will help you determine the sections of the form you must complete

Please select the outcome

Change in personal details

YES You must complete sections 1, 2, 6 (if applicable) & 7

Change in arrangements

YES You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES You must complete sections 1,2, 5, 6 (if applicable) & 7

Contact Details**Section 1****CONTACT FOR THIS NOTIFICATION**

- | | | |
|-------------|-----------------------------------|--|
| 1.01 | Title
(e.g. Mr, Mrs, Ms, etc) | |
| 1.02 | First name | |
| 1.03 | Surname | |
| 1.04 | Job Title | |
| 1.05 | Business address | |
| | Postcode | |
| 1.06 | Phone number (including STD code) | |
| 1.07 | Email address | |
| 1.08 | Mobile No | |
| 1.09 | Fax No. | |

Details to be changed**Section 2**

2.01	<i>Approved person</i> Individual Reference Number (IRN)	
2.02	Title (e.g. Mr, Mrs, Ms, etc)	
2.03	Surname	
2.04	ALL forenames	
2.05	National Insurance number	
2.06	Nationality	
2.07	Passport number	
2.08	Effective date of change (dd/mm/yy)	/ /
2.09	Reason for change	

Arrangements and Controlled Functions **Section 3**

Add New Arrangement

3.01	State the nature of the arrangement between the candidate and the applicant firm?	<table border="0"> <tr> <td style="padding-right: 20px;">Employee</td> <td><input type="checkbox"/> Continue to Section 4</td> </tr> <tr> <td>Group Employee</td> <td><input type="checkbox"/> Continue to Question 3.02</td> </tr> <tr> <td>Contract for Services</td> <td><input type="checkbox"/> Continue to Section 4</td> </tr> <tr> <td>Appointed Representative</td> <td><input type="checkbox"/> Continue to Question 3.04</td> </tr> <tr> <td>Other Arrangement</td> <td><input type="checkbox"/> Continue to Question 3.03</td> </tr> </table>	Employee	<input type="checkbox"/> Continue to Section 4	Group Employee	<input type="checkbox"/> Continue to Question 3.02	Contract for Services	<input type="checkbox"/> Continue to Section 4	Appointed Representative	<input type="checkbox"/> Continue to Question 3.04	Other Arrangement	<input type="checkbox"/> Continue to Question 3.03
Employee	<input type="checkbox"/> Continue to Section 4											
Group Employee	<input type="checkbox"/> Continue to Question 3.02											
Contract for Services	<input type="checkbox"/> Continue to Section 4											
Appointed Representative	<input type="checkbox"/> Continue to Question 3.04											
Other Arrangement	<input type="checkbox"/> Continue to Question 3.03											
3.02	Name of Group <small>(Once completed continue to Section 4)</small>	<input style="width: 100%; height: 20px;" type="text"/>										
3.03	Details of the Other Arrangement <small>(Once completed continue to Section 4)</small>	<input style="width: 100%; height: 20px;" type="text"/>										

Appointed Representatives

3.04 **Please provide details of the Appointed Representatives you would like to add and/or remove.**
 If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appointed Representative termination.

You must use a separate sheet of paper if necessary.
 If you have used separate sheets of paper, you must indicate how many here.

Appointed Representative 1

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 2

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

Appointed Representative 3

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

Appointed Representative 4

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

Please continue to Section 4

Firm identification details **Section 4**

4.01 Name of *firm*

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the individual performs *controlled functions*

	FRN	Name of <i>firm</i>	<i>Controlled function</i>
a			
b			
c			
d			
e			

Please continue to Section 6

Fitness and Propriety

Section 5

5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

If you answer **Yes** to any of the questions in Section 5 you will be asked for further details in Section 6.02.

<p>5.01.1a</p> <p>Has the <i>candidate</i> ever been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>):</p> <p style="margin-left: 40px;">iii. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or</p> <p style="margin-left: 40px;">iv. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing</i>?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>b</p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>c</p> <p>Has the <i>candidate</i> ever been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.01.2</p> <p>Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.01.3</p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.01.4</p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p> <p>In answering question 5.01.4, the <i>candidate</i> should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>

- 5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:
- a** Been convicted of any criminal offence?
(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)
- b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?
- c** Been the subject of any criminal proceeding which has not resulted in a conviction?
- d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?
- In answering question 5.01.5, the *candidate* should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, *firms* are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

YES NO YES NO YES NO YES NO

5.02 Civil Proceedings

- 5.02.1** Has the *candidate*, **ever** been the subject of a judgement debt or award against the *candidate*?

YES NO

Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.

You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and

i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and

ii) the total number of all judgment debts, awards or CCJs ordered.

- 5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)

YES NO

- 5.02.3** Is the *candidate* aware of:

- a** Any proceedings that have begun, or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt?
- b** More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?
- c** Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the *candidate*?

YES NO YES NO YES NO

- 5.02.4** Does the *candidate* have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?

YES NO

- 5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in

YES NO

full or part, within one year of the order being made?

5.02.6 Has the *candidate* ever:

a Filed for the *candidate's* own bankruptcy or had a bankruptcy petition served on the candidate?

YES NO

b Been adjudged bankrupt?

YES NO

c Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?

YES NO

d Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?

YES NO

e Had assets sequestrated?

YES NO

f Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the *candidate* or result in any kind of agreement with the candidate?

YES NO

5.02.7 Does the *candidate*, or any undertaking under their management, have any outstanding financial obligations arising from *regulated activities*, which have been carried out in the past? (whether or not in the UK or overseas)?

YES NO

5.02.8 Has the *candidate* ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

YES NO

5.02.9 Is the *candidate* currently:

a Party to any civil proceedings? (including those covered in 3.02.7 above)

YES NO

b Aware of anybody's intention to begin civil proceedings against the *candidate*? (you should include any ongoing disputes whether or not such dispute is likely to result in any order against the *candidate*.)

YES NO

5.02.10 Has any firm at which the *candidate* holds or has held a position of influence ever been:

a Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?

YES NO

b The subject of a judgement debt or award against the firm? (you should include all CCJs) made against the firm, whether satisfied or not.

YES NO

c Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?

YES NO

5.02.11	Is any firm at which the <i>candidate</i> currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:	
a	a party to civil proceedings?	YES <input type="checkbox"/> NO <input type="checkbox"/>
b	aware of anyone's intention to begin civil proceedings against them?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.02.12	Has any company, partnership or unincorporated association of which the <i>candidate</i> is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.03 Business and Employment Matters		
5.03.1	Has the <i>candidate</i> ever been:	
a	Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
b	The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the <i>candidate</i>)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
c	The subject of any investigation which has led or might lead to disciplinary proceedings?	YES <input type="checkbox"/> NO <input type="checkbox"/>
d	Notified of any potential proceedings of a disciplinary nature against the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
e	The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.03.2	Has the <i>candidate</i> ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.03.3	Does the <i>candidate</i> have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?	YES <input type="checkbox"/> NO <input type="checkbox"/>

5.04 Regulatory Matters

- 5.04.1** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see guidance notes), has:
- The *candidate*, or
 - Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –
- a** Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?
- b** Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?
- c** Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the *candidate* or the firm?
- d** Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the *candidate* or the firm?
- e** Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?
- f** Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?
- g** Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?
- h** Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?
- i** Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?
- j** Provided payment services or distributed or redeemed e-money on behalf of a regulated *firm* or itself under any contractual agreement where that agreement was terminated by the regulated *firm*?
- k** Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

- 5.04.2** In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any *firm* at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the *firm* ever:
- a** Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?
- b** Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?
- c** Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?
- d** Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?
- e** Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?
- f** Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 *FSMA*, or received a warning notice proposing that such a direction or order be made, or received a private warning?

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO

5.05 Other Matters

5.05.1 Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES NO

5.05.2 Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES NO

Supporting Documents and Information **Section 6**

6.01 Indicate the required supporting documents to accompany this form

Documents	Mode (by email, fax, post)

6.02 Full details must be provided here if any questions have been answered 'yes' in Section 5 (Fitness and Propriety)

Question	Information

Declarations and signatures

Section 7

DECLARATION OF APPROVED PERSON

The *firm* must ask the individual to make the declaration only where the *firm* becomes aware of information that would reasonably be material to the assessment of the *approved person's* continuing fitness and propriety.

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another regulatory body.

Data Protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the *approved person*.

I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.

7.01 Full name of *approved person*
i.e. Title, forenames, SURNAME

7.02 Signature

Date / /

DECLARATION OF FIRM

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and/or *PRA* and to notify the *FCA* and/or *PRA* immediately if materially inaccurate information has been provided. *APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*. It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another regulatory body.

I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.

7.03 Name of the *firm*

7.04 Name of *person* signing
on behalf of the *firm*

7.05 Position

7.06 Signature

Date / /

These questions should only be completed if submission of this form is online. They should not be completed if the form is being submitted in one of the other ways set out in SUP 15.7

Part 2: Comes into force on 7 March 2016.

**10A Form D: Notification of changes to personal information or
Annex application details and conduct breaches/disciplinary action related
7R to conduct**

Replace the version of Form D shown in Part 1 of this instrument with the version shown below. The text is not underlined.

[Editor's Note: The version shown below also replaces the version of Form D made by the Individual Accountability Instrument 2015 (FCA 2015/31) which was also due to come into force on 7 March 2016.]

[see following pages]



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for *FCA/PRA* use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the approved person in answering the questions in this form. Please read these notes, which are available on the *FCA* and *PRA*'s website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>

www.bankofengland.co.uk/PRA

Both the applicant and the approved person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing this form.

Form D Notification: Changes to personal information/ application details and conduct breaches/disciplinary action related to conduct

FCA Handbook Reference: SUP 10A Annex 7R

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications

Senior Insurance Managers Regime - Applications and Notifications

7 March 2016

Name of individual
(to be completed by firm)

Name of *firm*
(as entered in 2.01)

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 300 500 0597
E-mail iva@fca.org.uk
Website <http://www.fca.org.uk>
Registered as a Limited Company in England and
Wales No 1920623. Registered Office as above

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone +44 (0) 203 461 7000
Email PRA-ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA
Registered as a Limited Company in England and Wales
No 07854923. Registered Office: 8 Lothbury Road,
London, EC2R 7HH

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

What sections should you complete?

The question below will help you determine the sections of the form you must complete

Please select the outcome

Change in personal details

YES You must complete sections 1, 2, 6 (if applicable) & 7

Change in arrangements

YES You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES You must complete sections 1, 2, 5, 6 (if applicable) & 7

Notifications under Section 64B(5) or 64C of the Financial Services and Markets Act 2000

YES You must complete sections 1, 2, 6 & 7

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Contact Details**Section 1**

Contact for this notification

1.01	Title (e.g Mr; Mrs, Ms, etc)	
1.02	First Name	
1.03	Surname	
1.04	Job Title	
1.05	Business address	
	Post code	
1.06	Phone number (including STD code)	
1.07	Email address	
1.08	Mobile No	
1.09	Fax No.	



I have supplied further information
related to this page in Section 7

YES

NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Details to be changed**Section 2**

2.01 *Approved person* Individual Reference Number (IRN)

DETAILS TO BE CHANGED

2.02 Title
(e.g. Mr, Mrs, Ms, etc)

2.03 Surname

2.04 ALL forenames

2.05 National Insurance number

2.06 Nationality

2.07 Passport number

2.08 Job Title or Position

2.09 Effective date of change

2.10 Reason for change



I have supplied further information related to this page in Section 7

YES

NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Arrangements and Controlled Functions

Section 3

Add New Arrangement

3.01	State the nature of the arrangement between the candidate and the applicant firm?	<input type="checkbox"/> Employee <input type="checkbox"/> Continue to Section 4
		<input type="checkbox"/> Group Employee <input type="checkbox"/> Continue to Question 3.02
		<input type="checkbox"/> Contract for Services <input type="checkbox"/> Continue to Section 4
		<input type="checkbox"/> Appointed Representative <input type="checkbox"/> Continue to Question 3.04
		<input type="checkbox"/> Other Arrangement <input type="checkbox"/> Continue to Question 3.03
3.02	Name of Group (Once completed continue to Section 4)	
3.03	Details of the Other Arrangement (Once completed continue to Section 4)	

Appointed Representatives

3.04 **Please provide details of the Appointed Representatives you would like to add and/or remove.**

If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appropriate Representative termination.

You must use a separate sheet of paper if necessary.

If you have used separate sheets of paper, you must indicate how many here.

Appointed Representative 1

Are you adding or removing an Appointed Representative?	Add <input type="checkbox"/> Remove <input type="checkbox"/>
AR FRN	
Firm Name	
Effective date (dd/mm/yy)	

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Appointed Representative 2

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 3

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 4

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Firm Identification Details**Section 4**4.01 Name of *firm*

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the individual performs *controlled functions* (other than senior management functions – see section 4.04)

	FRN	Name of <i>firm</i>	Controlled function
a			
b			
c			
d			
e			

4.04 Other *firms* for whom the individual performs *senior management functions*

	FRN	Name of <i>firm</i>	Senior Management function
a			
b			
c			
d			
e			



I have supplied further information related to this page in Section 7

YES NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the *PRA* Rulebook

Fitness and Propriety (general)**Section 5**

5.00 Do you want to notify us of a change to the approved person's fitness and propriety?

5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

If you answer Yes to any of the questions in Section 5 you will be asked for further details in Section 7.02

5.01.1a	Has the <i>candidate</i> ever been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>):	
	v. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or	YES <input type="checkbox"/> NO <input type="checkbox"/>
	vi. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i>	
b	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
c	Has the <i>candidate</i> ever been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.01.2	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.01.3	Is the <i>candidate</i> the subject of any ongoing criminal investigation?	
5.01.4	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
	In answering question 5.01.4, you should include all matters even where the <i>candidate</i> was not the subject of the investigation.	



I have supplied further information related to this page in Section 6 YES NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.01.5 Has any firm at which the *candidate* holds or has held a position of influence ever:

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

YES NO

a Been convicted of any criminal offence?

YES NO

b Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

c Been the subject of any criminal proceeding which has not resulted in a conviction?

YES NO

d Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, *firms* are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

YES NO



I have supplied further information related to this page in Section 6

YES NO

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5.02 Civil Proceedings

<p>5.02.1 Has the <i>candidate</i>, ever been the subject of a judgement debt or award against the <i>candidate</i>?</p> <p>Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.</p> <p><i>Candidate</i> should include all Court Court Judgement(s) (CCJs) made against the <i>candidate</i>, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.02.2 Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the <i>candidate</i> (other than a judgement debt or award referred to in 5.02.1 above)? (<i>candidate</i> should include, for example, injunctions and employment tribunal proceedings.)</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.02.3 Is the <i>candidate</i> aware of:</p> <p>a Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>candidate</i>, for a CCJ or another judgement debt?</p> <p>b More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?</p> <p>c Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the <i>candidate</i>?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.02.4 Does the <i>candidate</i> have any current judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.02.5 Has the <i>candidate</i> ever failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>



I have supplied further information related to this page in Section 6

YES NO

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5.02.6	Has the <i>candidate</i> ever:		
a	Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
d	Made any arrangements with the <i>candidate</i> 's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
e	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
f	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.7	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.8	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.9	Is the <i>candidate</i> currently:		
a	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (<i>candidate</i> should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.10	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:		
a	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	The subject of a judgement debt or award against the firm? (<i>candidate</i> should include all CCJs) made against the firm, whether satisfied or not.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6

YES NO

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5.02.11 Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

a a party to civil proceedings?

YES NO

b aware of anyone's intention to begin civil proceedings against them?

YES NO

5.02.12 Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES NO



I have supplied further information related to this page in Section 6

YES NO

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5.03 Business and Employment Matters**5.03.1** Has the *candidate* ever been:**a** Disqualified from acting as a director or similar position (one where the *candidate* acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?YES NO **b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?YES NO **c** The subject of any investigation which has led or might lead to disciplinary proceedings?YES NO **d** Notified of any potential proceedings of a disciplinary nature against the *candidate*?YES NO **e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)YES NO **5.03.2** Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?YES NO **5.03.3** Does the *candidate* have any material written complaints made against the *candidate* by the *candidate*'s clients or former clients in the last five years which the *candidate* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?YES NO 

I have supplied further information related to this page in Section 6

YES NO

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5.04 Regulatory Matters

5.04.1

In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

a	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
d	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
e	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
f	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
g	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
h	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
i	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
j	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
k	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6

YES

NO

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5.04.2 In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the firm ever:

- a** Been found to have carried on activities for which authorisation or registration by the *FCA/PRA* or any other regulatory body is required without the requisite authorisations?
- b** Been investigated for the possible carrying on of activities requiring authorisation or registration by the *FCA/PRA* or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?
- c** Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval?
- d** Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?
- e** Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the *FCA/PRA* of the identity of a person acting in a position of influence over its electronic money or payment services business?
- f** Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?

YES NO

YES NO

YES NO

YES NO

YES NO

YES NO



I have supplied further information related to this page in Section 6

YES NO

5.05 Other Matters

5.05.1 Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought?

YES NO

5.05.2 Are the *candidate* or the *firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Fitness and Propriety – Notifications under Section 64B(5) or 64C of the Financial Services and Markets Act 2000 Section 6

This section should be completed by a firm that is a relevant authorised person to:

- (a) make a notification under section 64B(5) (Breach of conduct rules) of the Financial Services and Markets Act 2000 of known or suspected breach of the individual or senior manager conduct rules set out in the FCA's COCON or PRA Conduct Rules;
- (b) make a notification of disciplinary action (as defined in section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000) due to any action, failure to act or circumstance that amounts to a breach of the individual or senior manager conduct rules set out in the FCA's COCON or PRA Conduct Rules;
- (c) make a follow up notification to update a determination that has previously been the subject of a notification that has been made by the firm in relation to (a) or (b) (as appropriate and to the extent required by, in the case of the FCA, SUP15.11.8 or in the case of the PRA, Notifications 11.5 in the PRA's Rulebook).

6.01 Initial or update on previous notification

6.01.1 Is the firm updating a previous notification made under section 64B(5) or section 64C of the Financial Services and Markets Act 2000 ?

YES NO

If the firm has answered "No", please go to section 6.02

If the firm has answered "Yes", please complete the below:

Date of previous notification:
Please provide brief details of prior notification including reference number:
Description of the update to the previous notification (this includes updates to previous notifications made under section 64B(5) (Breach of Conduct Rules) and 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000):

6.02 Notification of breaches of the individual or senior manager conduct rules and/or disciplinary action.

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

6.02.1 If the firm is making a notification under section 64B(5) of the Financial Services and Markets Act 2000 of any known or suspected breach(es) of the individual or senior manager conduct rules set out in the *FCA's* COCON or *PRA* Conduct Rules, please complete the relevant boxes below.

	Tick the rule(s) relevant to this notification	Tick if this is a known breach	Tick if this is a suspected breach
Individual Conduct Rules			
Rule 1: You must act with integrity.			
Rule 2: You must act with due skill, care and diligence.			
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.			
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.			
Rule 5: You must observe proper standards of market conduct.			
Senior Manager Conduct Rules			
SC1: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible is controlled effectively.			
SC2: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible complies with relevant requirements and standards of the <i>regulatory system</i> .			
SC3: You must take reasonable steps to ensure that any delegation of your responsibilities is to an appropriate <i>person</i> and that you oversee the discharge of the delegated responsibility effectively.			
SC4: You must disclose appropriately any information of which the <i>FCA</i> or <i>PRA</i> would reasonably expect notice.			

6.02.2 For each breach please provide the following information. Please attach additional sheets as necessary.

Relevant rule(s): Date when known or suspected breach came to the attention of the firm: Date or period of known or suspected breach
--

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

Details of the known or suspected breach:

6.02.3 If the firm is making a notification under section 64C of the Financial Services and Markets Act 2000, please provide details below of disciplinary action taken and the reasons for this action.



I have supplied further information related to this page in Section 7 YES NO

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Supporting Documents and Supplementary Information Section 7

- 7.01** Full details must be provided here if any questions have been answered “yes” in Section 5 (Fitness and Propriety) and if there is any other information the approved person or the firm considers to be relevant to the notification?

Please provide full details

Please indicate clearly which question the supplementary information relates to.

Question	Information

- 7.02** How many additional sheets are being submitted? []

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Supporting Documents

7.03 Indicate the required supporting documents to accompany this form.

Documents	Mode (by email, fax, post)

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the *PRA* Rulebook

Declarations and signatures

Section 8

Declaration

The *firm* must ask the *approved person* to make the declaration to be given by the individual only where the *firm* becomes aware of information that would reasonably be material to the assessment of the individual's continuing fitness and propriety.

However, note that it may not be appropriate in the case of an *approved person* who performs a *senior management function* to ask that *approved person* to make the declaration below where the *firm* becomes aware of information that would reasonably be material to the assessment of that *approved person's* continuing fitness and propriety.

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000). It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another regulatory body.

In addition to other regulatory responsibilities, *firms*, senior managers and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it or they would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the firm and/or the *approved person*.

DECLARATION OF APPROVED PERSON

The *approved person* confirms that he or she is aware that, for the purposes of complying with the Data Protection Act, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the *approved person*.

The *approved person* confirms that the information in this Form is accurate and complete to the best of his or her knowledge and belief and that he or she has read the notes to this Form. The *approved person* will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *approved person* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. The *approved person* also understands that the results of these enquiries may be disclosed to the *Firm* / his or her employer.

8.01 Full name of *approved person*

i.e. Title, forenames, SURNAME

8.02 Signature

Date

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

DECLARATION OF FIRM

The *firm* confirms that the information in this Form is accurate and complete to the best of its knowledge and belief. The Firm will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.

If the *firm* submits this Form on behalf of one or more other *firms*, the *firm* confirms that is duly authorised by such *firm(s)* to make such submission.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *firm* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form.

By signing below, the person submitting this Form on behalf of the *firm* confirms that this Form is accurate and complete to the best of his or her knowledge and he or she has read and understood the notes to this Form and the declaration given by the Firm.

8.03 Name of the *firm*

8.04 Name of *person* signing on behalf of the *firm*

8.05 Position

8.06 Signature

Date

The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the *PRA* Rulebook