



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

## Form J - Notification of Significant Changes in Responsibilities of a Person Performing a *Senior Management Function*

*FCA Handbook* Reference: SUP 10C Annex 9D

*PRA Rulebook* Reference: Notifications and Senior Managers Regime - Applications and Notifications<sup>1</sup>

Please submit with this form an updated *statement of responsibilities* including the effective date.

Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

10 December 2018

Name of *approved person*  
(to be completed by applicant *firm*)

Name of applicant *firm*  
(as entered in 3.01)

Financial Conduct Authority  
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Stratford  
London E20 1JN  
United Kingdom  
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and Wales No 1920623. Registered Office as  
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Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
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Email PRA-  
[ApprovedPersons@bankofengland.co.uk](mailto:ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>1</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

**1.01** Contact for this notification (at the applicant *firm*)

|  |                  |  |
|--|------------------|--|
|  | Title            |  |
|  | First name       |  |
|  | Surname          |  |
|  | Job title        |  |
|  | Business address |  |
|  | Postcode         |  |
|  | Phone number     |  |
|  | Email address    |  |

**Personal identifications details****Section 2**

**2.01** Individual Reference Number (IRN)

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

**2.03** Surname

**2.04** ALL forenames

**2.05** Date of birth

**2.06** National Insurance number

**Firm identification details****Section 3**

**3.01** Name of applicant *firm*

**3.02** *Firm* Reference Number (FRN)

**3.03 a** Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

**b** Business address

**c** Position

**d** Telephone

**e** Mobile

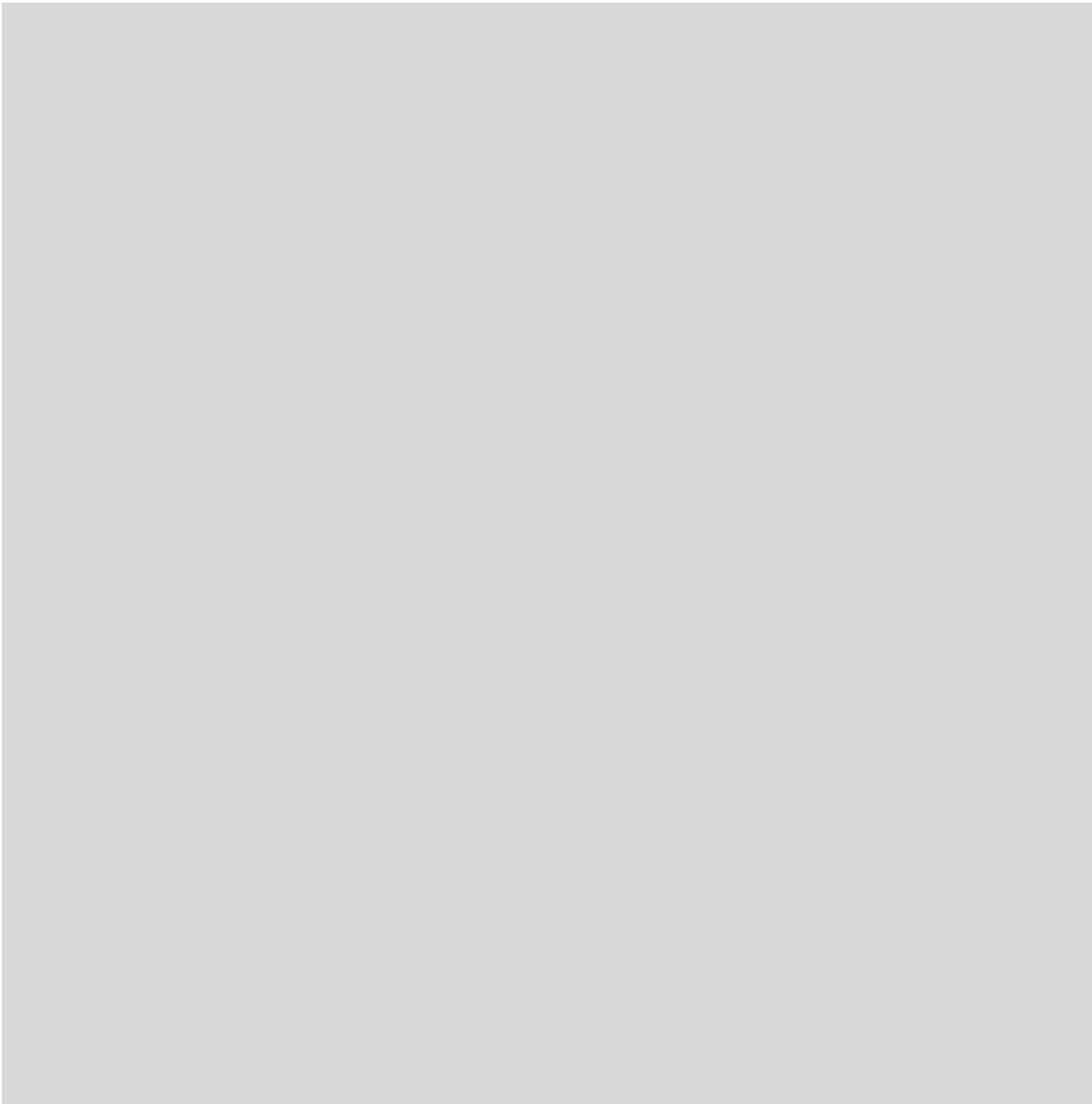
**f** E-mail

**4.1 Summary of Significant Changes made**

Please provide a summary of the significant changes made since the date of the previously submitted *statement of responsibilities*.

Please submit with this form an updated *statement of responsibilities* including the effective date.

If applicable, please submit with this form an updated *management responsibilities map*. Banking sector *firms*, Solvency II insurers, Large non-directive insurers and enhanced-scope SMCR *firms* are all required to have *management responsibilities maps*. Please see SYSC 25 in the *FCA Handbook* and Allocation of Responsibilities in the *PRA Rulebook*<sup>2</sup> for more information.



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<sup>2</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying.

**Declaration by *approved person***

The *candidate/approved person* confirms that this *statement of responsibilities* accurately reflects the aspects of the affairs of the applicant *firm* which it is intended that the *approved person* will be responsible for managing. The *approved person* confirms that they have accepted all the responsibilities set out in this *statement of responsibilities*.

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

This is given as the date in which the individual took up the roll or intends to take up the role.

For the purposes of complying with data protection legislation, please read our privacy notices:

FCA's privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the *FCA* and/or the *Bank of England* collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

Name of *candidate/approved person*

Signature

Date

**Declaration by Applicant *Firm***

It is a criminal offence, knowingly or recklessly, to give us information that is materially false, misleading or deceptive.

The applicant *firm* confirms that the information provided is accurate and complete to the best of its knowledge.

In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it 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*.

The person signing on behalf of the applicant *firm* confirms that:

- they have read this declaration in full;
- they have confirmed that the information supplied is accurate and complete to the best of their knowledge, and the updated *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *approved person* will be responsible for managing.

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Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the *FCA* and/or the *Bank of England* collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

Name of applicant *firm*

Name of *person* signing on behalf of applicant *firm*

[Redacted]

Job title

[Redacted]

Signature

[Redacted]

Date

[Redacted]