



Application number
(for PRA use only)

Form L: Notifications of breach of conduct rules and related disciplinary action in relation to a person performing a certification function or a Conduct Rules non-executive director

PRA Rulebook Reference: Notifications¹

[COMMENCEMENT DATE]

A *firm* should only use this form to make a notification in relation to an employee performing a *certification function* specified by the PRA or a *Conduct Rules non-executive director*. Notifications of conduct rules breaches relating to a *person* performing a *senior management function* should be made using Form C or Form D, as set out in the Notifications Part of the Rulebook.

Name of individual
(to be completed by firm)

Name of *firm*

Firm Reference Number (FRN)

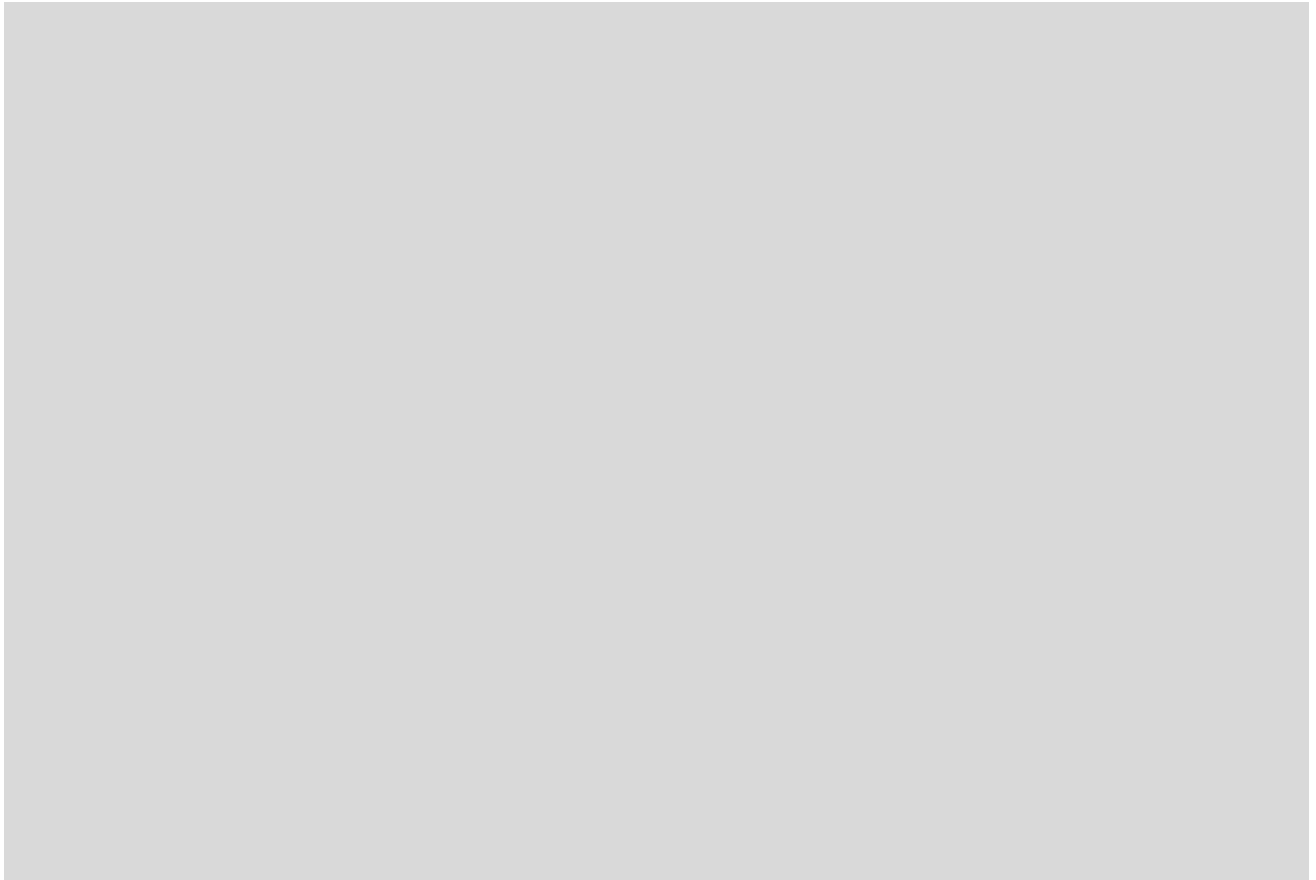
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Telephone +44 (0) 203 461 7000
Email PRA-ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA

¹ The relevant section of the PRA Rulebook should be referred to depending on which firm type is applying. For example: CRR firms: Notifications; Non – CRR firms: Notifications; Solvency II firms: Notifications; Non-Solvency II firms: Notifications.

1.01 a	Who should the <i>PRA</i> contact at the <i>firm</i> in relation to this notification?	
b	Position	
c	Phone number	
e	E-mail	
f	Business address	
	Postcode	

Details of individual		
2.01	Individual Reference Number (IRN) – if applicable	
2.02	Title (eg Mr, Mrs, Ms)	
2.03	Surname	
2.04	ALL forenames	
2.05	Date of birth	
2.06	Nationality	
2.07	National Insurance number (or passport number)	
2.08	Job Title or position	
2.09	Additional entities or <i>firms</i> to which the breach is relevant (FRN / <i>firm</i> name)	

3.05 Disciplinary Action. If the firm is making a notification under section 64C of the Financial Services Act in relation to a relevant person please provide details below of disciplinary action taken and the reasons for this action.



Knowingly or recklessly giving the *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 *PRA* merely because it is in the public domain or has previously been disclosed to the *PRA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

In addition to other regulatory responsibilities, *firms* have a responsibility to disclose to the *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *PRA* of such information may lead to the *PRA* taking action against the *firm*.

For the purposes of complying with data protection legislation, please read our privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

This notice will tell you what to expect when 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.

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 *PRA* 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 it is duly authorised by such *firm(s)* to make such submission.

The *PRA* may seek to verify the information given in this form and make such enquiries and seek further information as it considers appropriate. The *firm* authorises the *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.

I confirm that a permanent copy of this notification, signed by the *firm*, will be retained by the *firm* for an appropriate period, for inspection at the *PRA*'s request.

I confirm that I have read and understood the declaration.

I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

4.01 Name of *firm*

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

4.03 Job title

4.04 Signature

Date