

**Application for Authorisation

Controllers appendices - Corporate**

**Full name of applicant firm**

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**Important information you should read before completing this form**

The FCA and Bank of England process personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notices available on our websites:

* FCA : [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy)
* Bank of England: <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

 **It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence, it may increase the time taken to assess your application and may call into question your suitability to be authorised.**

**Terms in this form**

In this form we use the following terms:

* **‘we’, 'our', or ‘us’** refers to the appropriate regulator
* **‘the FCA’** refers to the Financial Conduct Authority
* **‘PRA’** refers to the Prudential Regulation Authority
* **‘Applicant firm’** refers to the firm applying for authorisation
* **‘You’** refers to the person(s) signing the form on behalf of the controller

**Purpose of this form**

This appendix collects information about the controller of the applicant firm.

**Filling in the form**

**1** If you are using your computer to complete the form:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* print out the completed form and sign the declaration in section 4

**2** If you are filling in the form by hand:

* use black ink
* write clearly
* sign the declaration in Section 4

**3** If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.

**4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

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| --- | --- |
| 1 | Corporate controller’s details |

 **1.1** **Name of corporate controller**

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 **1.2** **Legal status of corporate controller**

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 **1.3** **Registration number of corporate controller**

If registered outside the UK, give equivalent reference number

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| --- |
|       |

 **1.4** **Place of incorporation or formation of controller**

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 **1.5** **Registered office address of controller**

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| --- | --- |
| Registered office  |       |
|  |
|  |
| Country |       |
| Postcode |       |

 **1.6 Does the controller have a head office address?**

[ ]  No⏵ Continue to Question 1.7

[ ]  Yes, it is the same as address given in Question 1.5

[ ]  Yes, it is different from the address in Question 1.5, give details below

|  |  |
| --- | --- |
| Head office address |       |
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|  |
|  |
| Postcode |       |

 **1.7 Is the corporate controller financially solvent?**

[ ]  No⏵ You must provide latest financial statements

[ ]  Yes ⏵ You must provide latest financial statements

Third country information

 **1.8** Do all of the following statements apply:

i. The controller is a third country firm

ii. The applicant firm is connected with the controller because it is a subsidiary undertaking of the controller or a subsidiary undertaking of a parent undertaking of the controller ("subsidiary undertaking" and "parent undertaking" have the meaning given by s.420A of FSMA); and

iii. The applicant firm's application relates to a regulated activity other than an insurance distribution activity (within the meaning given by paragraph 2B of Schedule 6 of FSMA) or a regulated activity involving a regulated mortgage contract.

[ ]  No ⏵ Continue to Question 1.9

[ ]  Yes ⏵ Give details below

Name of controller

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Country the controller is authorised in

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| --- |
|       |

Regulator's name

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| --- |
|       |

Regulator's telephone number

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| --- |
|       |

Description of business controller carries on

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 **1.9** **Is the controller detailed in Question 1.1 a regulated financial services provider, regulated by a body other than us?**

[ ]  No ⏵ Continue to Question 1.10

[ ]  Yes ⏵ Give details below

Regulator's name

|  |
| --- |
|       |

An identifying number allocated to the controller by the regulator

|  |
| --- |
|       |

Contact name, if known, at the regulator

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Regulator's address

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 **1.10** **Give details of any litigation (or known circumstances which might give rise to litigation) against the corporate controller currently outstanding or that has occurred in the last five years. This is except cases arising in the course of normal business activities.**

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 **1.11 Give details of any material written complaints made against the controller by its clients or its former clients in the last five years which are awaiting determination by, or have been upheld by an ombudsman.**

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 **1.12** **Give details of any significant events or information (for example, in relation to insolvency, reconstruction, civil or ongoing criminal investigations or proceedings, or financial services regulations) not given elsewhere in this form, which would be relevant to our consideration of the corporate controller and the applicant firm's application for authorisation.**

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| 2 | About the directors/members of the corporate controller |

 **2.1 You must give details of the corporate controller's directors or in the case of a limited liability partnership, members.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Full name |  | Date of birth |  | Position |
|  |  |  |  |  |
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| 3 | About the corporate controller’s structure |

 **3.1** **You must send a complete structure chart of the corporate controller that shows the following:**

* percentages of holdings
* voting rights
* association
* parent undertakings
* any undertaking(s) or shares in another firm, than the applicant firm
* any firms or individuals that are deemed to be a controller of the applicant firm by virtue of their significant influence (see FSMA section 422A)

[ ]  Structure chart attached

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| 4 | Declaration |

It is a criminal offence, knowingly or recklessly, to give the appropriate regulator information that is materially false or misleading (see sections 398 and 400 FSMA). Even if you believe or know that information has been provided to the appropriate regulator before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the appropriate regulator will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the applicant and/or lead to the appropriate regulator exercising its powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the appropriate regulator immediately if there is a change to the information in this form and/or if inaccurate information has been provided.

I/We confirm that the information provided in this application is accurate and complete to the best of my/our knowledge. I/We will notify the appropriate regulator immediately if there is a material change to the information provided.

I/We authorise the appropriate regulator to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application. These checks may include credit reference checks or information pertaining to fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the firm/employer/applicant.

I/We agree that the appropriate regulator may, in the course of processing the application, undertake a Police National Computer (PNC) check in respect of any or all of the persons to whom this application relates.

Where the signatory to this application has provided an address and/or email address in connection with the applicant’s business, the signatory agrees on behalf of the applicant that the appropriate regulator may use such address and email address as the ‘proper address for service’ at which to give the applicant a ‘relevant document’ as those terms are defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420).

I have attached the relevant documents where requested or I have them fully ready and available on request and I have taken all reasonable steps to ensure they are correct.

I confirm that where I have certified that documents are ready they have been prepared to an appropriate standard and are available for immediate inspection by the appropriate regulator.

I understand that the appropriate regulator may require the applicant firm to provide further information or documents at any time.

I confirm that I am authorised to sign this form on behalf of the firm and/or controller(s) and (where applicable) to give each of the confirmations on behalf of the applicant set out in this declaration.

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I am aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

**Review and Submission**

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Tick here to confirm that the person submitting this Form on behalf of the Firm and (if applicable) the Individual named below - have read and understood the declaration and that a copy of this form, as submitted to the FCA, will be sent to the Applicant at the same time as submitting the form to the FCA. [ ]

**Who must sign the declaration?**

This declaration must be signed by the person who is responsible for making this application on behalf of the Applicant. There can be one or two required signatures depending on the number of directors / partners in the firm.

Is there more than one director / partner as applicable to the legal status of the firm?

[ ] [ ]  Yes⏵Provide more than one signatory below

[ ] [ ]  No⏵Provide one signatory below

I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request. [ ]

|  |  |
| --- | --- |
| Name of authorised signatory |  |
| Signature |  |
| Date |  |

|  |  |
| --- | --- |
| Name of authorised signatory |  |
| Signature |  |
| Date |  |

##  What to do next

You must give this form back to the person who is responsible for making the application for authorisation. They should send the form back to the appropriate regulator.