



Application number
(for FCA/PRA use only)

CRR Permission - Application Form

Firm name[†]

Firm reference number[†]

Address[†]

Please tick if this firm has a PRA firm within its' immediate group

Please return this form via email to EITHER the Central Waivers Team at the FCA (if solo regulated) or the Assessment and Monitoring Team at the PRA (if dual regulated):

The Central Waivers Team

The Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 20 7066 1000
Facsimile +44 (0) 20 7066 1099
Email: centralwaiversteam@fca.org.uk

Assessment and Monitoring Team

The Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone: +44 (0)20 3461 7000
Email: pra-waivers@bankofengland.co.uk

NOTES

Purpose

A firm should use this form if intends to apply for a permission under Regulation (EU) 575/2013 (the Capital Requirements Regulation or CRR). References in this form to a 'CRR permission' also includes any approval, consent or agreement referred to under the CRR for which the FCA/PRA have been conferred powers as competent authority by the CRR.

Application

Before completing this form, you may find it helpful to discuss your application with your appropriate supervisory contact at the Financial Conduct Authority or the Prudential Regulation Authority. However, you must still ensure you include all relevant information in this form. If you do not, your application will be delayed while you answer further questions from us.

Before completing this application form please read the notes provided on pages 11 -12 as they explain or give help for many of the questions.

Does the applicant have any timing factors that it would like us to consider (Yes / No)? †

If Yes, please enter date required? †

Personal Details

Section A

1 Contact name for this application†

§

2 Contact details: †

a Business Address

b Position in the firm

§

c Daytime telephone number

§

d Email address

§ Denotes a mandatory question

e Individual reference number (IRN), if applicable

f Name of Approved Person responsible for this application, if applicable

Additional Details

Section A1

3 Group applications

Where applicable, please list the group firms on behalf of which this application is also being made:

| Firm Reference Number | Firm Name |
|-----------------------|----------------------|
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |
| <input type="text"/> | <input type="text"/> |

4 What types of client would be affected if we granted your application? (tick all that apply) †

- Retail Clients
- Professional Clients
- Eligible Counterparty
- Retail Customers (insurance mediation activities only)
- Commercial Customers (insurance mediation activities only)
- Customers (home finance business only)

5 Which CRR permission are you applying for ?

§

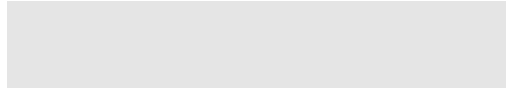
CRR Article title

CRR Article Number or reference

Yes No

6 Are you applying for a variation of an existing CRR Permission which has previously been granted to the firm? † §

If yes, give the CRR Permission Written Notice reference number

A rectangular grey box used to redact information, likely the CRR Permission Written Notice reference number.A wide rectangular grey box used to redact information, likely the CRR Permission Written Notice reference number.

§ Denotes a mandatory question

- | | | Yes | No |
|----------|--|--------------------------|--------------------------|
| 7 | Have you checked the published CRR Permission Written Notices for a precedent on which this application may be based? [†] | | |
| | Published CRR Permission Written Notice can be found at : | <input type="checkbox"/> | <input type="checkbox"/> |
| | http://www.fsa.gov.uk/register/home.do | | |
| | If no, please state why you think it is not relevant in this instance: [†] | | |

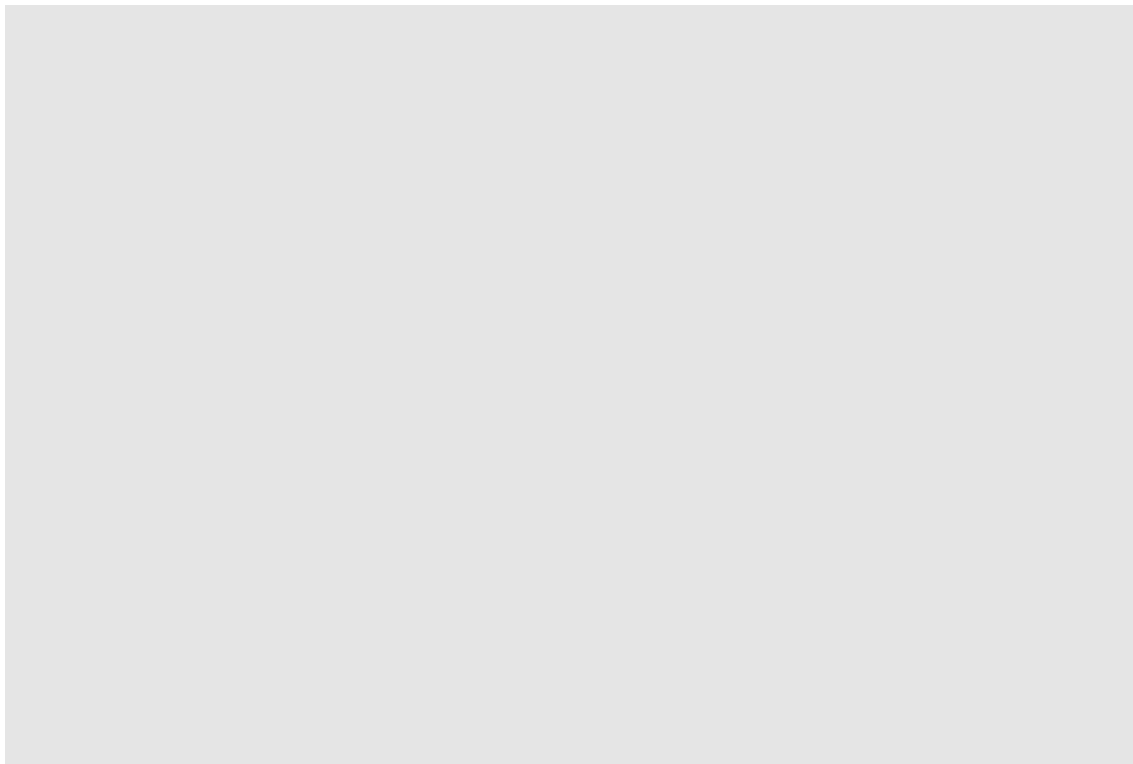
- 8** If your application is based on a precedent, please give the CRR Permission Written Notice reference number and preferably highlight the similarities and differences with your application.

CRR Permission Written Notice reference number:

[§] Denotes a mandatory question

- 9
 - a) Please give a brief description of the nature of your business and a full and clear explanation of why you are applying for this CRR permission.
 - b) Please provide the relevant CRR article or reference text and demonstrate clearly how you satisfy the appropriate criteria. Where the CRR article or reference in question cross refers to other CRR articles, additional explanations may be required to demonstrate meeting the criteria in those further articles.
 - c) Have you met any relevant European Banking Authority standards and/or guidelines? If so, please outline how?

You may attach any documents that you wish to submit with this application.



- 10 Are you applying for any Requirements to be added to your CRR Permission? §
[Please refer to the Notes before answering this question]
If you are seeking to attach any requirements you must give details here:

11 Are you happy for us to publish the CRR Permission Written Notice?

If no, please state your reasons:

We prefer to publish CRR Permission Written Notice wherever possible. If you believe you have good grounds for not publishing, you will need to give clear and substantive arguments.

Supporting Documents

Indicate the required supporting documents to accompany this form

| Documents | Mode (by email, fax or post) |
|-----------|------------------------------|
| | |

Other information (please specify) †

| |
|--|
| |
|--|

Warning

Knowingly or recklessly giving the FCA or the 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 15.6.4R requires an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA or the PRA and to notify the FCA or the PRA immediately if materially inaccurate information has been provided. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the FCA or the PRA. It should not be assumed that information is known to the FCA or the PRA merely because it is in the public domain or has previously been disclosed to the FCA or the PRA or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

Data Protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the FCA or the 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.

Declaration

By submitting this application form:

- I/we confirm that this information is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.
- I am/we are aware that it is a criminal offence knowingly or recklessly to give the FCA or the PRA information that is false or misleading in a material particular.
- Some questions do not require supporting evidence. However, the records, which demonstrate the applicant's compliance with the rules in relation to the questions, must be available to the FCA or the PRA on request.
- I/we will notify the FCA or the PRA immediately if there is a significant change to the information given in the form. If I/we fail to do so, this may result in a delay in the application process or enforcement action.

Date[†]

Name of first signatory^{1†}

Position² of first signatory[†]

Individual Registration Number[†]

Signature *

Name of second signatory[†]

¹ For a sole trader, the signature of the principal is required.
 For a limited company, the signature of two directors or one director and the company secretary is required.
 For a partnership, the signature of at least one partner is required.

² E.g. Director, Partner or Sole Trader.

Position of second signatory[†]

Individual Registration Number[†]

Signature *

Declaration and signature if a third party is named

If the CRR Permission notice will name a third party please check the box below to confirm that you have the agreement of the third party and enter the third party's name below.

I confirm the information in this form that concerns my circumstances is accurate and complete to the best of my knowledge and belief. I also confirm that I am happy for the CRR Permission to be published, unless otherwise indicated in box 20 of this form*.

Signature of named Third Party*

Name and Date[†]

Notes to completing this form

Please note that defined terms used in the text are shown in italics. Definitions can be found in the Handbook Glossary

| Question Number | Notes |
|----------------------|--|
| Front Cover | If the applicant is not a <i>firm</i> , for example an applicant for a <i>Part 4A permission</i> , give its name and indicate that it is not an <i>authorised person</i> . There is no need to give the firm reference number. |
| Section A | We may contact the <i>approved person</i> , or other designated individual, about the application. The individual may have responsibility for an application for more than one applicant if they have the authority to do so. |
| Section A1 | If the application is submitted by, or on behalf of, more than one applicant (for example, by more than one firm in a group), the names of each applicant must be given as well as each firm reference number, if applicable. |
| Section B Question 7 | You can find published <i>CRR</i> Permissions at: http://www.fsa.gov.uk/register/home.do |
| Section B Question 8 | You can find the <i>CRR</i> Permission reference number on the notice we send you. |

Section C Question 9

We expect you to provide:

- relevant background information about the firm and the context in which you are applying for the CRR permission;
- details of any relevant correspondence with former or other regulators;
- details of any relevant correspondence with us;
- details of any changes in an a:
 - circumstance; or
 - market condition

that has affected the applicant or prompted your application;

- clearly set out how you satisfy the requirements in the CRR article or reference including any articles which are cross referred to. You may consider providing that information in the following form:

| CRR Article or reference | FIRM ANALYSIS <i>Please demonstrate using examples where appropriate how the specific CRR requirements are met</i> |
|--------------------------|---|
| E.g XX (1) | |
| XX (1) (a) | |
| XX (2) | |

This list is not exhaustive. You should include any other information that you think is relevant.

| | |
|-----------------------|---|
| Section D Question 10 | <p>Applying for requirements:</p> <p>Requirements can be imposed upon a firm under FSMA section 55L: Imposition of requirements by FCA or 55M Imposition of requirements by PRA.</p> <p>A requirement may come about because either you request one or the PRA or FCA decide to impose one. In general, requirements are placed upon a firm to take or not take a specified action.</p> <p>The approval of a CRR Permission is likely to require certain conditions being imposed under section 55L or 55M. These requirements will be set out in the CRR Permission Written Notice, for example “The firm must inform the PRA/FCA of any event that may have a significant impact on its CRR Permission”.</p> <p>Section 55Y Exercise of own-initiative power: procedure of the Act sets out the procedure that we are required to follow in order to implement a decision in relation to requirements to be imposed under section 55L or 55M of the Act.</p> <p>Alternatively, in accordance with section 55L(5) or 55M(5) of the Act you may wish to apply by ticking “Yes”, noting that the PRA or FCA will discuss the precise requirements with you to agree during the course of processing the application.</p> <p>Each regulator will also consult the other before imposing requirements.</p> |
| Section D Question 11 | Firm’s objection to publication |