



22 February 2018: This form will be formally adopted on 1 October 2018

## Application for Authorisation

### Controllers appendices - Partnership

#### Full name of applicant firm

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

For the purposes of complying with the Data Protection Act, please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation and may be disclosed to third parties for those purposes.

**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;
- 'the PRA' refers to the Prudential Regulation Authority;
- 'Applicant firm' refers to the firm applying for authorisation; and
- '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; and
  - 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; and
  - 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 Partnership controller's details

### 1.1 Name of partnership controller

### 1.2 Registered number (or if registered outside UK please give equivalent)

### 1.3 Head office address

Address	
Country	
Postcode	

### 1.4 Is the partnership controller financially solvent?

- No ▶ You must provide latest financial statements  
 Yes ▶ You must provide latest financial statements

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### EEA information

#### 1.5 Do all of the following statements apply:

- i. The controller is an EEA firm (as defined in paragraph 5 of Schedule 3 of the Financial Services and Markets Act 2000 ("FSMA"));
- 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 2(5) of Schedule 6A of FSMA) or a regulated activity involving a regulated mortgage contract.

- No ▶ Continue to question 1.6  
 Yes ▶ Give details below

Name of controller

Country the controller is authorised in

Regulator's name

Regulator's telephone number

Description of business controller carries on

#### 1.6 Is the controller detailed in question 1.1 regulated by any other financial services body (other than us)?

- No ▶ Continue to question 1.7  
 Yes ▶ Give details below

Name of controller's financial regulator

Contact name and address

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

- 1.8 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.**

- 1.9 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, and which would be relevant to our consideration of the partnership controller and the applicant firm's application for authorisation.**

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## 2 About the Partners in the partnership controller

### 2.1 You must give details of the partners.

Full name	Date of birth	Status in partnership
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner

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### 3 About the partnership controller's undertakings

**3.1 Does the partnership controller control any entities other than the applicant firm?**

- No
- Yes ▶ You must provide an organisation chart showing all undertakings that the partnership controller controls.
  
- Organisation chart attached

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## 4 Declaration

It is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive. If necessary, appropriate professional advice should be sought before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete.

Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

- I understand it is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive.
- I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA or the PRA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form. I also understand that the results of these checks may be disclosed to the applicant for authorisation.
- I confirm that I am authorised to sign on behalf of the partnership controller named in question 1.1 above.

Name	
Position	
Signature	
Date	dd/mm/yy

### 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.