



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

Application for Authorisation

Controllers appendices - Corporate

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;
- '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 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

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	
Postcode	

1.7 Is the corporate controller financially solvent?

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

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EEA information

1.8 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 1.9
 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

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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

Regulator's address

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.

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
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	

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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; and
- 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 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.

With reference to the above, we may seek to verify the information in this form including answers about fitness and propriety.

- I understand it is a criminal offence knowingly or recklessly to give the FCA or PRA 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 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 corporate controller named in question 2.1 above (this must be either a director or CEO).

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.