



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



## Application for Authorisation

### Owners and influencers appendix

Full name of applicant firm

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

The notes that accompany this form will help you complete the questions and they also explain why we require the information we ask you for.

#### **Purpose of this form**

This appendix collects information about your controllers and close links, as well as the information we require if you are part of a group or connected to an overseas firm.

#### **Contents of this form**

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## 1 Who controls (i.e. owns) the applicant firm?

This section helps us to understand who controls/owns the applicant firm i.e. its controllers and the relationships, close links the applicant firm might have with other individuals or entities. Often there will be some overlap between the applicant firm's controllers and close links. For example, an individual who owns or controls 10% (20% for mortgage and insurance distribution) or more of the voting rights or capital of the applicant firm is both a controller and a close link of that firm.

### 1.1 How many controllers do you have?

one to five controllers – please give details of the controllers below who are not directors or partners as you have already provided these details in the core details form.

more than five controllers – if it is too complicated to show the nature of the relationship between the applicant firm and each of the controllers in the details below – please provide a structure chart on a separate sheet of paper. The structure chart should show the nature of the relationship between the applicant firm and each of its controllers. It must also include the information asked for below.

Structure chart provided on separate sheet.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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#### Controller 1

Name

Legal status of controller, e.g. individual, partnership, limited company

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

#### Controller 2

Name

Legal status of controller, e.g. individual, partnership, limited company

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

**Controller 3**

Name

Legal status of controller, e.g. individual, partnership, limited company

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

**Controller 4**

Name

Legal status of controller, e.g. individual, partnership, limited company

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

**Controller 5**

Name

Legal status of controller, e.g. individual, partnership, limited company

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

**1.2 Are any controllers a body corporate, partnership or trust?**

- No ▶ Continue to Question 1.3
- Yes ▶ You must provide a copy of the latest financial statements (typically the accounts for the most recent accounting period).
  - Attached

## Controller forms

**1.3 Applicant firms must submit with this application the appropriate Controller Forms for each of its controllers. These forms can be found by following the link below.**

Applicant firms that have controller(s) that are either already known to us or are authorised by us may use the shorter Standard notification form.

Applicant firms that have:

- a corporate controller(s) must submit a Corporate controller form
- a partnership controller (s) must submit a Partnership controller form
- an individual controller(s) must submit an Individual controller form
- a fund manager controller(s) must submit an Fund manager controller form
- a trust controller(s) must submit a Trust controller form

for each of the controller(s)

See link: [www.fca.org.uk/firms/about-authorisation/getting-authorised/additional-forms](http://www.fca.org.uk/firms/about-authorisation/getting-authorised/additional-forms)

Controller forms attached

## 2 Close links

**2.1 Does the applicant firm have close links?**

- No ▶ Continue to Section 3  
 Yes ▶ Continue to Question 2.2

**2.2 You must provide a structure chart to show the nature of the relationship between the applicant firm and each close link (please include the business type of the close link). If you are already providing a structure chart to illustrate the applicant firm's controller(s) or group, that chart should include all the applicant firm's close link(s)**

- Structure chart provided on separate sheet

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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**2.3 Are you aware of any information to suggest that any close link is likely to prevent our effective supervision of the applicant firm?**

- No ▶ Continue to Section 3  
 Yes ▶ You must give details below

### 3 Third country banking/investment groups

#### 3.1 Is the applicant firm a BIPRU firm?

- No ▶ End of this appendix.  
 Yes ▶ Continue to Question 3.2

#### 3.2 Is the applicant firm a member of a third-country banking and investment group?

- No ▶ Continue to Section 4  
 Yes ▶ You must provide:

- an up to date group structure chart showing all group entities and each entity's country of incorporation;  Attached
- a list of group entities that are regulated (or mark them on the group structure chart above), showing the name of the regulator and the nature of business for each regulated entity;  Attached
- the country of incorporation and the name of the highest non-EEA parent undertaking that is either a financial holding company, credit institution or investment firm;  Attached
- if applicable, full details of any previously notified equivalence assessments (see GENPRU 3.2.3) /other methods (see GENPRU 3.2.4) under the Financial Groups Directive by any EEA regulator (you must include details of the EEA regulator and date of notification); and  Attached  
 Not applicable
- if applicable, details of any group supervision on a consolidated basis by any non EEA regulator including the name of the consolidating supervisor and a brief description of how the consolidating supervisor undertakes group supervision.  Attached  
 Not applicable

## 4 Financial conglomerates

### 4.1 Is the applicant firm a member of a group?

- No ▶ End of this Appendix.  
 Yes ▶ Continue to Question 4.2

### 4.2 In relation to the activities of the controller, or the group the controller is part of, is the controller or any firm in the group (as defined in paragraph 5 of schedule 3 of FSMA) an EEA investment firm, an EEA credit institution, an EEA insurance undertaking, an EEA management company or the parent of any such firm?

- No ▶ End of this Appendix.  
 Yes ▶ You must complete and attach 'Classification of groups' form (the link to this form is found within the notes) then continue to the next question.  
 Attached

### 4.3 Is the applicant firm a member of a financial conglomerate?

- No ▶ End of this Appendix.  
 Yes ▶ Continue to Question 4.4

### 4.4 Is the applicant firm a member of a third-country financial conglomerate?

- No ▶ End of this appendix.  
 Yes ▶ You must provide:
- an up to date group structure chart showing all group entities and each entity's country of incorporation;  Attached
  - a list of group entities that are regulated (or mark them on the group structure chart above), showing the name of the regulator and the nature of business for each regulated entity;  Attached
  - the country of incorporation and the name of the highest non-EEA parent undertaking that is either a mixed financial holding company or a regulated entity;  Attached
  - if applicable, full details of any previously notified equivalence assessments (see GENPRU 3.2.3) /other methods (see GENPRU 3.2.4) under the Financial Groups Directive by any EEA regulator (you must include details of the EEA regulator and date of notification); and  Attached  
 Not applicable
  - if applicable, details of any conglomerate supervision on a consolidated basis by any non EEA regulator including the name of the consolidating supervisor and a brief description of how the consolidating supervisor undertakes conglomerate supervision.  Attached  
 Not applicable

**End of Appendix**