



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for FCA/PRA use only)

Form I – Application to add, vary or remove a conditional approval for the performance of a *senior management function*

FCA Handbook Reference: SUP 10 C Annex 4D

Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

[Commencement date]

Name of individual
(to be completed by applicant *firm*)

Name of applicant *firm*
(as entered in 2.01)

Financial Conduct Authority
12 Endeavour Square
Stratford
London E20 1JN
United Kingdom
Telephone +44 (0) 300 500 0597
E-mail firm.queries@fca.org.uk
Website <http://www.fca.org.uk>
Registered as a Limited Company in England and Wales
No 1920623. Registered Office as above

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone +44 (0) 203 461 7000
E-mail PRA-ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA

1.01 Contact for this application (at the applicant firm)

Title	
First name	
Surname	
Job title	
Business address	
Postcode	
Phone number	
Email address	

Personal identification details**Section 2**

2.01 Individual Reference Number (IRN)

2.02 Title
(e.g. Mr, Mrs, Ms)

2.03 Surname

2.04 ALL forenames

2.05 Date of birth

2.06 National Insurance number

Firm identification details**Section 3**

3.01 Name of applicant *firm*

3.02 *Firm* Reference Number (FRN)

3.03 a Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

b Business address

c Position

d Telephone

e Mobile

f E-mail

3.01 Are you applying to add, vary or remove a condition?

Add	
Vary	
Remove	

3.02 If you are applying to vary an existing condition please provide details of the current condition, proposed variation and reason for the proposed variation.

<u>Applicable senior management function</u>	
<u>Current condition</u>	
<u>Proposed variation</u>	
<u>Reason for variation</u>	

3.03 If you are applying to add a condition to an existing conditional approval please provide details and reason for proposed condition.

<u>Applicable senior management function</u>	
<u>Proposed condition</u>	
<u>Reason for proposed condition</u>	

3.04 If you are applying to remove a condition from an existing conditional approval, please provide details of the current condition and the reason for the proposed removal.

<u>Applicable senior management function</u>	
<u>Current condition</u>	
<u>Reason for removal of condition</u>	



I have supplied further information related to this page in Section 4

YES

NO

- 4.01** Is there any other information that the applicant *firm* considers to be relevant to the application?
 Please indicate clearly to which section the supplementary information relates.
 Please submit an updated *statement of responsibilities* with this form.

Section	Information

- 4.02** How many additional sheets are being submitted?

Declaration of Applicant *Firm*

In this declaration, the *firm* seeking the variation of the conditional approval previously granted in relation to the performance of a *senior management function* by an individual is referred to as the “applicant firm”. The individual in relation to whom the *FCA/PRA* (as applicable) gave the conditional approval is referred to as the “Individual”.

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

The applicant *firm* will notify the *FCA/PRA* (as applicable) immediately if there is a material change to the information provided.

In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the *FCA/PRA* (as applicable) matters of which it would reasonably expect to be notified. Failure to notify the *FCA/PRA* (as applicable) of such information may lead to the *FCA/PRA* (as applicable) taking disciplinary or other action against the applicant and/or the individual.

The applicant understands that the *FCA/PRA* (as applicable) may require it to provide further information or documents at any time.

For the purposes of complying with data protection legislation, please read our privacy notices:

FCA’s privacy notice [insert hyperlink]

Bank of England’s privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights. The applicant confirms that the *statement of responsibilities* submitted with this form accurately reflects the aspects of the affairs of the applicant which it is intended that the individual will be responsible for managing.

The person submitting this form on behalf of the applicant firm confirms that they have authority to submit this form and, on behalf of the applicant, confirms that they have read and understood the notes to this form and the declaration given by the applicant.

**Name of applicant
*firm***

**Name of *person*
signing on behalf of
the applicant *firm***

Position

Signature

Date



Declaration of *candidate / approved person*

The *approved person* confirms that the attached *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *approved person* will be responsible for managing. The *approved person* confirms that they have accepted all the responsibilities set out in this *statement of responsibilities*.

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

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Name of *candidate/approved person*

Signature

Date