

# Bank of England PRA

Application number (For PRA use only)

## Form L: Notifications of breach of conduct rules and related disciplinary action in relation to a person performing a certification function, a Conduct Rules non-executive director or temporarily performing a SMF under the 12-week rule

*PRA Rulebook* Reference: Notifications

A *firm* should only use this form to make a notification in relation to an employee performing a *certification function* specified by the PRA, a *Conduct Rules non-executive director* or temporarily performing a *senior management function* under the 12-week rule. Notifications of conduct rules breaches relating to a *person* performing a *senior management function* should be made using Form C or Form D, as set out in the Notifications Part of the Rulebook.

Name of individual  
(to be completed by firm)

Name of *firm*

Firm Reference Number (FRN)

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
Email [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Who should the *PRA* contact at the *firm* in relation to this notification?

Position

Home number

E-mail

Business address

Postcode

Individual Reference Number  
(IRN) – if applicable

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

Surname

ALL forenames

Name commonly known by

Date of birth (dd/mm/yyyy)

Nationality

National Insurance Number (or  
Passport Number)

Job Title or Position (inc. SMF,  
where relevant)

Date the individual commenced  
performing the function  
(dd/mm/yyyy)

Additional entities or firms to which  
the breach is relevant (FRN / firm  
name)


This section should be completed by a firm to:

- (a) make a notification under section 64C of the Financial Services and Markets Act 2000 of disciplinary action (as defined in section 64C(2)) against a *person* relating to any action, failure to act or circumstance that amounts to a breach of any applicable conduct rule set out in the Rulebook;
- (b) make a follow up notification to update a determination that has previously been the subject of a notification made by the *Firm* in relation to (a).

**3.01** Is the *firm* updating a determination that has previously been the subject of a notification made under section 63C of the Financial Services and Markets Act 2000?

YES  NO

If the *firm* has answered “No”, please go to section 3.02.

If the *firm* has answered “Yes”, please skip 3.02 and 3.03, and go to section 3.04 and 3.05 (if necessary)

**3.02** If the firm is making a notification under section 64C of the Financial Services and Markets Act 2000 of disciplinary action relating to a breach of the conduct rules set out in Rulebook<sup>1</sup> please complete the relevant box(es) below:

<b><i>Tick the rule(s) relevant to this notification</i></b>	
<b>Individual Conduct Rules</b>	
Rule 1: You must act with integrity.	
Rule 2: You must act with due skill, care and diligence.	
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.	
<b>Senior Manager Conduct Rules<sup>2</sup></b>	
SC1: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible is controlled effectively.	
SC2: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible complies with the relevant requirements and standards of the <i>regulatory system</i> .	

<sup>1</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Conduct Rules; Non – CRR firms: Conduct Rules; Solvency II firms: Insurance – Conduct Standards; Large Non-Solvency II Firms – Conduct Standards; and Non-Solvency II Firms – Conduct Standards.

<sup>2</sup> The senior manager conduct rules/standards are relevant to key function holders at Solvency II firms and large NDFs. In addition, SC 4 would be relevant to Conduct Rules NEDs at all PRA-regulated firms, and SC5 would be relevant to Conduct Rules NEDs at insurance firms.

SC3: You must take reasonable steps to ensure that any delegation of your responsibilities is to an appropriate <i>person</i> and that you oversee the discharge of the delegated responsibility effectively.	
SC4: You must disclose appropriately any information of which the <i>FCA</i> or the <i>PRA</i> would reasonably expect to have notice.	
SC5: When exercising your responsibilities, you must pay due regard to the interests of current and potential future <i>policyholders</i> in ensuring the provision by the <i>firm</i> of an appropriate degree of protection for their insured benefits.	

**3.03**

Date when breach(es) came to the attention of the firm:

Date or period of breach(es):

Details of the breach(es):

**3.04**

Date of previous notification to which this update relates:

Update details:

**3.05 Disciplinary Action.** If the firm is making a notification under section 64C of the Financial Services Act in relation to a relevant person, please provide details below of disciplinary action taken and the reasons for this action.



Knowingly or recklessly giving the *PRA* information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000). It should not be assumed that information is known to the *PRA* merely because it is in the public domain or has previously been disclosed to the *PRA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

In addition to other regulatory responsibilities, *firms* have a responsibility to disclose to the *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *PRA* of such information may lead to the *PRA* taking action against the *firm*.

For the purposes of complying with data protection legislation, please read our privacy notice <https://www.bankofengland.co.uk/legal/privacy>

This notice will tell you what to expect when 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 *firm* confirms that the information in this form is accurate and complete to the best of its knowledge and belief. The *firm* will notify the *PRA* immediately if there is a material change to the information provided.**

If the *firm* submits this form on behalf of one or more other *firms*, the *firm* confirms that it is duly authorised by such *firm(s)* to make such submission.

The *PRA* may seek to verify the information given in this form and make such enquiries and seek further information as it considers appropriate. The *firm* authorises the *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form.

**I confirm that a permanent copy of this notification, signed by the *firm*, will be retained by the *firm* for an appropriate period, for inspection at the *PRA*'s request.**

**I confirm that I have read and understood the declaration.**

**I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.**

Name of *firm*

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

Job title

Signature

Date (dd/mm/yyyy)