



**BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY**

## **Form M: Notification of non SMF appointment**

**Notification of the appointment of a Non-Executive Director or Key Function Holder**  
*PRA Rulebook Reference: Fitness and Propriety<sup>1</sup>*

Name of appointee

Name of firm(s)

Firm reference number(s)

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

Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

---

<sup>1</sup> In this Form M the relevant section of the *PRA Rulebook* should be referred to depending on which firm type is applying. For example:  
CRR firms: Fitness and Propriety 4.2; Solvency II firms: Insurance – Fitness and Propriety 4.1; Key Function Holders – Notifications 2.3; Large Non –Solvency II firms, Fitness and Propriety 4 unless started otherwise.

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

A grey rectangular redaction box covering the answer to question 1.01 a.

**b** Position

A grey rectangular redaction box covering the answer to question 1.01 b.

**c** Phone number

A grey rectangular redaction box covering the answer to question 1.01 c.

**e** E-mail

A grey rectangular redaction box covering the answer to question 1.01 e.

## Details of the person subject to notification

2.01 a Appointee Individual Reference Number (IRN) – if applicable

b OR name of previous regulatory body – if applicable

c AND previous reference number – if applicable

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

2.03 Surname

2.04 ALL forenames

2.05 Name commonly known by

2.06 Date of birth  
(dd/mm/yyyy)

2.07 Previous name

2.08 Date of name change

2.09 Reason for change

2.10 Nationality

2.11 National Insurance number (or passport number)

2.12 Place of birth

2.13 Private address

Postcode



I have supplied further information related to this section

YES

NO

## Description of the position being notified

**3.01** Name of the position and/or name of *key function(s)* for which the appointee will be responsible, as applicable

**3.02** Please note the key responsibilities of the role:

**3.03** Date of appointment

**3.04** If applicable, length of appointment

**3.05** Name of *firm(s)* and/or *group* for which the role will be exercised<sup>2</sup>

**3.06** FRN(s) (if applicable)

---

<sup>2</sup> If more space is required please detail on a separate sheet and attach to the Supplementary Information section of this form.

**3.07** Please note how many other appointments the appointee currently holds (executive & non-executive) and how the *firm* considers that the appointee has sufficient time and resources to dedicate to the role:

**The following question is applicable to Non-Executive Directors only**

**3.08** Please note how the *firm* considers that the appointment complements the composition of the Board, and ensures the appropriate levels of skills and experience:

**The following questions are applicable to Key Function Holders only**

**3.09** Is the appointee deemed to be in a position where they are effectively running the *firm* or *group*?

**3.10** Is the appointee currently approved for a *PRA* or *FCA senior management function* at that *firm* or any other *firm* within that *group*? If so, please name that *firm*, and also name the relevant *controlled function*.

**3.11** Is the appointee applying on a separate form to perform a *PRA* or *FCA controlled function* at the same *firm* or any other *firm* within that *group*?



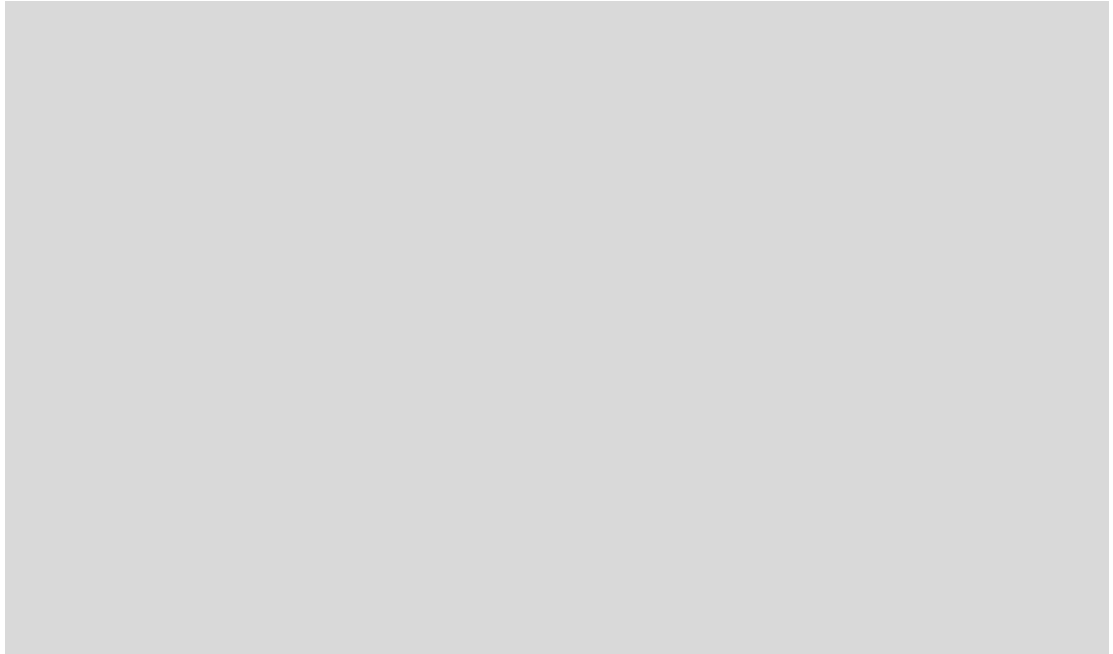
**I have supplied further information related to this section**

YES

NO

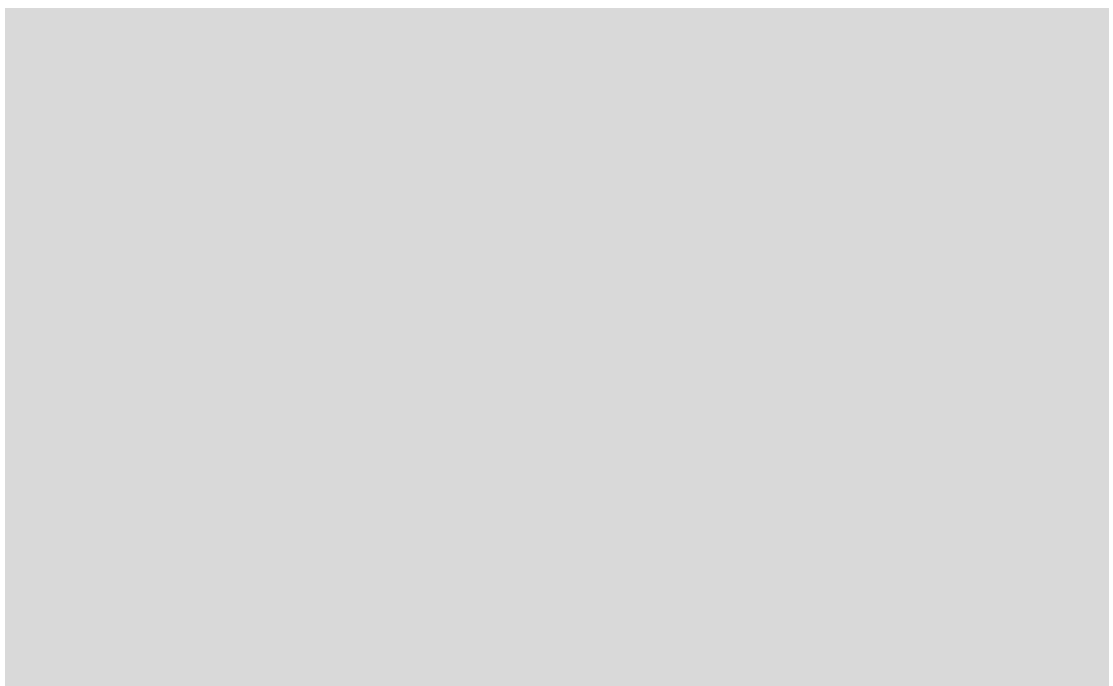
4.01

**Criminal Proceedings** – Has the appointee **ever** been convicted of any criminal offence (excluding spent convictions and traffic offences that did not result in a ban from driving or did not involve driving without insurance)? Is the appointee **currently** the subject of any criminal proceedings? Has the appointee been ordered to produce documents pursuant to any **current** criminal investigation?



4.02

**Civil Proceedings** –As the appointee **ever** been the subject of a judgement debt or award against the appointee or been party to civil proceeding which resulted in an order against the appointee? Does the appointee have any current judgement debts outstanding or have they **ever** failed to satisfy any such judgement debts within one year of the order being made? Has the appointee **ever** filed for or had a petition served for bankruptcy, been adjudged bankrupt, been subject of a bankruptcy restrictions order or made any arrangements with creditors?



4.03

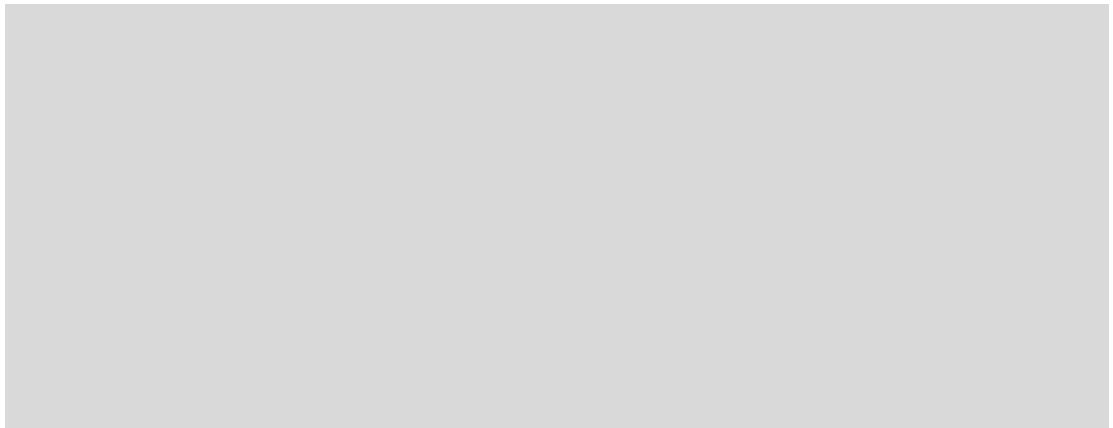
**Conflicts of Interest** – Does the appointee have any potential conflicts of interest such as other appointments at, or close relatives with financial relations to, the *firm(s)* subject to this notification, or qualifying ownership or any other form of substantial influence in the *firm(s)*?



4.04

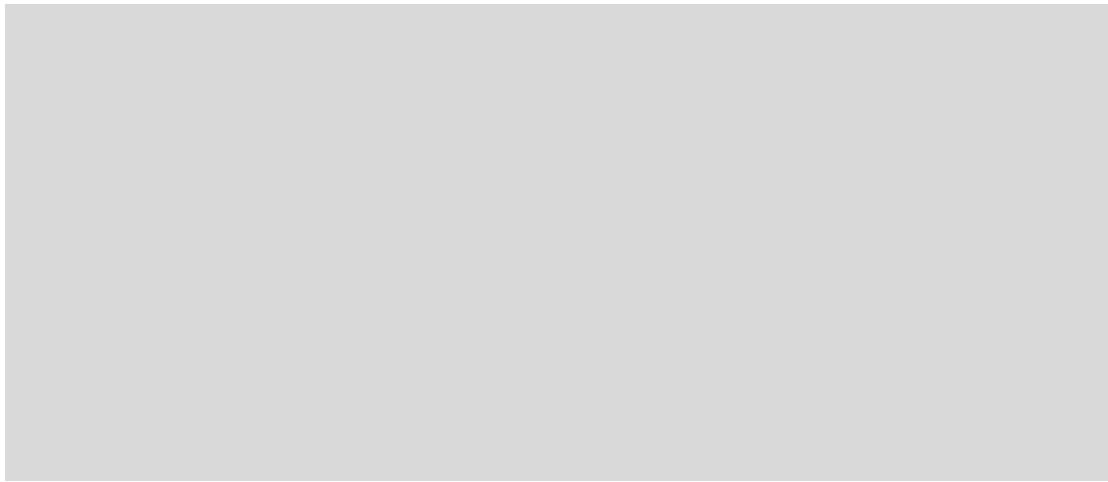
**Business and Employment Matters** –Has the appointee **ever** been

- (i) dismissed from employment as a senior executive or subject to termination of an engagement as a board member or auditor in a *firm*, other financial institution or company?
- (ii) disqualified from acting as a director or similar position?
- (iii) the subject of proceedings of a disciplinary nature?
- (iv) refused entry to, dismissed, suspended or requested to resign from any profession, vocation, office, employment or from any fiduciary office or position of trust (whether or not remunerated)?



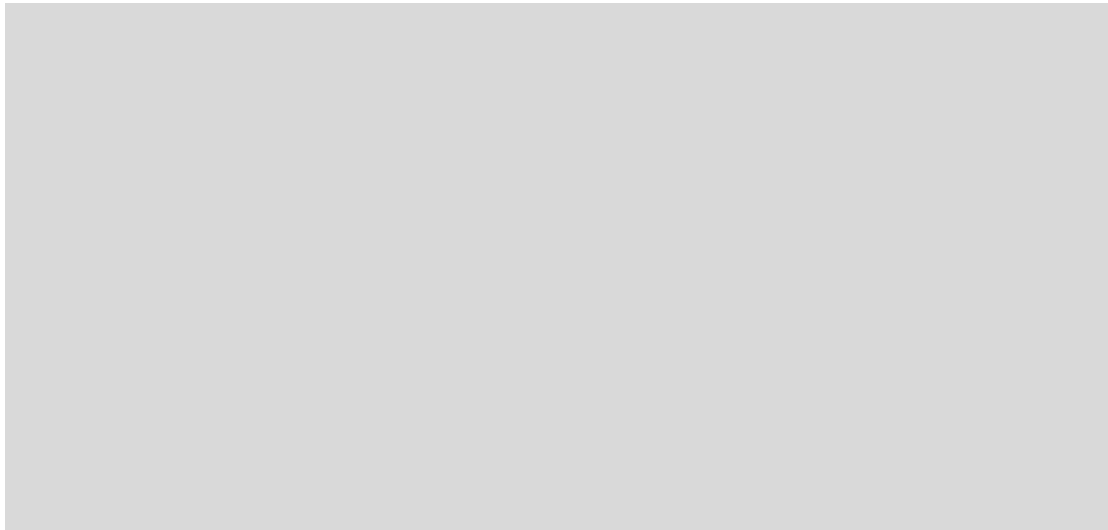
4.05

**Regulatory Matters** – In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body, has the appointee ever been the subject of an investigation, been subject to the rejection of an application, exclusion or limitation in any other way in terms of the right to conduct operations, been the subject of supervisory sanctions, or been the subject of a notification of breach of conduct rules?



4.06

**Other Matters** - Are the appointee or the *firm* aware of any other information relevant to this notification that we might reasonably expect to receive?



I have supplied further  
information related to this section

YES

NO



## Supplementary Information

**5.01** Please confirm that the *firm* has provided the below documentation, in support of this notification:

**5.01.1** the appointee's full CV including relevant employment history; YES  NO

**5.01.2** its assessment of whether the appointee has the personal characteristics required to perform the role effectively; YES  NO

**5.01.3** its assessment of whether the appointee possesses the level of competence, knowledge and experience required to perform the role effectively; YES  NO

**5.01.4** its assessment of whether the appointee has the qualifications required to perform the role effectively; and YES  NO

**5.01.5** its assessment of whether the appointee has undergone or is undergoing all training required to perform the role effectively. YES  NO

**5.01.6** Has / Have a reference or references been obtained from current and previous employer(s) in accordance with the requirements of the *PRA*?  
If No, please provide details why the reference or references has/have not been obtained. YES  NO

**5.02** Is the *firm* submitting any other information relevant to this notification? YES  NO

**5.03** Please confirm total number of additional sheets being submitted.

## Declaration of Firm

Knowingly or recklessly giving the *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 of the Financial Services and Markets Act 2000 – ‘FSMA’). Rule 6 of the Notifications Part of the *PRA Rulebook* require a *firm* to take reasonable steps to ensure the accuracy and completeness of information given to the *PRA* and to notify the *PRA* immediately if materially inaccurate information has been provided.

Fitness and Propriety in the *PRA Rulebook* provides that a *firm* must require any *key function holder* or *notified non-executive director* to disclose appropriately any information of which the *PRA* would reasonably expect notice. Contravention of these requirements may lead to disciplinary or other action against the *firm* by the *PRA*.

In addition, appointees should be reminded that a failure by the appointee to disclose relevant information either to the *firm* or to the *PRA* could be regarded as evidence that they were not fit and proper. 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.

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

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.

**In making this notification the *firm* believes on the basis of due and diligent enquiry that the appointee is a fit and proper person to perform the role. The *firm* also believes, on the basis of due and diligent enquiry, that the appointee is competent to fulfil the duties required in the performance of such function(s).**

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

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

6.02 Job title

6.03 Signature

6.04 Date

## Declaration of Appointee

Knowingly or recklessly giving the *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 of the Financial Services and Markets Act 2000 – ‘FSMA’).

The appointee confirms that the information provided in this notification is accurate and complete to the best of their knowledge. The appointee will notify the *PRA* immediately if there is a material change to the information provided.

The appointee confirms that the key responsibilities set out in Section 3.02 accurately reflect the aspects of the affairs of the *firm* which it is intended that the appointee will be responsible for managing. The appointee confirms that they have accepted all these responsibilities.

The appointee agrees that the *PRA* may use the address specified for the appointee in this form as the proper address for service in the United Kingdom as defined in FSMA (Service of Notices) Regulations (SI 2001/1420) to serve any notices on that signatory.

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

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 appointee confirms that they understands the regulatory responsibilities of the proposed role as set out in the following Parts of the *PRA Rulebook*: Conduct Rules, Insurance - Conduct Standards or Large Non-Solvency II Firms – Conduct Standards (as applicable).

The appointee is aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of the person who signs the notification.

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

6.05 Name

6.06 Signature of appointee

6.07 Date