



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the *candidate* in answering the questions in this form. Please read these notes, which are available on the FCA and PRA's websites at <http://fshandbook.info/FS/html/FCA/SUP/10A/Annex8> [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA).

Both the applicant and the *candidate* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form.

## Form E

### Internal transfer of an approved person (for Solvency II firms only<sup>1</sup>)

FCA Handbook Reference: SUP 10A Annex 8D

PRA Rulebook Reference: Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications

Name of *candidate*<sup>†</sup>  
(to be completed by applicant *firm*)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [iva@fca.org.uk](mailto:iva@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  
Email [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> Please see the FCA Handbook Glossary for the definition of *Solvency II firm*, and for the PRA see the firms included in PRA Rulebook: Solvency II firms: Insurance- Senior Insurance Management Functions Chapter 1 (Applications and Definitions)

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP15.7.4R-15.7.9G of the FCA Handbook or in "Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications in the PRA Rulebook"  
Form E – Internal transfer of an approved person (for Solvency II firms)

## Personal identification details

## Section 1

1.01 *Candidate* Individual Reference Number (IRN)<sup>†</sup>

1.02 Title (e.g. Mr, Mrs, Ms, etc)<sup>†</sup>

1.03 Surname<sup>†</sup>

1.04 ALL forenames<sup>†</sup>

1.05 Date of birth<sup>†</sup>

1.06 National Insurance number<sup>†</sup>

## Firm identification details

## Section 2

2.01 Name of *firm*

2.02 Firm Reference Number (FRN)

2.03 a Who should the *FCA/PRA* contact at the *firm* in relation to this application?

b Position

c Telephone

d Fax

e E-mail



I have supplied further information related to this page in Section 6

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP15.7.4R-15.7.9G of the *FCA Handbook* or in “Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications in the *PRA Rulebook*  
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# Controlled functions to cease

# Section 3

**3.01** List all *controlled functions* which the *approved person* is ceasing to perform. The effective date is the date the *person* will cease to perform the functions.

	FRN <sup>†</sup>	Name of firm <sup>†</sup>	Controlled function <sup>†</sup>	Effective date <sup>†</sup>
a				/ /
b				/ /
c				/ /
d				/ /
e				/ /



I have supplied further information related to this page in Section 7

YES

NO

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**4.01** Nature of the arrangement between the candidate and the applicant.

a *Employee*

b *Group employee*

Name of group

c *Contract for services*

d *Partner*

e *Other*

Give details

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**4.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed.If the *controlled functions* are to be performed for more than one *firm*, please go to question 4.04

Function	Description of a controlled function	Tick (if applicable)	Effective Date
SIMF 1	Chief Executive officer		
SIMF 2	Chief Finance function		
SIMF 4	Chief Risk officer		
SIMF 5	Head of Internal Audit		
SIMF 7	Group Entity Senior Manager		
SIMF 9	Chairman		
SIMF 10	Chair of the Risk Committee		
SIMF 11	Chair of the Audit Committee		
SIMF 12	Chair of the Remuneration Committee		
SIMF 14	Senior Independent Director		
SIMF 19	Head of Third Country Branch function		
SIMF 20	Chief Actuary		
SIMF 21	With-Profits Actuary		
SIMF 22	Underwriting function		
SIMF 23	Underwriting Risk Oversight Officer (Lloyd's)		
SIMF 26	Head of small run-off firm function		
CF 1	Director		
CF 2a	Chair of the Nominations Committee		
CF 2b	Chair of the With-Profits Committee		
CF 10	Compliance Oversight		
CF 10a	CASS Operational Oversight		
CF 11	Money Laundering Reporting		
CF 28	Systems and Controls		
CF 29	Significant Management		
CF 30	Customer Function		
CF 51	Actuarial conduct function (third country)		

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Job title

**Insurance distribution**

Will the *candidate* be responsible for Insurance distribution at the *firm*?

YES

NO

((Note: Yes can only be selected if the individual is applying for a governing function (other than *controlled functions* CF2a and CF2b) (MIPRU 2.2.2)

4.04 List all firms within the group (including the firm entered in 2.01) for which the applicant requires approval and the requested controlled function for that firm.<sup>†</sup>

	Firm Reference Number	Name of firm	Controlled function	Job title (mandatory)	Effective date
a					//
b					//
c					//
d					//
e					//



I have supplied further information related to this page in Section 5

YES

NO

4.05

Has / Have a reference or references been obtained from current and previous employer(s) in accordance with the requirements of the PRA or FCA?

If No, please provide details why the reference or references has/have not been obtained.

YES

NO

*Please note that a firm is required to take reasonable steps to obtain appropriate references from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Insurance-Fitness and Propriety 2.5 in the PRA Rulebook). 'Employer' has an extended meaning for these purposes.*

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## Supplementary information Section 5

- 5.00
- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
  - Please provide full details of
    - why the *candidate* is competent and capable to carry out the controlled function(s) applied for.
    - why the appointment complements the *firm's* business strategy, activity and market in which it operates.
    - how the appointment was agreed including details of any discussions at governing body level (where applicable).
  - Provide a copy of the *candidate's*:-
    - Scope of Responsibilities with this form. This is not required for *candidates* for *controlled function* CF30 only.
    - Role(s) description
    - Curriculum Vitae (C.V.)
    - Place in the applicant's organisational chart

Question	Information

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP15.7.4R-15.7.9G of the *FCA Handbook* or in "Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications in the *PRA Rulebook*  
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**Declaration of *Candidate***

Knowingly or recklessly giving the *FCA* and/or *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 *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *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, senior managers and other approved persons have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the firm and/or individuals.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this Form will be used by the *FCA* and *PRA* to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the *candidate*.

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check. In signing the form below:

**a) I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. *Candidates* may be required to apply for a criminal records search to be made as to whether any criminal records are held in relation to them and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the *firm* submitting this application.**

**b) I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form. I confirm that the attached Scope of Responsibilities<sup>2</sup> accurately reflects the aspects of the affairs of the *firm* which it is intended that I will be responsible for managing. I confirm that I have accepted all the responsibilities set out in this Scope of Responsibilities.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the rules of conduct in the *FCA*'s Conduct Rules (*COCON*) and/or *PRA Rulebook*: Solvency II firms: Insurance- Conduct Standards (as applicable).**

Tick here to confirm you have read and understood this declaration:

**6.01** *Candidate*'s full name<sup>†</sup>

**6.02** Signature

Date

<sup>2</sup> This is not applicable to candidates for controlled function CF30 only.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP15.7.4R-15.7.9G of the *FCA Handbook* or in "Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications in the *PRA Rulebook*

**Declaration of Firm**

Knowingly or recklessly giving the *FCA* and/or *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R of the *FCA Handbook* and Notification 6 of the *PRA Rulebook* require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and/or *PRA* and to notify the *FCA* and/or *PRA* immediately if materially inaccurate information has been provided.

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

It should not be assumed that information is known to the *FCA* and/or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* and/or *PRA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

In making this application the *firm* believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT that the *candidate* is a fit and proper person to perform the controlled function(s) listed in section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s).

**IF UNDERTAKING ANY NON MiFID BUSINESS FOR WHICH THE FIRM HAS NOT PREVIOUSLY APPLIED FOR AUTHORISATION, PLEASE ALSO COMPLETE THE FOLLOWING**

The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required of such function(s). **YES**  **NO**

Where applicable, the *firm* confirms that it has had sight of a criminal records certificate prepared within the past 3 months in relation to the Individual and has given due consideration to the information contained in that certificate in determining that Individual to be fit and proper. Alternatively, where a certificate is not obtained the *firm* has provided an explanation in section 5.

In signing this form on behalf of the *firm*:

**a) I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.**

**b) I confirm that I have authority to make this application and provide the declarations given by the *firm*, and sign this Form, on behalf of the *firm* identified in section 2.01 and/or each firm identified in section 4.04. I also confirm that a copy of this Form, as submitted to the *FCA* and/or *PRA*, will be sent to each of those firms at the same time as submitting the Form to the *FCA* and/or *PRA*.**

**c) I confirm the *candidate* has been made aware of the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA*'s Conduct Rules (*COCOM*) and/or *PRA Rulebook: Insurance- Conduct Standards* (as applicable).**

**d) I confirm that that the Scope of Responsibility submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the *candidate* will be responsible for managing.<sup>3</sup>**

Tick here to confirm you have read and understood this declaration:

**6.03** Name of the *firm* submitting the application <sup>†</sup>

**6.04** Name of *person* signing on behalf of the *firm*<sup>†</sup>

**6.05** Job title <sup>†</sup>

**6.06** Signature

Date<sup>†</sup>

<sup>3</sup> This is not applicable to *candidates* for controlled function CF30 only.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP*15.7.4R-15.7.9G of the *FCA Handbook* or in "Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications in the *PRA Rulebook*  
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