

## **Long Form A – Dual-regulated firms (including third country firms)**

### **Application to perform controlled functions including senior management functions**

FCA Handbook Reference: SUP 10C Annex 3D

PRA Rulebook Reference: Senior Managers Regime – Applications and Notification<sup>1</sup>

#### **Name of candidate**

**Name of firm** (as entered in 2.1)

**Firm reference number** (as entered in 2.2)

#### **You must complete a long version of Form A if the candidate has:**

- not previously held a senior management or controlled function
- not been approved for senior management or controlled functions for 6 months or more
- a change to their fitness and propriety since their last approval

If the candidate is approved as a CF30AR and is applying to hold a senior management or Significant Influence Appointed Representative function you will need to [complete a long form](#)

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

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

## **Before you start:**

A firm must carry out its own due diligence prior to submitting this application. You must be satisfied that it has independently assessed, verified and confirmed that the candidate meeting the requirements of the FCA's Fit and Proper test before continuing.

You must provide accurate and complete information and disclose all relevant facts. If you do not, you may be committing a criminal offence and it may increase the time taken to assess your application.

## **You'll need to provide this information about the candidate:**

1. Contact details.
2. Three years of address history.
3. The nature of arrangements between the candidate and the firm.
4. The senior management functions(s) being applied for including job titles. For appointed representatives (AR), the controlled function(s) being applied for, including job titles.
5. The role and responsibilities they will perform as part of their senior management function(s) or controlled functions(s).
6. 10 years employment history, including nature of employment, employer details, roles and responsibilities and reasons for leaving.
7. Details of any qualifications held.
8. The candidate's fitness and propriety.
9. Standard Disclosure and Barring Service (DBS) check and 6 years employment reference checks.

## **You may also need to provide:**

- details of any directorships held in last 10 years
- copies of skills gap analysis, a learning and development plan, induction programme information, an organisational chart, a CV and a management responsibilities map
- details of any prescribed responsibilities, overall responsibilities, local responsibilities or other responsibilities the candidate will be carrying out
- to make a card pay of £250 fee

# 1 Application contact details

## 1.1 Who should we contact from the firm about this application?

**First name(s)**

**Last name**

**Contact number**

**Email address**

## 2 Firm identification details

**2.1 Name of firm making the application**

**2.2 Firm Reference Number (FRN)**

## 3 Candidate details

**3.1 Candidate's Individual Reference Number (IRN) if known to the FCA or PRA**

**3.2 First name(s)**

**3.3 Last name**

**3.4 Name or names commonly known by (optional)**

For example, Jo or Will

**3.5 Contact number**

**3.6 Alternative contact number (optional)**

**3.7 Email address**

We will only use this for contacting the candidate

**3.8 Date of birth (dd/mm/yyyy)**

For example, 14 03 1995

 /  / 

**3.9 Does the candidate have any previous names?**

Yes ▶ Continue to Question 3.10

No ▶ Continue to Question 3.15

**3.10 Previous first name**

For example, 'Matthew'

**3.11 Previous last name**

For example, 'Dessner'

**3.12 Date of change (dd/mm/yyyy)**

For example, 14 03 1995

 /  /

**3.13 Why did the name change?**

**3.14 Does the candidate want to have this previous name included on the Financial Services Register?**

- Yes ▶ Continue to Question 3.15  
 No ▶ Why does the candidate not want this previous name to be added?

**3.15 Does the candidate have a National Insurance number?**

- Yes ▶ Complete Question 3.16 and continue to Question 3.18  
 No ▶ Continue to Question 3.17

**3.16 National Insurance number**

For example, QQ123456C

**3.17 Passport number**

**3.18 Nationality**

**3.19 Country of birth**

### Address history

You may need to explain a gap in address history, or tell us about other personal addresses you feel we need to know about.

You can enter any additional information in the 'Supplementary information' section of this application.

For addresses outside of the United Kingdom you can add a zip code or region code instead of a postcode.

#### 3.19 Enter the candidate's personal address

Address	
Postcode	
Country	

#### Month and year the candidate moved in (mm/yyyy)

For example, 03 2020

<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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To Present

**If address has changed in the last three years, you must provide addresses for the previous three years**

#### Previous address 1

Address	
Postcode	
Country	

#### Date resident at this address (mm/yyyy)

From

<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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To

<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**Previous address 2**

Address	
Postcode	
Country	

**Date resident at this address (mm/yyyy)**

From

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------	----------------------

To

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## 4 Role being applied for

We need to know about the arrangement between the candidate and the applicant firm.

You can search for the definition of each role in the [FCA glossary](#).

### 4.1 Select the arrangement between the candidate and the applicant firm

- Employee ▶ Continue to Section 5
- Contract for services ▶ Continue to Section 5
- Appointed representative – Governing function ▶ Give AR firm name and reference number below and continue to Section 6
- Appointed representative – Customer function ▶ Give firm name and reference number below and continue to Section 6
- Other arrangement ▶ Give details below and continue to Section 5

Appointed Representative firm name

Appointed Representative Firm Reference Number

Other arrangement details

## 5 Senior management functions

The candidate can hold more than one senior management function (SMF). For example, a director can perform the director function and the compliance oversight function.

Different SMFs apply to different businesses, depending on their activities.

You should note that the SMF3 (Executive Director) function does not apply to partnerships or limited liability partnerships (LLPs) firms.

### 5.1 For applications from a single firm, tick the boxes that correspond to the senior management functions to be performed.

If the senior management functions are to be performed for more than one firm, leave the boxes below blank and Continue to Question 5.7

The table below sets out the full list of senior management functions (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

Function	Description of senior management function	UK banks <sup>2</sup>	UK branches of third country banks and	UK branches of third country banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of third country insurers
SMF 1	Chief Executive	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF2	Chief Finance	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 3	Executive Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>

<sup>2</sup> UK Banks refers to UK banks, building societies and PRA-designated investment firms

Function	Description of senior management function	UK banks <sup>2</sup>	UK branches of third country banks and	UK branches of third country banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	Uk branches of third country insurers
SMF 5	Head of Internal Audit	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 6	Head of Key Business Area	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>	
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 8	Credit Union Senior Manager				<input type="checkbox"/>					
SMF 9	Chair of the Governing body	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 10	Chair of the Risk Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 11	Chair of the Audit Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 12	Chair of the Remuneration Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 13	Chair of the Nomination Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
SMF 14	Senior Independent Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 15	Chair of With					<input type="checkbox"/>				<input type="checkbox"/>

Function	Description of senior management function	UK banks <sup>2</sup>	UK branches of third country banks and	UK branches of third country banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	Uk branches of third country insurers
	Profits Committee									
SMF 16	Compliance Oversight	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
SMF 18	Other overall responsibility function	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				
SMF 19	Head of Overseas Branch			<input type="checkbox"/>						<input type="checkbox"/>
SMF 20	Chief Actuary					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 20a	With-Profits Actuary					<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>
SMF 21	EEA Branch Senior Manager (EBSM)		<input type="checkbox"/>							
SMF 22	Other Local Responsibility			<input type="checkbox"/>						
SMF 23	Chief Underwriting Officer					<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 23a	Underwriting					<input type="checkbox"/>				

Function	Description of senior management function	UK banks <sup>2</sup>	UK branches of third country banks and	UK branches of third country banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	Uk branches of third country insurers
	Risk Oversight (Lloyd's)									
SMF 23b	Conduct Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF 24	Chief Operations	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 25	Small Insurer Senior Management Function						<input type="checkbox"/>			
SMF 26	Head of Small Run-Off Firm								<input type="checkbox"/>	
SMF 27	Partner	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

**5.2 Candidate's job title**

**5.3 When will the candidate start using the functions? (dd/mm/yyyy)**

For example, 09 07 2022

 /  / 

**5.4 If the date is today or in the past you must explain why**

**Insurance Distribution**

**5.5 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 a non-executive director function)

**Mortgage Credit Directive**

**5.6 Will the candidate be responsible for Mortgage Credit Directive Intermediation at the firm?**

Yes

No

Note: Yes can only be selected if the individual is applying for a governing function (other than a non-executive director function)

**5.7 Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in Question 2.1) for which the candidate requires approval and the requested senior management function for that firm.

FRN	Name of firm	Senior Management Function	Candidate's job title	Responsible for insurance distribution?	Responsible for mortgage credit intermediation?	When will the candidate start using the function?
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	
				<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## 6 Controlled functions – Appointed Representatives

**6.1 For applications from a single firm, 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, go to Question 6.4.**

### Significant influence functions

- CF 1 (AR) Director function
- CF 2 (AR) Non-executive director function
- CF 3 (AR) Chief executive function
- CF 4 (AR) Partner function
- CF 5 (AR) Director of an unincorporated association function

**Senior Management functions** (only applicable for limited permission consumer credit firms that are ARs for other businesses)

- SMF 1 (AR) Chief Executive function
- SMF 3 (AR) Executive Director function
- SMF 4 (AR) Partner function

### Customer function

- CF 30 (AR) Customer function

**6.2 Candidate's job title**

**6.3 When will the candidate start using the functions? (dd/mm/yyyy)**

For example, 09 07 2024

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**6.4 Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in Question 2.1) for which the candidate requires approval and the requested controlled function for that firm.

<b>FRN</b>	<b>Name of firm</b>	<b>Controlled Function</b>	<b>Candidate's job title</b>	<b>When will the candidate start using the functions? (dd/mm/yyyy)</b>

## 7 Statement of responsibilities

Complete this section if the application is for a senior management function. If you are submitting an application for a controlled function at an appointed representative (AR) continue to Section 8.

- 7.1 You must complete a Statement of Responsibilities for each firm the candidate is applying for -**  
[https://www.handbook.fca.org.uk/form/sup/SUP\\_10C\\_ann\\_10\\_SOR\\_dual\\_regulated.pdf](https://www.handbook.fca.org.uk/form/sup/SUP_10C_ann_10_SOR_dual_regulated.pdf)

Attached

## 8 Fitness and propriety

Firms must disclose all relevant information relating to a candidate's fitness and propriety. If there is any doubt that the information is relevant, it should be disclosed.

The FCA takes non-disclosure very seriously and may consider it to be evidence of dishonesty or lack of integrity. In all circumstances, disclosures should be full, frank and unambiguous. If in doubt, disclose.

Candidates subject to the law of:

- England and Wales must disclose spent convictions and cautions (other than a protected conviction or caution), because of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975
- Scotland must disclose spent convictions (other than a protected conviction) because of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013
- Northern Ireland must disclose spent convictions (other than a protected conviction) because of the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979

### Criminal Proceedings

You should include information about proceedings in the United Kingdom and elsewhere in your answers.

#### What to include

We need to know if the candidate has been convicted of, is the subject of or has been involved in any criminal offence. Criminal convictions, whether spent or unspent, in the United Kingdom or elsewhere must be disclosed, except protected convictions which do not need to be disclosed when the law in England and Wales applies.

You should include any conviction of an offence where the candidate received an absolute or conditional discharge.

Traffic offences only need to be disclosed if they resulted in a ban or involved driving without insurance.

#### 8.1.1 Has the candidate ever been convicted of any criminal offence, whether spent or unspent that:

- involves fraud, theft, false accounting, offences against the administration of public justice, (like perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty?
- relates to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?

Yes ▶ Provide information about the events which resulted in the criminal offence

No

#### 8.1.2 Is the candidate currently the subject of any criminal proceedings?

Yes ▶ Provide information about the criminal proceedings

No

**8.1.3 Has the candidate ever been given a caution relating to any criminal offence?**

- Yes ▶ Provide information about the caution  
 No

**8.1.4 Does the candidate have any convictions for any other offences?**

- Yes ▶ Provide information about convictions for the other offences  
 No

**8.1.5 Is the candidate the subject of any ongoing criminal investigation?**

- Yes ▶ Provide information about the ongoing investigation  
 No

**8.1.6 Has the candidate been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search, with or without a warrant?**

You must include all matters, even where the candidate was not the subject of the investigation

- Yes ▶ Provide information about the order to produce documents  
 No

**8.1.7 Has any firm where the candidate holds or has held a position of influence ever been:**

Include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and even where the firm was not the subject of the investigation.

Firms do not need to disclose details of any specific individuals who were subject to historic criminal investigations, prosecutions, summons or other historical criminal proceedings.

**a convicted of any criminal offence?**

- Yes ▶ Provide information about the firm's conviction  
 No

**b summoned, charged with, investigated or prosecuted for any criminal offence?**

- Yes ▶ Provide information about the firm's summons, charge, investigation or prosecution  
 No

**c the subject of any criminal proceeding that did not result in a conviction?**

- Yes ▶ Provide information about the firm's criminal proceeding  
 No

**d ordered to produce documents relating to any criminal investigations or been the subject of a search, with or without a warrant, relating to any criminal investigation?**

Yes ▶ Provide information about the order for the firm to produce documents

No

### **Civil Proceedings**

You should include information about proceedings in the United Kingdom and elsewhere in your answers.

#### **What to include**

Include all County Court Judgments made against the candidate, whether satisfied or not.

**8.2.1 Has the candidate ever been the subject of a judgment debt or award against them?**

Yes ▶ Provide information and include the:

- amount and date of all judgment debts, awards or County Court Judgments

- number of all judgment debts, awards or County Court Judgments ordered

No

**8.2.2 Has the candidate ever been party to any civil proceedings which resulted in any order against them other than a judgement debt or award?**

Yes ▶ Provide information and include, for example, injunctions and employment tribunal proceedings

No

**8.2.3 Is the candidate aware of any proceedings that have started, or anyone's intention to begin proceedings against them, for a County Court Judgment or another judgement debt of more than £1,000?**

Yes ▶ Provide information about the proceedings

No

**8.2.4 Does the candidate have any current judgement debts, including County Court Judgments, made under a court order still outstanding, in full or in part?**

Yes ▶ Provide information about the judgment debts

No

**8.2.5 Has the candidate ever failed to satisfy judgment debts, including County Court Judgments, made under a court order still outstanding, in full or in part, within one year of the order being made?**

Yes ▶ Provide information about the failure to satisfy judgment debts

No

**8.2.6 Has the candidate ever:**

**a filed for their own bankruptcy or had a bankruptcy petition served on them?**

Yes ▶ Provide information about the circumstances which resulted in the bankruptcy

No

**b been declared bankrupt?**

Yes ▶ Provide information about the bankruptcy

No

**c been the subject of a bankruptcy restrictions order, including an interim bankruptcy restrictions order, or offered a bankruptcy restriction undertaking?**

Yes ▶ Provide information about the bankruptcy restriction

No

**d made any arrangements with their creditors, for example a deed of arrangement or an individual voluntary arrangement - or in Scotland a trust deed?**

Yes ▶ Provide information about the arrangements

No

**e had assets sequestrated?**

Yes ▶ Provide information about the sequestration

No

**f been involved in any proceedings relating to any of the above, even if the proceedings did not result in any kind of order being made against them or result in any agreement with the candidate?**

Yes ▶ Provide information about the proceedings

No

**8.2.7 Does the candidate, or any undertaking under their management, have any outstanding financial obligations arising from regulated activities, that were carried out in the past, in the United Kingdom or elsewhere?**

Yes ▶ Provide information about the outstanding financial obligations

No

**8.2.8 Has the candidate ever been adjudged by a court or tribunal, criminal, civil or administrative, for any fraud, misfeasance, negligence, wrongful trading or other misconduct? Or have they been found by a judge or tribunal to have lied on oath, or that their evidence was to be disbelieved?**

Yes ▶ Provide information about the judgment

No

**8.2.9 Is the candidate currently party to any civil proceedings, including those covered in Question 8.2.7 above, or aware of anyone's intention to begin civil proceedings against them?**

Consider any ongoing disputes, whether likely or not to result in any order against them

- Yes ▶ Provide information about the civil proceedings  
 No

**8.2.10 During the period when the candidate held a position of influence, or in the 10 years after this, has any firm been:**

**a adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?**

- Yes ▶ Provide information about the judgment  
 No

**b the subject of a judgement debt or award against the firm, including all County Court Judgments, whether satisfied or not?**

- Yes ▶ Provide information about the judgment debt or award  
 No

**c party to any other civil proceedings which resulted in an order against the firm?**

- Yes ▶ Provide information about the civil proceedings  
 No

**8.2.11 Within the last 12 months from the date of this application, has any firm where the candidate holds or held a position of influence been:**

**a a party to or aware of intentions of civil proceedings?**

- Yes ▶ Provide information about the civil proceedings  
 No

**b aware of anyone's intention to begin civil proceedings against them?**

- Yes ▶ Provide information about the civil proceedings  
 No

**8.2.12 Has any company, partnership or unincorporated association where the candidate is or has been a controller, director, senior manager, partner or company secretary at any time during, or within one year of, their involvement:**

- been put into liquidation?
- wound up?
- ceased trading?
- Had a receiver or administrator appointed?
- Entered into any voluntary arrangement with its creditors?  
 Yes ▶ Provide further information  
 No

## Business and Employment Matters

You should include information about proceedings in the United Kingdom and elsewhere in your answers.

### What to include

This relates to roles the candidate previously performed, whether the role was related to any regulated activity or not and not limited to the roles listed in the candidate's employment history.

Include any instances where the candidate has been the subject of, or interviewed in the course of, any existing or previous investigation or disciplinary proceedings by a regulator, clearing house and exchange, professional or government body or agency, or removal from a lenders' panel. Disclose everything that's relevant, even if the candidate did not receive a salary.

### 8.3.1 Has the candidate ever been:

**a disqualified from acting as a director or similar position?**

Where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association

Yes ▶ Provide information about the candidate being disqualified

No

**b the subject of any proceedings of a disciplinary nature, whether or not the proceedings resulted in any finding against them?**

Yes ▶ Provide information about the disciplinary proceedings

No

**c the subject of any investigation that led or might lead to disciplinary proceedings?**

This includes any internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time

Yes ▶ Provide information about the investigation

No

**d notified of any potential disciplinary proceedings against them?**

Yes ▶ Provide information about the disciplinary proceedings

No

**e the subject of an investigation into allegation of misconduct or malpractice in connection with any business activity?**

This includes internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time

Yes ▶ Provide information about the investigation

No



**8.3.2 Has the candidate ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?**

Yes ▶ Provide information about the refusal, dismissal, suspension or request to resign

No

**8.3.3 Does the candidate have any written complaints made against them by their clients or former clients in the last 5 years which the candidate has accepted, or which are awaiting determination, or have been upheld by an ombudsman or complaints scheme?**

Yes ▶ Provide information about the complaints

No

### **Regulatory Matters**

You should include information about proceedings in the United Kingdom and elsewhere in your answers.

#### **What to include**

Include any activities supervised in the United Kingdom, or by overseas financial regulators or other types of regulator such as government or statutory bodies.

If there's any doubt including something in this section, you should disclose it.

**8.4.1 For activities regulated by the FCA or any other regulatory body, where the candidate is or has been a controller, director, senior manager, partner or company secretary in the last 3 years, has the candidate or the firm ever:**

**a been refused, had revoked, restricted, been suspended from or terminated any licence, authorisations, registration, notification, membership or any other permission granted?**

Yes ▶ Provide further information

No

**b been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action?**

Yes ▶ Provide further information

No

**c received a public or private warning that disciplinary or interventional action may be taken against them or the firm?**

Yes ▶ Provide further information

No

**d been the subject of an investigation by any regulatory body, whether or not the investigation resulted in a finding against them or the firm?**

- Yes ▶ Provide further information about the investigation  
 No

**e been required or requested to produce documents or other information to any regulatory body in connection with an investigation, whether against the firm or otherwise?**

- Yes ▶ Provide information about the investigation  
 No

**f been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State or any other authority, under legislation?**

- Yes ▶ Provide information about the investigation  
 No

**g ceased operating or resigned while under investigation or been required to cease operating or resign by any regulatory body?**

- Yes ▶ Provide information about the events that occurred which resulted in this action  
 No

**h withdrawn an application before approval for any licence, authorisation, registration, notification, membership or permission has been granted?**

- Yes ▶ Provide information about withdrawing an application  
 No

**i been the subject of any civil action relating to any regulated activity which has resulted in a finding by a court?**

- Yes ▶ Provide information about the civil action  
 No

**j provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?**

- Yes ▶ Provide information relating to the termination  
 No

**k been convicted of any criminal offence, censured, disciplined or publicly criticised by any enquiry, by the Takeover Panel or any Governmental or statutory authority or any other regulatory body, other than as indicated in this group of questions?**

- Yes ▶ Provide further information  
 No

**I been on a board of directors in an operating undertaking that has not been granted a release from liability? (This question only applies where the applicant firm is a Solvency II insurance firm).**

Yes ▶ Provide further information

No

**8.4.2 For activities regulated by the FCA, PRA or any other regulatory body, has the candidate or any firm where the candidate holds or has held a position of influence, at any time during and within one year of the association with the firm ever:**

**a been found to have carried on activities, where authorisation or registration by the FCA, PRA or any other regulatory body is required, without the required authorisations?**

Yes ▶ Provide further information

No

**b been investigated for the possible carrying on of activities that require authorisation or registration by the FCA, PRA or any other regulatory body, without being authorised, whether or not the investigation resulted in a finding against them?**

Yes ▶ Provide information about the investigation

No

**c been found to have performed a senior management function or other controlled function, or an equivalent function requiring approval by the FCA, PRA or any other regulatory body, without the necessary approval?**

Yes ▶ Provide information about performing functions without approval

No

**d been investigated for the possible performance of a senior management function or other controlled function, or an equivalent function without the necessary approval by the FCA, PRA or any other regulatory body, whether or not the investigation resulted in a finding against them?**

Yes ▶ Provide information about the investigation

No

**e been found to have failed to comply with an obligation, under the Electronic Money Regulations 2011 or Payment Services 2017 to notify the FCA, PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?**

Yes ▶ Provide information about the failure to comply

No

**f been the subject of a prohibition order, under section 56 of the Financial Services and Markets Act 2000, or received a warning notice proposing that a direction or order be made, or received a private warning?**

Yes ▶ Provide further information

No

### **Other Matters**

You should include information about proceedings in the United Kingdom and elsewhere in your answers.

#### **What to include**

Include details of any financial or non-financial interests or relationships of the candidate and their close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders.

You can find the meaning of 'management body' in the FCA's glossary.

**8.5.1 For the role this application relates to, is the candidate, aware of any business interests, employment obligations or any other circumstances that may conflict with the performance of the senior management functions or controlled functions for which approval is being sought?**

Yes ▶ Provide further information

No

**Question 8.5.2a should only be answered if the applicant firm is a Solvency II Insurer.**

**8.5.2 Does the candidate have, or know of any:**

**a close relatives with ownership shares in the firm or group?**

Yes ▶ Provide further information

No

**b close relatives with any other financial relations in the firm or group**

Yes ▶ Provide further information

No

**c other commitments that may give rise to a conflict of interest**

Yes ▶ Provide further information

No

**8.5.3 Is the candidate or firm aware of any other information related to the candidate's fitness and propriety that may be relevant to this application that the FCA or PRA might reasonably expect to receive?**

Yes ▶ Provide further information

No

## 9 Employment history in the past 10 years

We need at least 10 years of employment history. However we can accept gaps of less than 4 weeks.

Tell us about all of the candidate's relevant experiences. For example as well as being employed, they may have attended a relevant course, were involved in a project or volunteered.

You must explain the reason for leaving an employment as this may affect the candidate's fitness and propriety.

We may contact previous employers when we assess the candidate, so make sure you include all relevant details. If you do not, the application may be delayed or possibly rejected.

### 9.1 Employment details (1)

#### Start date (dd/mm/yyyy)

			/				/				
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To Present

#### Nature of employment

- Employed ▶ Give details in a-i
- Self-employed ▶ Give details in a-i
- Not employed ▶ Give reasons for not being employed below
- Full-time education ▶ Give details below. This should include: job experience, gap years, any professional qualifications obtained.
- Other relevant experience ▶ Give details below

--

#### a Employer's name

This should be the official name as on Companies House, the full legal registered name or equivalent

--

#### b Products and services provided by the employer

--

#### c Did the employer have a previous name?

- Yes ▶ Give previous name of employer
- No

--

#### d Is the employer an appointed representative or tied agent?

- Yes ▶ Give name of principal firm
- No

--

**e Is the employer regulated or has it ever been regulated?**

Yes ▶ Give name of regulatory body and country where the regulatory body is based

No

**f Employer's address**

Address	
Postcode	
Country	

**h Job title**

**i Candidate's roles and responsibilities**

This should include:

- a timeline of the candidate's employment history at the firm
- the positions they held and an explanation of the roles and responsibilities performed, including dates and changes in those roles during their employment
- any senior management or controlled functions performed
- any prescribed responsibilities performed
- skills knowledge or expertise gained in the role

## 9.2 Employment details (2)

### Period (dd/mm/yyyy)

From

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To

--	--	--	--	--	--	--	--	--	--

### Nature of employment

- Employed ▶ Give details in a-j
- Self-employed ▶ Give details in a-j
- Not employed ▶ Give reasons for not being employed below
- Full-time education ▶ Give details below. This should include: job experience, gap years, any professional qualifications obtained.
- Other relevant experience ▶ Give details below

--

#### a Employer's name

This should be the official name as on Companies House, the full legal registered name or equivalent

--

#### b Products and services provided by the employer

--

#### c Did the employer have a previous name?

- Yes ▶ Give previous name of employer
- No

--

#### d Is the employer an appointed representative or tied agent?

- Yes ▶ Give name of principal firm
- No

--

#### e Is the employer regulated or has it ever been regulated?

- Yes ▶ Give name of regulatory body and country where the regulatory body is based
- No

--

--

**f Employer's address**

Address	
Postcode	
Country	

**h Job title**

--

**i Candidate's roles and responsibilities**

This should include:

- a timeline of the candidate's employment history at the firm
- the positions they held and an explanation of the roles and responsibilities performed, including dates and changes in those roles during their employment
- any senior management or controlled functions performed
- any prescribed responsibilities performed
- skills knowledge or expertise gained in the role

--

**j Reason for leaving**

- Resigned
- Redundant
- Retired
- Termination or dismissal
- End of contract
- Other

**Explain the reason for leaving the employment**

You must fully explain the reason, as this may affect the candidate's fitness and propriety

--



### 9.3 Employment details (3)

#### Period (dd/mm/yy)

From

--	--	--	--	--	--	--	--	--	--

To

--	--	--	--	--	--	--	--	--	--

#### Nature of employment

- Employed ▶ Give details in a-j
- Self-employed ▶ Give details in a-j
- Not employed ▶ Give reasons for not being employed below
- Full-time education ▶ Give details below. This should include: job experience, gap years, any professional qualifications obtained.
- Other relevant experience ▶ Give details below

--

#### a Employer's name

This should be the official name as on Companies House, the full legal registered name or equivalent

--

#### b Products and services provided by the employer

--

#### c Did the employer have a previous name?

- Yes ▶ Give previous name of employer
- No

--

#### d Is the employer an appointed representative or tied agent?

- Yes ▶ Give name of principal firm
- No

--

#### e Is the employer regulated or has it ever been regulated?

- Yes ▶ Give name of regulatory body and country where the regulatory body is based
- No

--

--

**f Employer's address**

Address	
Postcode	
Country	

**h Job title**

--

**i Candidate's roles and responsibilities**

This should include:

- a timeline of the candidate's employment history at the firm
- the positions they held and an explanation of the roles and responsibilities performed, including dates and changes in those roles during their employment
- any senior management or controlled functions performed
- any prescribed responsibilities performed
- skills knowledge or expertise gained in the role

--

**j Reason for leaving**

- Resigned
- Redundant
- Retired
- Termination or dismissal
- End of contract
- Other

**Explain the reason for leaving the employment**

You must fully explain the reason, as this may affect the candidate's fitness and propriety

--



**10.2 Describe the role the candidate will be undertaking**

**10.3 Explain how the candidate is competent and capable to carry out the senior management functions or controlled functions applied for**

Describe how their competency has been assessed and demonstrate how they are suitable and competent for the roles and its responsibilities. Consider their continuous professional development, professional qualifications and any ongoing development.

**10.4 Provide full details of how the appointment was agreed**

Include details of any discussions at governing body level if this applies

**10.5 Provide a breakdown of time spent on activities for the role the candidate has applied for**

Include a monthly and yearly breakdown for all firms where they will carry out the role

**10.6 Have regulatory references been received for the candidate from any current or previous employers, covering the last 6 years?**

You must have received a reference for the candidate within 3 months of this application. However you may not need to get a reference if the candidate has been a sole trader, self-employed at their own business for over 6 years or has been employed in the same group of companies for more than 6 years.

You should still get references for the candidate even if they have not held a regulatory role or they have held a role overseas.

- No ▶ You must explain in detail why you do not have a reference and say what steps you took to obtain one
- Yes ▶ Continue to Question 10.7

**10.7 Does the candidate have the right to work in the UK?**

Firms should ensure the candidate has the right to work in the UK before applying for approval. You can find guidance about [checking an employee's right to work](#) on GOV.UK .

No ▶ Explain why they need approval at this time if they do not have the right to work in the UK

Yes

**10.8 Has the firm requested a criminal records check within the last 3 months?**

You must carry out a Standard Disclosure and Barring Service (DBS) check, except for sole directors/traders who are only required to carry out a basic check. If the candidate is based in Scotland, Northern Ireland or outside of the United Kingdom, you'll need to request an equivalent criminal record check.

For further information refer to [SUP10C.10.16R](#) to [SUP 10C.10.16R](#) of the FCA handbook.

Go to GOV.UK to find out [how to apply for a DBS check](#).

No ▶ Give date below when the last check was carried out and explain why the check has not been carried out. For example, the candidate may be subject to annual checks.

Yes ▶ Give date below the DBS certificate was issued

For example, 14/03/2020

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**10.9 Is the candidate taking over this role from someone else?**

No ▶ Continue to Question 10.10

Yes ▶ Provide a summary of the handover materials

The handover document and any certificate must include:

- full information and material to ensure a smooth transfer
- how information has been assessed and prioritised that's relevant to the role and responsibilities
- details of any conversations, coaching, training, or tests undertaken
- details of any instances where there have been regulatory breaches or unresolved issues

**10.10 Has the candidate completed an induction programme or is a programme planned for them?**

You must provide a copy of the induction programme where applicable.

You do not need an induction programme if, for example, this is an internal move and the candidate is an existing employee at the firm.

Not applicable ▶ Continue to Question 10.11

Yes ▶ You must attach the induction programme.

The programme should contain key areas of focus, actions taken and completion dates to onboard the candidate.

Key stakeholders and individuals responsible for delivering the programme should also be included.

Attached

**10.11 You must provide a copy of the skills gap analysis detailing any learning and development plans**

The skills gap analysis and learning and development plan can be combined, as long as all of the required information is provided. This must include:

- specific skills and competencies related to the role and how the candidate scores against these
- details of any planned or recent training, to address any gaps - include details of the training provider, the length of the course and the date of completion
- the name of the person who has oversight for the candidate's training

We expect these documents to be in a table or chart.

Attached

**10.12 You must provide an up-to-date organisational chart**

This must show the candidate's position with clear reporting lines up and down and detail all senior managers and their prescribed responsibilities

It must also include details of the applicant firm and group, where the candidate is reporting into them and details of the members of the board

This information helps us to understand the accountability and reporting lines within the firm

Attached

**10.13 You must provide an up-to-date CV**

Attached

**10.14 You must provide a copy of the firm's management responsibility map**

The map must provide an overview of how the firm is managed and governed. It should contain key information about arrangements such as:

- details of any approved persons and their role
- lines of responsibility
- details of members of the governing and management bodies, who are not approved persons, including their role
- a chart showing the allocation of prescribed, other and overall responsibilities

Attached

# 11 Supplementary information

## Supporting documents (optional)

Include any additional information that you consider relevant to this application

### Document 1

Name of document attached

Which section of the form does the document relate to?

Describe the document attached

### Document 2

Name of document attached

Which section of the form does the document relate to?

Describe the document attached

### Document 3

Name of document attached

Which section of the form does the document relate to?

Describe the document attached

### Document 4

Name of document attached

Which section of the form does the document relate to?

Describe the document attached

**Document 5**

Name of document attached

Which section of the form does the document relate to?

Describe the document attached

**Other information**

**Add any other information relating to this application** (optional)



## 12 Application fee

**The application fee is only applicable for standalone Form A applications. There is no charge if you are submitting this form as part of a New Authorisation or a Variation of Permission.**

You must be ready to pay the application fee in full at the same time as submitting your application, by credit/debit card (you may pay by credit transfer (eg BACS) only if it is not possible to pay by credit or debit card). If the fee is not paid in full within five working days of the date that we contact you after you submit this form, your application will be returned to you. This fee is non-refundable.

### FCA bank details

Account name: FCA Collection account  
Bank name: Lloyds Bank  
Account number: 00828179  
Sort code: 30-00-02  
Swift code: LOYD GB 2LCTY  
Iban code: GB68 LOYD 3000 0200 8281 79

### Application fee

**12.1 You must confirm you have enclosed the fee for your application.**

**Category 2**

**12.2 You must confirm how you will pay the application fee below**

Credit/debit card

Credit transfer ▶ Give details of the reference you have used below

Please refer to FEES 3 Annex 13R and FEES 3 Annex 1A for the details of the amount chargeable for each category -

<https://www.handbook.fca.org.uk/handbook/FEES/3/Annex13R.html> and

<https://www.handbook.fca.org.uk/handbook/FEES/3/Annex1A.html>

## 13 Declarations and signatures

It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000 – FSMA). Even if you believe or know that information has been provided to the FCA and/or PRA before or is in the public domain, you must disclose it clearly and fully in this form and as part of this application – you should not assume that the FCA and/or PRA will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the candidate and/or lead to the FCA and/or PRA exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA and/or PRA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA and/or PRA are reasonably likely to consider the information material).

The candidate confirms the information provided in this application is accurate and complete to the best of their knowledge and that they have read the notes to this form. The candidate will notify the FCA and/or PRA immediately if there is a material change to the information provided.

The candidate authorises the FCA and/or PRA to make enquiries and seek further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The candidate confirms:

- that the statement of responsibilities accurately reflects the aspects of the affairs of the firm which it is intended that it will be responsible for managing, and that they have accepted all the responsibilities set out in the statement of responsibilities
- that the FCA and/or PRA will use the address specified for the candidate in this form as the proper address for service in the UK (as defined in the Financial Services and Markets Act 2000 (Service of Notices) Regulations (SI 2001/1420)) to serve any notices on the candidate
- that they understand the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA's COCON or APER/SMCR and/or the PRA Rulebook: Conduct Rules, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards, and Large Non-Solvency II Firms – Conduct Standards

The candidate is aware while advice may be sought from a third party, for example legal advice, responsibility for the accuracy of information as well as the disclosure of relevant information on the form is ultimately the responsibility of those who sign the application

In addition to other regulatory responsibilities, firms and candidates 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 applicant and/or the candidate.

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

[FCA's privacy notice](#)

[Bank of England's privacy notice](#)

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.

I confirm I have read and understood this declaration

**Name of candidate**

**Candidate's signature**

**Date of signature (dd/mm/yyyy)**

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### **Declaration of Firm**

It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act). Even if you believe or know that information has been provided to the FCA and/or PRA before or is in the public domain, you must disclose it clearly and fully in this form and as part of this application – you should not assume that the FCA and/or PRA will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the candidate and/or lead to the FCA and/or PRA exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA and/or PRA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA and/or PRA are reasonably likely to consider the information material).

The applicant firm confirms:

- that the information provided in this application is accurate and complete to the best of its knowledge, and that it has read the notes to this form - the applicant firm will notify the FCA and/or PRA immediately if there is a material change to the information provided
- that it has requested the fullest information that it is lawfully able to obtain about the candidate under Part V of the Police Act 1997 and any related subordinate legislation of the UK or any part of the UK and, where available, has given due consideration to that information in determining that candidate to be fit and proper
- in making this application the applicant believes on the basis of due and diligent enquiry and, by reference to the criteria in FIT in the FCA Handbook and/or the Fitness and Propriety part of the PRA Rulebook that the candidate is a fit and proper person to perform the controlled function(s) and that the candidate is competent to fulfil the duties required in the performance of such function(s) - Note: For non-UK firms, this would only apply if undertaking any non-MiFID business
- that it has complied with its obligations under equality and diversity legislation when selecting the candidate to perform the function(s) applied for
- that it has made the candidate aware of their regulatory responsibilities as set out in the rules of conduct in the FCA's COCON or APER/SMCR and/or the PRA Rulebook: Conduct Rules, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards and Large Non-Solvency II Firms – Conduct Standards
- that the statement of responsibilities accurately reflects the aspects of the affairs of the firm which it is intended that the candidate will be responsible for managing

The applicant authorises the FCA and/or PRA to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application

I confirm that I have authority to make this application and provide the declarations given by the applicant, and sign this form, on behalf of the firm(s) in this application.

I confirm that the permanent copy of this application, signed by myself and the signatory, will be retained for an appropriate period, for inspection at the FCA and/or PRA's request. 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.

**Name of the firm submitting the application**

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

**Job title**

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

**Date of signature (dd/mm/yyyy)**

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