



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* website at <http://fshandbook.info/FS/html/FCA/SUP/10A/Annex5>

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 B

Notice to withdraw an application to perform controlled functions (including senior management functions)

This form is also to be used for notice to withdraw an application to vary a conditional approval

FCA Handbook Reference: *SUP* 10A Annex 5R

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications/Notifications

7 March 2016

Name of *candidate/approved person*
(*as applicable*)
(to be completed by applicant)

Name of *firm*
(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
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
Website www.bankofengland.co.uk/PRA

Personal Identification Details

Section 1

1.01 *Candidate/Approved Person* Individual Reference Number (IRN)

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

1.03 Surname

1.04 ALL forenames

1.05 Date of birth

1.06 National Insurance number

1.07 *Candidate's* private address



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

YES

NO

Firm Identification Details

Section 2

2.01	Name of <i>firm</i>	
2.02	<i>Firm</i> Reference Number (FRN)	
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this notice?	
b	Position	
c	Telephone	
d	Fax	
e	E-mail	

2.04 *Firms* included on application Form (including applicant *firm*)

	FRN [†]	Name of <i>firm</i> [†]	<i>Controlled function or Senior Management Function</i> [†]
a			
b			
c			
d			
e			

If this is notice to withdraw an application to perform controlled functions (including senior management functions) please complete sections 3, 5, and 6.

If this is notice to withdraw an application to vary a conditional approval for the performance of a senior management function, please complete sections 4, 5 and 6

[†] The above question(s) appears on an electronic form submission and a paper form submission

Reason for Withdrawal

Section 3

3.01 Indicate the reason for withdrawal of application to perform controlled functions including senior management functions.

<i>a</i>	Internal movement of staff	<input type="checkbox"/>
<i>b</i>	Termination of employment or contract	<input type="checkbox"/>
<i>c</i>	Resignation	<input type="checkbox"/>
<i>d</i>	Redundancy	<input type="checkbox"/>
<i>e</i>	Withdrawal of offer of employment	<input type="checkbox"/>
<i>f</i>	End of contract	<input type="checkbox"/>
<i>g</i>	Suspension	<input type="checkbox"/>
<i>h</i>	Other	<input type="checkbox"/>
GIVE DETAILS IN SECTION 5		



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

YES

NO

Reason for Withdrawal

Section 4

4.01

Only complete this section if this is notice to withdraw an application to vary a conditional approval for the performance of a senior management function

Indicate the reason(s) for withdrawal of an application to vary a conditional approval for the performance of a senior management function (including reference number of prior application).



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

YES

NO

Supplementary Information

Section 5

- 5.01** Include here any issues that arose in relation to this withdrawal, such as resignation or termination of contract. Indicate clearly which question supplementary information relates to.

Question	Information

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

Declarations

Section 6

DECLARATION OF CANDIDATE/APPROVED PERSON

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.

Data Protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the applicant.

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.

6.01 Candidate/approved person's full name

6.02 Signature

Date

DECLARATION BY APPOINTED REPRESENTATIVE OR OTHER FIRM (if applicable)

We concur that the application to perform *controlled functions (including senior management functions)* made in respect of the above *candidate* should be withdrawn with immediate effect.

6.03 Name of appointed representative
or other *firm*

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

6.05 Job title

6.06 Signature

Date

DECLARATION BY 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* (*FCA*) and Applications and Notifications for *PRA* Senior Management Functions in the *PRA* Rulebook (*PRA*) 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*, and *approved persons* have a responsibility to disclose to the appropriate regulator matters of which it would reasonably expect to be notified. Failure to notify the appropriate regulator 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.

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.

6.07	Name of <i>firm</i>	<input type="text"/>
6.08	Name of <i>person</i> signing on behalf of the <i>firm</i>	<input type="text"/>
6.09	Job title	<input type="text"/>
6.10	Signature	<input type="text"/>
	Date	<input type="text"/>