



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 approved person in answering the questions in this form. Please read these notes, which are available on the FCA and PRA's website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>

www.bankofengland.co.uk/PRA

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

Form D Notification: Changes to personal information/ application details and conduct breaches/disciplinary action related to conduct

FCA Handbook Reference: SUP 10A Annex 7R

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications

Senior Insurance Managers Regime - Applications and Notifications

7 March 2016

Name of individual
(to be completed by firm)

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

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

What sections should you complete?

The question below will help you determine the sections of the form you must complete

Please select the outcome

Change in personal details

YES You must complete sections 1, 2, 6 (if applicable) & 7

Change in arrangements

YES You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES You must complete sections 1, 2, 5, 6 (if applicable) & 7

Notifications under section 64C of the Financial Services and Markets Act 2000

YES You must complete sections 1, 2, 6 & 7

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Contact Details

Section 1

Contact for this notification

1.01	Title (e.g Mr; Mrs, Ms, etc)	
1.02	First Name	
1.03	Surname	
1.04	Job Title	
1.05	Business address	
	Post code	
1.06	Phone number (including STD code)	
1.07	Email address	
1.08	Mobile No	
1.09	Fax No.	



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

YES

NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

Details to be changed

Section 2

2.01 *Approved person* Individual Reference Number (IRN)

DETAILS TO BE CHANGED

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

2.03 Surname

2.04 ALL forenames

2.05 National Insurance number

2.06 Nationality

2.07 Passport number

2.08 Job Title or Position

2.09 Effective date of change

2.10 Reason for change



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

YES

NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

Arrangements and Controlled Functions

Section 3

Add New Arrangement

3.01	State the nature of the arrangement between the candidate and the applicant firm?	Employee <input type="checkbox"/> Continue to Section 4
		Group Employee <input type="checkbox"/> Continue to Question 3.02
		Contract for Services <input type="checkbox"/> Continue to Section 4
		Appointed Representative <input type="checkbox"/> Continue to Question 3.04
		Other Arrangement <input type="checkbox"/> Continue to Question 3.03
3.02	Name of Group (Once completed continue to Section 4)	
3.03	Details of the Other Arrangement (Once completed continue to Section 4)	

Appointed Representatives

3.04 **Please provide details of the Appointed Representatives you would like to add and/or remove.**
If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appropriate Representative termination.

You must use a separate sheet of paper if necessary.
If you have used separate sheets of paper, you must indicate how many here.

Appointed Representative 1

Are you adding or removing an Appointed Representative?	Add <input type="checkbox"/> Remove <input type="checkbox"/>
AR FRN	
Firm Name	
Effective date (dd/mm/yy)	

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Appointed Representative 2

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 3

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 4

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Firm Identification Details

Section 4

4.01 Name of *firm*

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the individual performs *controlled functions* (other than senior management functions – see section 4.04)

	FRN	Name of <i>firm</i>	Controlled function
a			
b			
c			
d			
e			

4.04 Other *firms* for whom the individual performs *senior management functions*

	FRN	Name of <i>firm</i>	Senior Management function
a			
b			
c			
d			
e			



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

YES

NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

Fitness and Propriety (general)

Section 5

5.00 Do you want to notify us of a change to the approved person's fitness and propriety?

5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

If you answer Yes to any of the questions in Section 5 you will be asked for further details in Section 7.02

5.01.1a	Has the <i>candidate</i> ever been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>): i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or ii. relating to <i>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</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Has the <i>candidate</i> ever been given a caution in relation to any criminal offence?-	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.01.2	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.01.3	Is the <i>candidate</i> the subject of any ongoing criminal investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.01.4	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>


In answering question 5.01.4, you should include all matters even where the *candidate* was not the subject of the investigation.



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.01.5	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever: (Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
a	Been convicted of any criminal offence?		
b	Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Been the subject of any criminal proceeding which has not resulted in a conviction?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
d	Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?		
	In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, <i>firms</i> are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.	YES <input type="checkbox"/>	NO <input type="checkbox"/>

 I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.02 Civil Proceedings

5.02.1	Has the <i>candidate</i> , ever been the subject of a judgement debt or award against the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	<p>Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.</p> <p><i>Candidate</i> should include all Court Court Judgement(s) (CCJs) made against the <i>candidate</i>, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>		
5.02.2	Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the <i>candidate</i> (other than a judgement debt or award referred to in 5.02.1 above)? (<i>candidate</i> should include, for example, injunctions and employment tribunal proceedings.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.3	Is the <i>candidate</i> aware of:		
a	Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>candidate</i> , for a CCJ or another judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.4	Does the <i>candidate</i> have any current judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.5	Has the <i>candidate</i> ever failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.02.6	Has the <i>candidate</i> ever:		
a	Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
d	Made any arrangements with the <i>candidate</i> 's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
e	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
f	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.7	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.8	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.9	Is the <i>candidate</i> currently:		
a	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (<i>candidate</i> should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
5.02.10	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:		
a	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	The subject of a judgement debt or award against the firm? (<i>candidate</i> should include all CCJs) made against the firm, whether satisfied or not.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.02.11 Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

a a party to civil proceedings?

YES NO

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

YES NO

5.02.12 Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES NO



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

YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.03 Business and Employment Matters

5.03.1 Has the *candidate* ever been:

- | | | | |
|----------|--|------------------------------|-----------------------------|
| a | Disqualified from acting as a director or similar position (one where the <i>candidate</i> acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the <i>candidate</i>)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | The subject of any investigation which has led or might lead to disciplinary proceedings? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Notified of any potential proceedings of a disciplinary nature against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e | The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.) | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

5.03.2 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 NO

5.03.3 Does the *candidate* have any material written complaints made against the *candidate* by the *candidate*'s clients or former clients in the last five years which the *candidate* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES NO



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

5.04 Regulatory Matters

5.04.1 In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

- | | | | |
|----------|--|------------------------------|-----------------------------|
| a | Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the firm? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the firm? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e | Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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 any such legislation? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| g | Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| h | Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| i | Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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 <input type="checkbox"/> | NO <input type="checkbox"/> |
| k | Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, 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 <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

5.04.2 In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the firm ever:

- | | | | |
|----------|--|------------------------------|-----------------------------|
| a | Been found to have carried on activities for which authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body is required without the requisite authorisations? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Been investigated for the possible carrying on of activities requiring authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the <i>FCA/PRA</i> of the identity of a person acting in a position of influence over its electronic money or payment services business? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| f | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

5.05 Other Matters

- | | | | |
|---------------|--|------------------------------|-----------------------------|
| 5.05.1 | Is the <i>candidate</i> , in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 5.05.2 | Are the <i>candidate</i> or the <i>firm</i> aware of any other information relevant to this notification that we might reasonably expect from the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6 YES NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Fitness and Propriety – Notifications under section 64C of the Financial Services and Markets Act 2000 Section 6

This section should be completed by a firm that is a relevant authorised person to:

- (a) make a notification of disciplinary action (as defined in section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000) due to any action, failure to act or circumstance that amounts to a breach of the individual or senior manager conduct rules set out in the *FCA's COCON* or *PRA Conduct Rules*;
- (b) make a follow up notification to update a determination that has previously been the subject of a notification made by the firm in relation to (a) (and to the extent required by, in the case of the *FCA*, SUP 10C, SUP 15.6.4R and SUP 15.11.8G, or in the case of the *PRA*, Notifications 11.4 and 11.5 in the *PRA's Rulebook*).

6.01 Initial or update on previous notification

6.01.1 Is the firm updating a previous notification made under section 64C of the Financial Services and Markets Act 2000?

YES NO

If the firm has answered "No", please go to section 6.02

If the firm has answered "Yes", please complete the below:

Date of previous notification:
Please provide brief details of prior notification including reference number:
Description of the update to the previous notification:

6.02 Notification of disciplinary action where the reason for taking the disciplinary action is any action, failure to act or circumstance that amounts to a breach of the individual or senior manager conduct rules.

6.02.1 Please include details in the relevant boxes below of the individual or senior manager conduct rules set out in the *FCA's COCON* or *PRA Conduct Rules*, relevant to this notification.

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA Rulebook*

	Tick the rule(s) relevant to this notification
Individual Conduct Rules	
Rule 1: You must act with integrity.	<input type="checkbox"/>
Rule 2: You must act with due skill, care and diligence.	<input type="checkbox"/>
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.	<input type="checkbox"/>
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.	<input type="checkbox"/>
Rule 5: You must observe proper standards of market conduct.	<input type="checkbox"/>
Senior Manager Conduct Rules	
SC1: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible is controlled effectively.	<input type="checkbox"/>
SC2: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible complies with relevant requirements and standards of the <i>regulatory system</i> .	<input type="checkbox"/>
SC3: You must take reasonable steps to ensure that any delegation of your responsibilities is to an appropriate <i>person</i> and that you oversee the discharge of the delegated responsibility effectively.	<input type="checkbox"/>
SC4: You must disclose appropriately any information of which the <i>FCA</i> or <i>PRA</i> would reasonably expect notice.	<input type="checkbox"/>

6.02.2 For each breach of an individual or senior manager conduct rule please provide the following information. Please attach additional sheets as necessary.

<p>Relevant rule(s):</p> <p>Date when breach came to the attention of the firm:</p> <p>Date or period of breach:</p>
<p>Further details of the breach:</p>

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

6.02.3 Please provide details below of disciplinary action taken and the reasons for this action. Please do not repeat information already included in the answers to Questions 6.02.1 and 6.02.2 above. If necessary please cross refer to the answers provided.



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

YES

NO

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Supporting Documents and Supplementary Information

Section 7

- 7.01** Full details must be provided here if any questions have been answered “yes” in Section 5 (Fitness and Propriety) and if there is any other information the approved person or the firm considers to be relevant to the notification?

Please provide full details

Please indicate clearly which question the supplementary information relates to.

Question	Information

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

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 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook

Supporting Documents

7.03 Indicate the required supporting documents to accompany this form.

Documents	Mode (by email, fax, post)

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook

Declarations and signatures

Section 8

Declaration

The *firm* must ask the *approved person* to make the declaration to be given by the individual only where the *firm* becomes aware of information that would reasonably be material to the assessment of the individual's continuing fitness and propriety.

However, note that it may not be appropriate in the case of an *approved person* who performs a *senior management function* to ask that *approved person* to make the declaration below where the *firm* becomes aware of information that would reasonably be material to the assessment of that *approved person's* continuing fitness and propriety.

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.

In addition to other regulatory responsibilities, *firms*, senior managers and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it or they 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 the *approved person*.

DECLARATION OF APPROVED PERSON

The *approved person* confirms that he or she is aware that, 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 *approved person*.

The *approved person* confirms that the information in this Form is accurate and complete to the best of his or her knowledge and belief and that he or she has read the notes to this Form. The *approved person* will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *approved person* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. The *approved person* also understands that the results of these enquiries may be disclosed to the *Firm* / his or her employer.

8.01 Full name of *approved person*

i.e. Title, forenames, SURNAME

8.02 Signature

Date

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook

DECLARATION OF *FIRM*

The *firm* confirms that the information in this Form is accurate and complete to the best of its knowledge and belief. The Firm will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.

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

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *firm* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form.

By signing below, the person submitting this Form on behalf of the *firm* confirms that this Form is accurate and complete to the best of his or her knowledge and he or she has read and understood the notes to this Form and the declaration given by the Firm.

8.03 Name of the *firm*

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

8.05 Position

8.06 Signature

Date

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 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook