

Short 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 Notification¹

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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E-mail firm.queries@fca.org.uk
Website <http://www.fca.org.uk>

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Website www.bankofengland.co.uk/PRA

¹ 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 meets 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. 3 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 of 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 a 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
- a card payment of £250 (for all standalone long form applications or where there is a change to the candidate's fitness and propriety)

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 identification

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'll only use this for contacting the candidate

3.8 Date of birth (dd/mm/yyyy)

For example, 14 03 1995

| | | | | | | | | | |
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| <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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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

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3.13 Why did the name change?

3.14 Does the candidate want to have their previous names 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 ▶ Answer 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.

3.20 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"/> | <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

| | | | | | | |
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Previous address 2

| | |
|----------|--|
| Address | |
| Postcode | |
| Country | |

Date resident at this address (mm/yyyy)

From

| | | | | | | |
|----------------------|----------------------|---|----------------------|----------------------|----------------------|----------------------|
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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 go 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 ² | 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"/> |
| SMF 5 | Head of Internal Audit | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |

² UK Banks refers to UK banks, building societies and PRA-designated investment firms

| Function | Description of senior management function | UK banks ² | 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 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"/> | <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 Profits Committee | | | | | <input type="checkbox"/> | | | | <input type="checkbox"/> |

| Function | Description of senior management function | UK banks ² | 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 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 Risk Oversight (Lloyd's) | | | | | <input type="checkbox"/> | | | | |

| Function | Description of senior management function | UK banks ² | 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 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 7 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 functions? |
|-----|--------------|----------------------------|-----------------------|---|---|--|
| | | | | <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

For limited permission consumer credit firms that are also appointed representatives, only the customer function is relevant in this section. For these firms, relevant senior management functions apply instead of the governing functions (ie CF1 (AR), CF3 (AR), CF4 (AR) and CF5 (AR)). We do not expect this to apply to many firms.

6.1 For applications from a single firm, please tick the boxes that correspond to the controlled functions to be performed. If the controlled functions are to be performed for more than one firm, please go to Question 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 2022

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

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.

| FRN | Name of firm | Controlled Function | Candidate's job title | When will the candidate start using the functions? (dd/mm/yyyy) |
|------------|---------------------|----------------------------|------------------------------|--|
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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_SO_R_dual_regulated.pdf

Attached

8 Fitness and propriety

8.1 Have there been any changes to the candidate's fitness and propriety since their last approval?

- Yes ▶ You should be using the Long Form A
- No

9 Assessment of the candidate

All directorships, as described in the [FCA glossary](#), that have been held within the last 10 years must be declared.

If multiple directorships are held at the same time, you must ensure that all relationships are disclosed. You should also provide a breakdown of the time committed to each directorship.

9.1 Has the candidate held any directorships in the last 10 years, including any current directorships?

Yes ▶ Give details below

No ▶ Continue to Question 9.2

| Name of firm | Nature of business | Country of incorporation | Date directorship started | Date the directorship ended <small>Leave blank if not end date</small> | If no end date, provide a breakdown of time spent each month and year in this role |
|--------------|--------------------|--------------------------|---------------------------|---|--|
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9.2 Describe the role the candidate will be undertaking

9.3 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.

9.4 Provide full details of how the appointment was agreed

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

9.5 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

9.6 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 9.7

9.7 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

9.8 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.10.23aG](#) 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

/ /

9.9 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

9.10 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 9.11

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

9.11 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

9.12 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

9.13 You must provide an up-to-date CV

Attached

9.14 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

10 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)

11 Declarations and signatures

Declaration of candidate

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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