



Temporary Permissions Regime and Supervised Run-Off – Application to perform a Senior Management Function

A Statement of Responsibilities must also be provided with this application form.

Applicant Firm Name:

Applicant Firm Reference Number:

Full Name (inc title) of *individual and their (if known) Individual Reference Number (IRN)*

Date of birth

National Insurance number, if not available provide Passport number

Nationality

Who should the *FCA/PRA* contact at the *firm* in relation to this notification?

Position

Phone number

E-mail

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone +44 (0) 203 461 7000

TPR and SRO E-mail PRA.TPR@bankofengland.gsi.gov.uk

TPR Website <https://www.bankofengland.co.uk/eu-withdrawal/temporary-permissions-regime>

SRO Website <https://www.bankofengland.co.uk/eu-withdrawal/financial-services-contracts-regime>

Senior Management Functions being applied for

Please indicate below the functions the individual will hold while the firm is in the Temporary Permissions Regime or Supervised Run-Off (only SMF19 is applicable for firms in Supervised Run-Off)

Function	Description of a <i>Senior Management Function</i>	
SMF 2	Chief Finance	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>
SMF 5	Head of Internal Audit	<input type="checkbox"/>
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>
SMF19	Head of Overseas Branch	<input type="checkbox"/>
SMF20	Chief Actuary	<input type="checkbox"/>
SMF20a	With-Profits Actuary	<input type="checkbox"/>
SMF23	Chief Underwriting Officer	<input type="checkbox"/>
SMF24	Chief Operations	<input type="checkbox"/>

Fitness and Propriety

Q1 Has the candidate undergone a fit and proper assessment (and been approved) by the firm's home state supervisor?

YES NO

Q2 Is the candidate currently approved to hold a Controlled Function at the current EEA branch or elsewhere in the Group in the UK?

YES NO

Yes – Provide details

No – Q3 must be answered

Q3 - Is there any information relevant to the candidate's fitness and propriety that the FCA/PRA might reasonably expect to be disclosed to it?

For example has the candidate (including at any firms at which the candidate holds or has held a position of influence) ever been:

- *subject to criminal proceedings, investigations and convictions?*
- *adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?*
- *refused entry to, dismissed or suspended from any professional, vocation, office or employment;*
- *disqualified from acting as a director or similar position?*
- *refused registration, authorisation, membership or a licence to carry out a trade, business or profession, or has had that registration, authorisation, membership or licence revoked, withdrawn or terminated, or has been expelled by a regulatory or government body?*
- *refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such regulatory body?*
- *been censured, suspended, expelled, fined, ceased operating or resigned whilst under investigation or been the subject of any other disciplinary or interventional action by any regulatory body?*
- *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?*
- *adjudged bankrupt or been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or had assets sequestrated?*

YES NO

Yes – Provide details

Declarations and signatures

Declaration of *individual*

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

The *individual* confirms that the attached *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *individual* will be responsible for managing. The *individual* confirms that they have accepted all the responsibilities set out in this *statement of responsibilities*.

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

FCA's privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice: <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

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.

The *individual* confirms that they understand the regulatory responsibilities of the role as set out in the rules of conduct in the *FCA*'s *COCON* or *APER* and/or the *PRA Rulebook*: Conduct Rules, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards and Large Non-Solvency II Firms – Conduct Standards.

Name of *individual*

Signature

Date

Declaration of *Firm*

The *Firm* confirms that the information provided in this notification is accurate and complete to the best of its knowledge and that it has read the notes to this form. The *Firm* will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT in the *FCA* handbook and/or the Fitness and Propriety sections in the *PRA Rulebook* that the candidate is a fit and proper person.

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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.

The *Firm* confirms that it has made the *individual* aware of their regulatory responsibilities as set out in the rules of conduct in the *FCA*'s *COCON* or *APER* 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 *Firm* confirms that the *statement of responsibilities* submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the *individual* will be responsible for managing.

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

Job title

Signature

Date