



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for FCA/PRA use only)

The PRA and FCA have produced notes which will assist the applicant in answering the questions in this form. Please read these notes, which are available on the PRA's website at:

<http://www.bankofengland.co.uk/pru/Pages/authorisations/rfts/default.aspx>

The applicant will be treated by the PRA and FCA as having taken these notes into consideration when completing their answers to the questions in this form. If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Ring-fencing transfer scheme (RFTS) – skilled person application

Name of firm making the application
(eg to be completed by the transferee
and/or the transferor) (the applicant)

Applicant firm reference number

Name of person the PRA/FCA should
contact at the firm for this application

Position

Telephone

Email address

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone: +44 (0) 203 461 7000
Email: transferschemes@bankofengland.co.uk
Website: www.bankofengland.co.uk/PRA

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone: +44 (0) 300 500 0597

Website: www.fca.org.uk
Registered as a Limited Company in England and Wales
No 1920623.
Registered Office as above

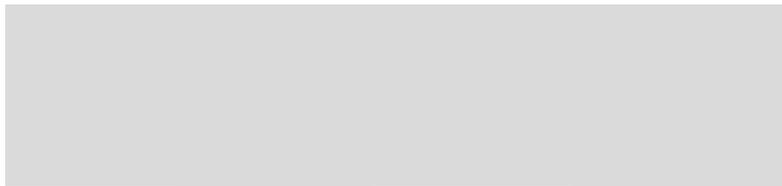
Section 1: Personal identification details of nominee for skilled person

1.01	Title (eg Mr, Mrs, Ms, etc)	
1.02	Surname	
1.03	ALL forenames	
1.04	Name commonly known by	
1.05	Date of birth (dd/mm/yyyy)	
1.06	National Insurance number (if not available, passport number)	
1.07	Previous name	
1.08	Date of name change	
1.09	Nationality	
1.10	Name of nominee's employer Job title Employer's address Dates employed from (mm/yyyy)	
1.11	Email address of nominee	
1.12	Telephone	

Nominee's details

1.13

Private address



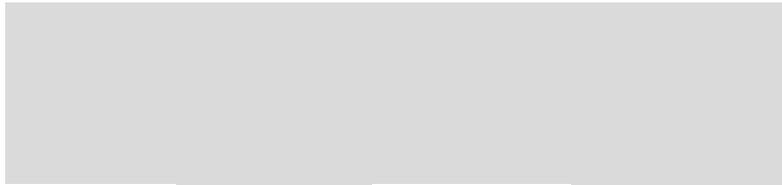
Dates resident at this address
(mm/yyyy)



(If address has changed in the last three years, please provide addresses for the previous three years.)

1.14

Private address



Dates resident at this address
(mm/yyyy)



Section 2: Ring-fencing transfer scheme application

The applicant is required to provide further details of the proposed ring-fencing transfer scheme application for which the applicant is proposing the nominee to act as the skilled person.

2.1 List all separate transfers being proposed by the firm for the RFTS application:

No.	Name of transferee*	Name of transferor*	Brief description of the intended purpose of the transfer

* Where applicable, the firm reference number should be listed for each authorised firm

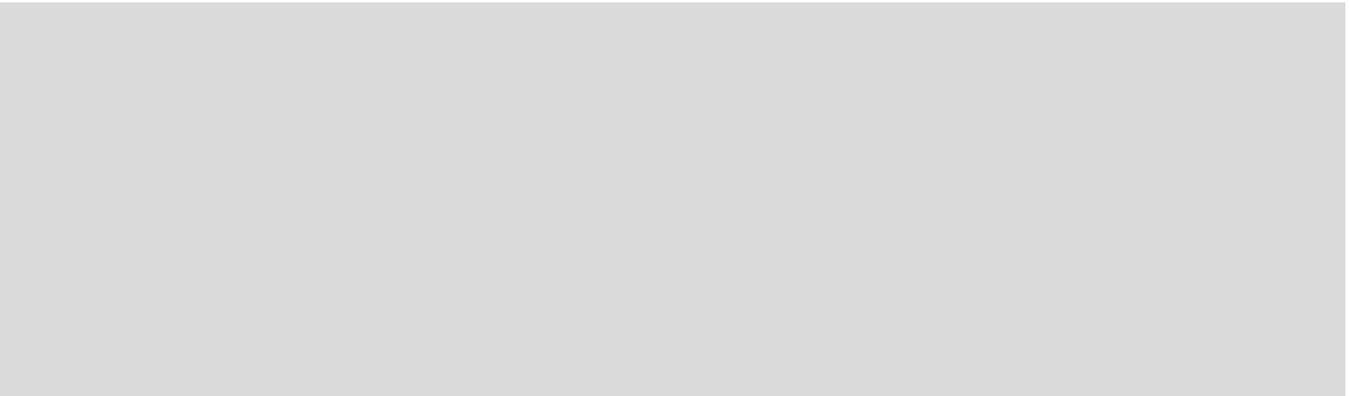
2.2 Outline the firm's overall RFTS application:

Section 3: Competence and suitability

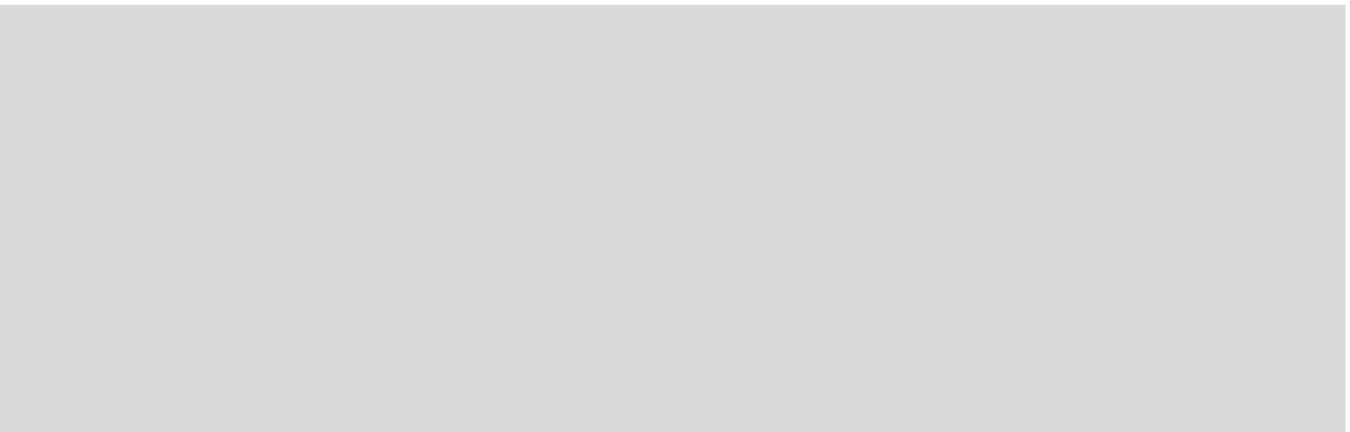
3.1 Selection of nominee – please explain why the applicant considers the nominee suitable to act as the skilled person. Please describe the process by which the applicant identified and selected its proposed nominee:



3.2 Knowledge and experience - Please provide a description of the nominee's relevant knowledge, experience and areas of expertise and explain how this enables the nominee to make a proper scheme report for this specific RFTS application:



3.3 Reliance - Please provide details of any specific aspects of the making of the Scheme Report for which the nominee proposes to rely on other persons (whether persons employed at the same employer or via a third party incorporate both internal and external), and the basis upon which the nominee will engage with such persons and the approach they will adopt to utilise the information provided by such persons in the making of the Scheme Report:



Section 4: Making a proper report

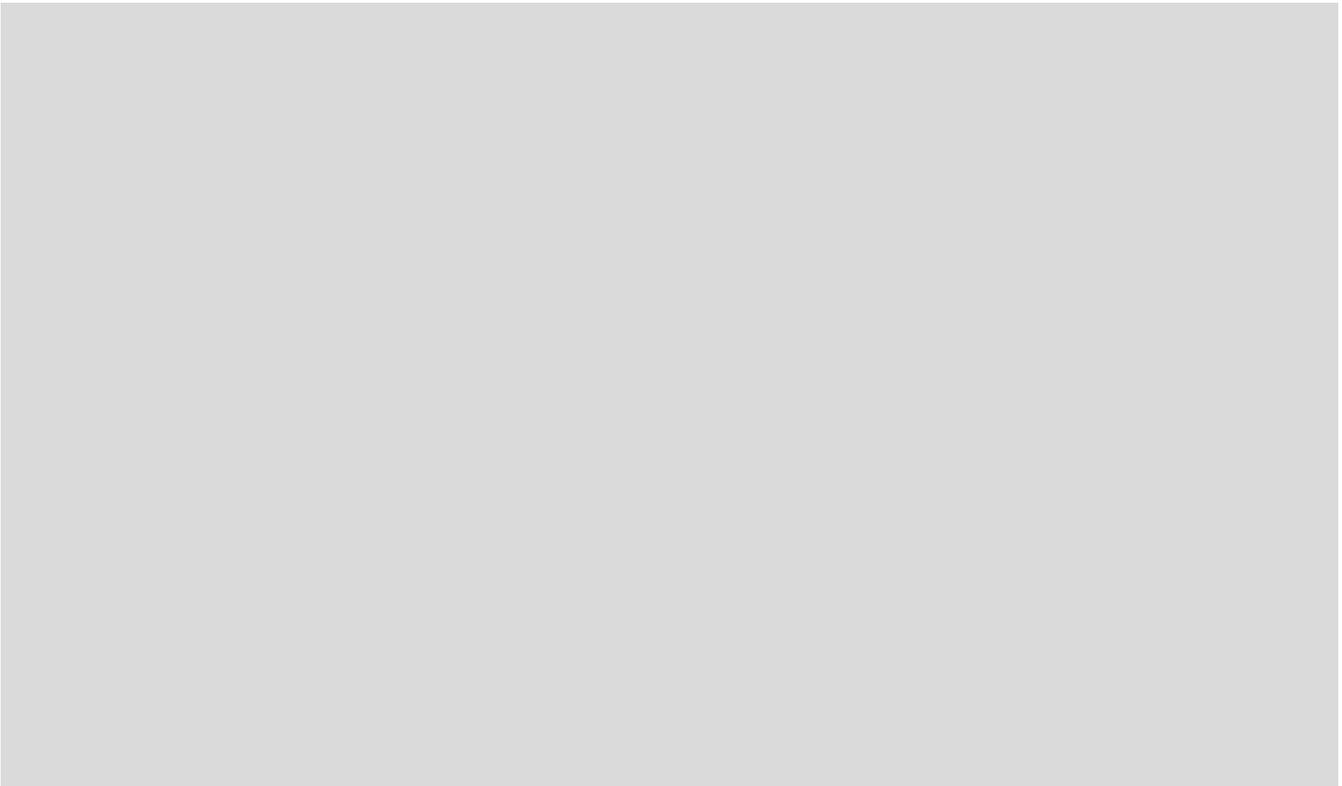
4.1 Please set out the nominee's proposed approach to the preparation and making of the Scheme Report on the terms of the scheme, paying particular attention to how the statutory question set out in FSMA s.109A(4) is to be addressed:

Section 5: Independence

5.1 Please provide details as to the basis on which the nominee (and his or her team) has satisfied themselves as to their independence in making the Scheme Report. Details of the nominee's proposed peer review arrangements should be included. A formal declaration of independence of the nominee and its peer reviewer should be included in this application.



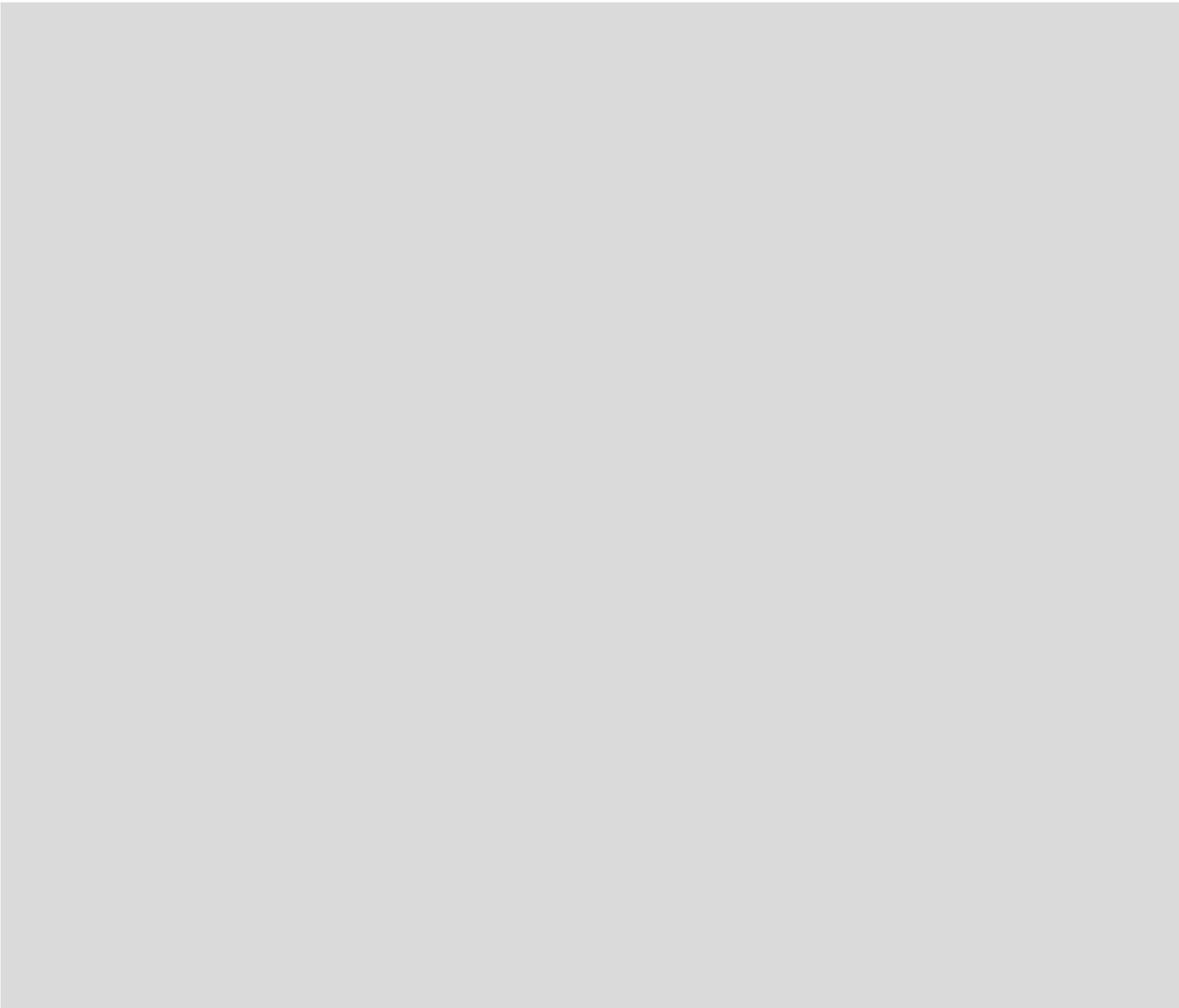
5.2 Details of the proposed terms and conditions of the nominee's appointment, including the basis of the fee arrangement should be set out below:



Section 6: Resource capability

6.1 In the space below please provide the following:

- (a) the nominee's detailed resource plan for the RFTS application, highlighting the anticipated level and type of resource (whether persons employed at the same employer or via a third party incorporate both internal and external) which shows resource utilisation at each stage of the making of the report. This should include details relating to contingency plans should, for any reason, the nominee not be available permanently or for a sustained period of time;
- (b) details of the nominee's other significant existing roles (either external or internal to their firm) eg non-executive directorships, senior management function holder and/or significant advisory or formal appointments;
- (c) where persons other than the nominee are expected to make material contributions to the making of the Scheme Report, details of such persons' other significant existing roles (either external or internal to their firm) eg non-executive directorships, senior management function holder and/or significant advisory or formal appointments; and
- (d) confirmation of the extent of the nominee's professional indemnity insurance.



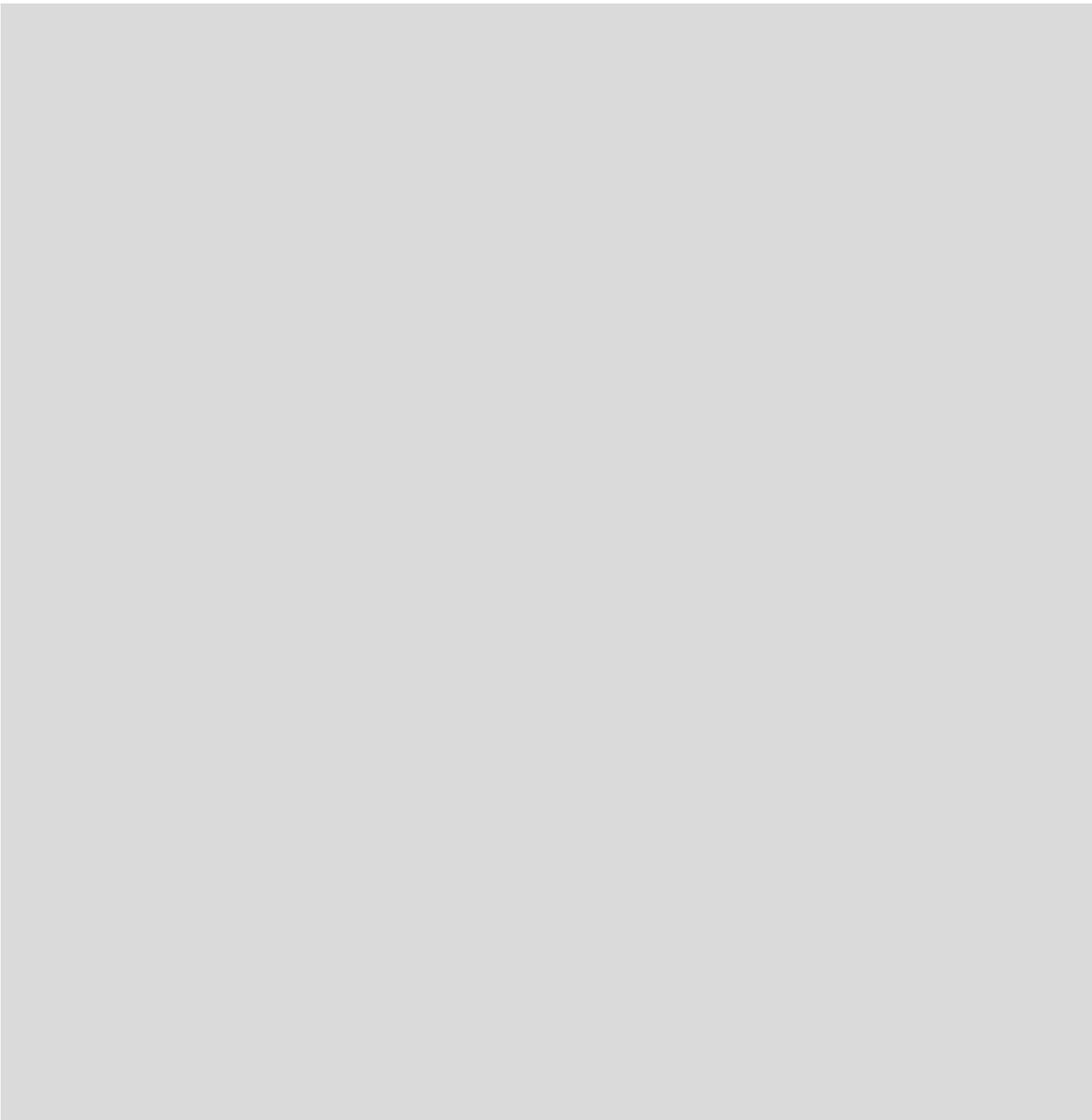
Section 7 - Supplementary Information

If there is any other information the nominee or the applicant considers to be relevant to the application, it must be included here.

This application should include the following:

- up-to-date full curriculum vitae of the nominee;
- draft letter of engagement between applicant and nominee, including terms and conditions;
- nominee's statement of independence (including that of the nominee's peer reviewer);
- if appropriate, independent legal advice on any matters which could be seen as threatening the nominee's independence (and that of persons involved in the making of the Scheme Report, whether such persons are employed at the same employer or via a third party incorporate both internal and external);
- any additional information indicated in previous sections of the form; and
- any issues that could affect the fitness and propriety of the nominee, including any relevant criminal convictions which the PRA and FCA would ordinarily expect to be disclosed as part of the application for the role of the skilled person.

If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.



Section 8: Declarations and signatures

Declaration of nominee

The nominee confirms that the information provided in this application is accurate and complete to the best of his or her knowledge and that he or she has read the notes to this form. The nominee will notify the *FCA* and *PRA* immediately if there is a material change to the information provided and/or if the information is determined to be inaccurate in any material way.

Even if the nominee believes or knows that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, the nominee should nonetheless disclose it clearly and fully in this form and as part of this application – the nominee should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

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 nominee.

The nominee authorises the *FCA* and *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.

The nominee acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the applicant.

The nominee agrees that upon request by the *FCA* and/or *PRA* he or she will apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the applicant and to the *FCA* and *PRA*.

The nominee agrees that the *FCA* and *PRA* may use the address specified for the nominee in this form as the proper address for service in the *United Kingdom* (as defined in *FSMA* (Service of Notice) Regulations (SI 2001/1420)) to serve any notices on the nominee.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the *FCA* and *PRA* to discharge their statutory functions under *FSMA* and other relevant legislation, and will not be disclosed for any other purpose without the permission of the nominee.

The nominee is aware that, while advice may be sought from a third party (eg 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.

Tick here to confirm you have read and understood this declaration:

8.01 Name of nominee

8.02 Signature

Date

Declaration of Firm

The applicant 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 will notify the *FCA* and *PRA* immediately if there is a material change to the information provided and/or if the information is determined to be inaccurate in any material way.

It is a criminal offence to knowingly or recklessly give, in purported compliance with a requirement under subsection 1A of section 398 *FSMA*, the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 *FSMA*). Even if the applicant believes or knows that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, the applicant must nonetheless disclose it clearly and fully in this form and as part of this application – the applicant should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

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 nominee and/or lead to the *FCA* and/or *PRA* exercising their powers under *FSMA* (including but not limited to taking disciplinary/ enforcement action).

In addition to other regulatory responsibilities, *firms* 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 nominee.

The applicant authorises the *FCA* and *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.

In making this application the applicant believes on the basis of due and diligent enquiry that the nominee is a fit and proper person to perform the role of the skilled person for the applicant's proposed RFTS application, as set out more fully in section 2.

The applicant also believes, on the basis of due and diligent enquiry, that the nominee is competent to fulfil the duties required in the performance of a skilled person.

The applicant confirms that it has complied with its obligations under equality and diversity legislation when selecting the nominee to perform the role of skilled person.

The applicant is aware that, while advice may be sought from a third party (eg 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 signing this form on behalf 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.

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* identified on page 1 as the applicant.

8.03 Name of *firm(s)* submitting the application

8.04 Name of *person* signing on behalf of the *firm(s)*

8.05 Job title

8.06 Signature

Date