



Notification to the PRA of permitted activities in relation to structured deposits under Article 16 of the Financial Services and Markets (Regulated Activities) (Amendment) Order 2017

Firms selling and advising clients on structured deposits

Firm Name

Firm Reference Number

Important information you should read before completing this form

This form is only for completion by firms which immediately before 3 January 2018, are authorised under Part 4A of FSMA or, in the case of EEA firms, have permission under paragraph 15 of Schedule 3 (EE A passport rights) to carry on the regulated activities of:

- dealing in investments as agent (Article 21 RAO);
- arranging deals in investments (Article 25(1) RAO);
- making arrangements with a view to transactions in investments (Article 25(2) RAO);
- managing investments (Article 37 RAO); and/or
- advising on investments (Article 53 RAO);

and wish to carry out one or more of these activities in relation to structured deposits.

Under Article 16 of the Financial Services and Markets Act 2000 (Regulated Activities) (Amendment) Order 2017 such firms can notify the FCA or the PRA, as appropriate, if they wish to undertake any of the above-mentioned regulated activities in relation to structured deposits, and are not required to submit a variation of permissions application to the appropriate regulator. The notification must be provided before 1 April 2018.

It is important that you provide complete and accurate information and that you disclose all relevant information. If you do not, you may be committing a criminal offence.

What to do:

Complete this form and send an electronic copy of this notification form by email to:

PRA-AuthsVoPsCancellations@bankofengland.co.uk

For help or enquiries:

- check the PRA website: www.bankofengland.co.uk/pr;
- call the PRA Firm Enquiries: 020 3461 7000;
- email the PRA: PRA.firmenquiries@bankofengland.co.uk.



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Contact details for this notification

We need this information in case we need to contact you when we review your notification.

Contact details of the person we should contact about this notification

Title		
First name(s)		
Surname		
Job Title		
Business address		
Postcode		
Phone number (including STD code)		
Email Address		



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Proposed activities Tell us which activities you intend to carry out in relation to structured deposits

Please indicate in the table below which activities you wish to carry out in relation to structured deposits.

<u>REGULATED ACTIVITY</u>	
Dealing in investments as agent (Article 21 RAO)	<input type="checkbox"/>
Arranging deals in investments (Article 25(1) RAO)	<input type="checkbox"/>
Making arrangements with a view to transactions in investments (Article 25(2) RAO)	<input type="checkbox"/>
Managing investments (Article 37 RAO)	<input type="checkbox"/>
Advising on investments (Article 53 RAO)	<input type="checkbox"/>

Immediately before 3 January 2018, were you authorised to carry out all the regulated activities you have indicated above?

Yes

No ▶ You are unable to use this notification form for activities that you were not authorised to carry out immediately before 3 January 2018. If you wish to carry out those activities in relation to structured deposits, please submit a variation of permissions application.



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Declaration

Warning

Knowingly or recklessly giving us information, which is false or misleading in a material particular, may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). Our rules (Notifications 6.3) require an authorised person to notify us immediately if materially inaccurate information has been provided. Contravening these requirements may lead to disciplinary sanctions or other enforcement action by us. It should not be assumed that issues are known to us just because they are in the public domain or have previously been disclosed to us or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

Data protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the 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 firm.

Declaration

By submitting this form:

- ✓ I confirm that the information in this form is accurate and complete to the best of my/our knowledge and belief and that I/we have taken all reasonable steps to ensure that this is the case.
- ✓ I am aware that it is a criminal offence knowingly or recklessly to give the PRA information that is false or misleading in a material particular.
- ✓ I will notify the PRA immediately if there is a significant change to the information given in the notification.

Signature one

Name of person submitting this form	
Position of person submitting this form	
Individual Registration Number (if applicable)	
Date (dd/mm/yy)	