

# **Appendix 2: Draft Handbook text and PRA Rulebook text – proposed changes to forms made under rulemaking powers**

## **Part 1: Draft FCA Rules Instrument**

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## NOTIFICATION FORMS (AMENDMENT) INSTRUMENT 2015

### Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers listed above are specified for the purpose of section 138G (Rule-making instruments) of the Act.

### Commencement

- C. This instrument comes into force as follows:

Part of the Annex to this instrument	Date comes into force
Part 1	TBC
Part 2	7 <sup>th</sup> March 2016

### Amendments to the Handbook

- D. The annexes to the Supervision manual (SUP) of the FCA’s Handbook are amended in accordance with Parts 1 and 2 of the Annex to this instrument.

### Citation

- E. This instrument may be cited as the Notification Forms (Amendment) Instrument 2015.

By order of the Board of the Financial Conduct Authority  
[date TBC]

## **Annex**

### **Amendments to the Supervision manual (SUP)**

In this Annex, underlining indicates new text and striking through indicates deleted text.

**Part 1: Comes into force on [TBC].**

The forms in the following annexes are amended as shown.

**10A Form F: Changes in notified persons**

**Annex**

**2R**



Application number  
(for FCA /PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the notified person in answering the questions in this form. Please read these notes, which are available on both *FCA* and *PRA* websites at:

[http://media.fshandbook.info/Forms/notes/imap\\_formf\\_notes.doc](http://media.fshandbook.info/Forms/notes/imap_formf_notes.doc)  
<http://www.bankofengland.co.uk/PRA>

Both the applicant and the notified person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

## Form F - Changes in notified persons

*FCA* and *PRA* Handbook Reference: *SUP* 15 Annex 2R – Notification under *SUP* 15.4.1R

*PRA* Rulebook Reference: Notifications 4.1(2)

4 April 2013 [TBC]

Name of notified person†  
(to be completed by applicant)

Name of *firm*†

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 845 606 9966  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail [PRA.FirmEnquiries@bankofengland.co.uk](mailto:PRA.FirmEnquiries@bankofengland.co.uk)  
Website <http://www.bankofengland.co.uk/PRA>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

† 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 Chapter 7 of the Notifications Part in the *PRA* Rulebook

‡

## Contact Details

Contact for this application

Title†
First Name†
Surname†
Job Title†
Business address †
Post code†
Phone number (including STD code) †
Email address†
Mobile No†
Fax 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 Chapter 7 of the Notifications Part in the PRA Rulebook

Details of notified person

Is the notified person an approved person?

YES  NO

**1.01 a** If 'yes' Notified person's Individual Reference Number (IRN) †

**b** OR name of previous regulatory body †

**c** AND previous reference number †

**1.02** Title  
(e.g. Mr, Mrs, Ms, etc) †

**1.03** Surname †

**1.04** ALL forenames †

**1.05** Name commonly known by †

**1.06** Date of birth †

/ /

**1.07** National Insurance number †

**1.08** Previous name †

**1.09** Date of change †

/ /

**1.10** Reason for change †

**1.11 a** Nationality †

**b** Passport Number †  
(If National Insurance number not available)

**1.12** Place of birth †

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

YES  NO

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† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**1.13 a** Private address<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)<sup>†</sup>

**1.14 a** Previous address 1<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To / /

**1.15 a** Previous address 2<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To / /

 I have supplied further information related to this in Section 6<sup>†</sup> YES  NO

2.01 Name of *firm* making the application†

2.02 a Firm Reference Number (FRN)†

2.03 a Name of Home State regulator†

b Country†



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

YES

NO

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† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**Notified Positions****Section 3**

3.01 Notified positions individual is taking over. †

**a** Firm's world-wide chief executive where *the person* is situated outside the *United Kingdom*

**b** The *person*, if not the world-wide chief executive, within the *overseas* firm with a purely strategic responsibility for *UK* operations

**c** For a *bank*: the two or more *persons* who effectively direct its business in accordance with SYSC 4.2.2

**d** For a *UK* branch of an *insurer*: the *authorised UK representative*

3.02 Effective date†

/ /

3.03 Individual Reference Number of individual being replaced†

3.04 Name of individual being replaced†



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

YES NO **Employment history for past 5 years****Section 4**

Please start with the most recent employment. †

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† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

Note: ALL gaps in employment must be accounted for

**4.01 Employment details (1)**

<b>a</b>	Period (mm/yyyy) †	From /	To /												
<b>b</b>	Nature of employment†	<table border="0" style="width: 100%;"> <tr> <td style="padding-right: 20px;"><i>a</i> Employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>b</i> Self-employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>c</i> Unemployed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>d</i> Full-time education</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		<i>a</i> Employed	<input type="checkbox"/>	<i>b</i> Self-employed	<input type="checkbox"/>	<i>c</i> Unemployed	<input type="checkbox"/>	<i>d</i> Full-time education	<input type="checkbox"/>				
<i>a</i> Employed	<input type="checkbox"/>														
<i>b</i> Self-employed	<input type="checkbox"/>														
<i>c</i> Unemployed	<input type="checkbox"/>														
<i>d</i> Full-time education	<input type="checkbox"/>														
	if b, c or d is ticked, please give details†														
<b>c</b>	Name of employer†														
<b>d</b>	Nature of business†														
<b>e</b>	Previous / other names of employer†														
<b>f</b>	Last known address of employer†														
<b>g</b>	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body												
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which <i>firm</i> ?												
<b>i</b>	Position held†														
<b>j</b>	Responsibilities†														
<b>k</b>	Reason for leaving†	<table border="0" style="width: 100%;"> <tr> <td style="padding-right: 20px;"><i>a</i> Resignation</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>b</i> Redundancy</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>c</i> Retirement</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>d</i> Termination/dismissal</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>e</i> End of contract</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>f</i> Other</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		<i>a</i> Resignation	<input type="checkbox"/>	<i>b</i> Redundancy	<input type="checkbox"/>	<i>c</i> Retirement	<input type="checkbox"/>	<i>d</i> Termination/dismissal	<input type="checkbox"/>	<i>e</i> End of contract	<input type="checkbox"/>	<i>f</i> Other	<input type="checkbox"/>
<i>a</i> Resignation	<input type="checkbox"/>														
<i>b</i> Redundancy	<input type="checkbox"/>														
<i>c</i> Retirement	<input type="checkbox"/>														
<i>d</i> Termination/dismissal	<input type="checkbox"/>														
<i>e</i> End of contract	<input type="checkbox"/>														
<i>f</i> Other	<input type="checkbox"/>														
	Specify†														

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

<b>4.02 a</b>	Period (mm/yyyy) †	From /	To /
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† 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 Chapter 7 of the Notifications Part in the PRA Rulebook  
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**Version 5**

**b** Nature of employment<sup>†</sup>

<i>a</i> Employed	<input type="checkbox"/>
<i>b</i> Self-employed	<input type="checkbox"/>
<i>c</i> Unemployed	<input type="checkbox"/>
<i>d</i> Full-time education	<input type="checkbox"/>

if b, c or d is ticked, please give details <sup>†</sup>

**c** Name of employer<sup>†</sup>

**d** Nature of business<sup>†</sup>

**e** Previous / other names of employer<sup>†</sup>

**f** Last known address of employer<sup>†</sup>

**g** Is / was employer regulated by a regulatory body? <sup>†</sup> Yes  No  Name of regulatory body

**h** Is / was employer an *appointed representative/tied agent*?<sup>†</sup> Yes  No  If yes, of which *firm*?

**i** Position held<sup>†</sup>

**j** Responsibilities<sup>†</sup>

**k** Reason for leaving<sup>†</sup>

<i>a</i> Resignation	<input type="checkbox"/>
<i>b</i> Redundancy	<input type="checkbox"/>
<i>c</i> Retirement	<input type="checkbox"/>
<i>d</i> Termination/dismissal	<input type="checkbox"/>
<i>e</i> End of contract	<input type="checkbox"/>
<i>f</i> Other	<input type="checkbox"/>

Specify<sup>†</sup>

 I have supplied further information related to this in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**4.03 Employment details (3)**

<b>a</b>	Period (mm/yyyy) †	From /	To /
<b>b</b>	Nature of employment †	<b>a</b> Employed <input type="checkbox"/> <b>b</b> Self-employed <input type="checkbox"/> <b>c</b> Unemployed <input type="checkbox"/> <b>d</b> Full-time education <input type="checkbox"/>	
	if b, c or d is ticked, please give details †		
<b>c</b>	Name of employer †		
<b>d</b>	Nature of business †		
<b>e</b>	Previous / other names of employer †		
<b>f</b>	Last known address of employer †		
<b>g</b>	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which <i>firm</i> ?
<b>i</b>	Position held †		
<b>j</b>	Responsibilities †		
<b>k</b>	Reason for leaving †	<b>a</b> Resignation <input type="checkbox"/> <b>b</b> Redundancy <input type="checkbox"/> <b>c</b> Retirement <input type="checkbox"/> <b>d</b> Termination/dismissal <input type="checkbox"/> <b>e</b> End of contract <input type="checkbox"/> <b>f</b> Other <input type="checkbox"/>	
	Specify †		

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**4.04 Employment details (4)**

<b>a</b>	Period (mm/yyyy) †	From /	To /
<b>b</b>	Nature of employment†	<b>a</b> Employed <input type="checkbox"/>	<input type="checkbox"/>
		<b>b</b> Self-employed <input type="checkbox"/>	<input type="checkbox"/>
		<b>c</b> Unemployed <input type="checkbox"/>	<input type="checkbox"/>
		<b>d</b> Full-time education <input type="checkbox"/>	<input type="checkbox"/>
	if b, c or d is ticked, please give details †		
<b>c</b>	Name of employer†		
<b>d</b>	Nature of business†		
<b>e</b>	Previous / other names of employer†		
<b>f</b>	Last known address of employer†		
<b>g</b>	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which <i>firm</i> ?
<b>i</b>	Position held†		
<b>j</b>	Responsibilities†		
<b>k</b>	Reason for leaving†	<b>a</b> Resignation <input type="checkbox"/>	<input type="checkbox"/>
		<b>b</b> Redundancy <input type="checkbox"/>	<input type="checkbox"/>
		<b>c</b> Retirement <input type="checkbox"/>	<input type="checkbox"/>
		<b>d</b> Termination/dismissal <input type="checkbox"/>	<input type="checkbox"/>
		<b>e</b> End of contract <input type="checkbox"/>	<input type="checkbox"/>
		<b>f</b> Other <input type="checkbox"/>	<input type="checkbox"/>
	Specify†		



I have supplied further information related to this 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**4.05 Employment details (5)**

<b>a</b>	Period (mm/yyyy) †	From /	To /
<b>b</b>	Nature of employment†	<b>a</b> Employed <input type="checkbox"/> <b>b</b> Self-employed <input type="checkbox"/> <b>c</b> Unemployed <input type="checkbox"/> <b>d</b> Full-time education <input type="checkbox"/>	
	if b, c or d is ticked, please give details†		
<b>c</b>	Name of employer†		
<b>d</b>	Nature of business†		
<b>e</b>	Previous / other names of employer†		
<b>f</b>	Last known address of employer†		
<b>g</b>	Is / was employer regulated by a regulatory body? †		
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †		
<b>i</b>	Position held†		
<b>j</b>	Responsibilities†		
<b>k</b>	Reason for leaving†		
	Specify†		



I have supplied further information related to this 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 Chapter 7 of the Notifications Part in the PRA Rulebook

When answering the questions in this section, the notified person should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, the notified person is not required to disclose spent convictions and cautions.

<b>5.01</b>	<b>a</b>	<p>Has the notified person <b>ever</b> been convicted of any offence <del>(whether spent or not and</del> whether or not in the <i>United Kingdom</i>):</p> <ul style="list-style-type: none"> <li>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</li> <li>ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies</i>, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, <i>money laundering</i>, market manipulations or <i>insider dealing</i>?</li> </ul>	Yes <input type="checkbox"/> No <input type="checkbox"/>
	<b>b</b>	Is the notified person the subject of any current criminal proceedings?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	<b>c</b>	Has the notified person <b>ever</b> been given a caution in relation to any criminal offence	Yes <input type="checkbox"/> No <input type="checkbox"/>
		*	
<b>5.02</b>		Has the notified person any convictions for any offences <del>(whether spent or not and</del> whether or not in the United Kingdom) other than those in 5.01 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"/>
<b>5.03</b>	<b>a</b>	Has the notified person <b>ever</b> had a County Court Judgment (CCJ) or other judgement debt, (whether or not in the United Kingdom) Has the notified person had:	Yes <input type="checkbox"/> No <input type="checkbox"/>
		i. more than 2 CCJs or judgment debts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
		or	
		ii. more than £1,000 in total of CCJs or judgment debts?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	<b>b</b>	Is the notified person aware of anybody's intention to:	
		i. begin more than one set of proceedings against the notified person for a CCJ or other judgment debt? Or	Yes <input type="checkbox"/> No <input type="checkbox"/>
		ii. claim more than £1,000 of CCJs or	Yes <input type="checkbox"/> No <input type="checkbox"/>
		judgment debts in total from the notified person	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>5.04</b>		Does the notified person have any 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"/>
<b>5.05</b>		Has the notified person <b>ever</b> failed to satisfy any such judgment debts within one year of the making of the order?	Yes <input type="checkbox"/> No <input type="checkbox"/>

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

5.06	a	Is the notified person, or has the notified person <b>ever</b> been, the subject of any bankruptcy proceedings or proceedings for the sequestration of the notified person's estate?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b	Has the notified person <b>ever</b> entered or is in the process of entering into an agreement in favour of the notified person'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"/>
5.07		Does the notified person have any outstanding financial obligations arising from <i>regulated activities</i> , which the notified person has carried on in the past (whether or not in the <i>United Kingdom</i> )?  (In the case of <i>advisers</i> , this will include any outstanding liabilities arising from commissions paid for the sale of <i>packaged products</i> that have lapsed.)	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.08		Has the notified person <b>ever</b> been found guilty of carrying on any unauthorised <i>regulated activities</i> or been investigated for the possible carrying on of unauthorised <i>regulated activities</i> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.09		Is the notified person, or has the notified person <b>ever</b> been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activities?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.10		<b>Has the notified person ever</b> (whether or not in the <i>United Kingdom</i> ) –	
	a	been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or any fiduciary office or position of trust, whether or not remunerated?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	b	been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	c	been disqualified by a court from acting as a <i>director</i> of a <i>company</i> or from acting in a management capacity or conducting the affairs of any <i>company</i> , <i>partnership</i> or <i>unincorporated association</i> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
	d	been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56 of the Financial Services and Markets Act 2000, or received a warning notice that such a direction or order be made?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.11		In relation to activities regulated by the <i>FCA</i> and/or <i>PRA</i> or any other regulatory body (see note section 5), has:  i. the notified person, or  ii. any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner or company secretary, during the notified person's association with that entity and for a period of three years after the notified person ceased to be associated with it, <b>ever</b> –	

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

- a been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted **by any such body?** Yes  No
- b been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action **by any such body?** Yes  No
- c resigned whilst under investigation by, or been required to resign from, **any such body?** Yes  No
- d decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by **any such body**, not to proceed with it? Yes  No
- e been the subject of any civil action which has resulted in a finding against the notified person or it by a court? Yes  No

**5.12 Has any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner, or company secretary, in the United Kingdom or elsewhere, at any time during the notified person's involvement or within one year of such an involvement -**

- a 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
- b been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct? Yes  No
- c 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  No
- d 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 already indicated under 5.11(b)) Yes  No

**5.13** Is the notified person aware of any business interests, employment obligations, or any other situations which may conflict with the performance of the *controlled functions* for which approval is now sought? Yes  No



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

YES

NO

## Supplementary Information † Section 6

**6.01** Is there any other information the notified person of the firm considers to be relevant to the application?  
†

Please provide full details†

**6.02** Full details must be provided here if there were any issues that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5. †

Please indicate clearly which question additional information relates to. †

Question	Information

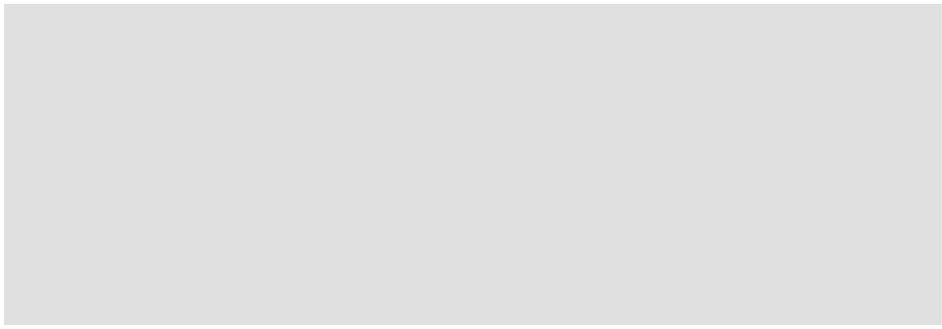
**6.03** Include a list of all directorships currently or previously held by the notified person in the past 10 years (where *director* has the meaning given in the *Glossary*). †

**6.04** Is there any other information the notified person or the *firm* considers to be relevant to the application? †

Yes  No

If yes, provide details below or on a separate sheet of paper†

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook



## Supporting Documents†

Indicate the required supporting documents to accompany this form.

Documents	Mode (Send by Email, Post, or by Fax)

Other information

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† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**Form F – Changes in notified persons**  
**Version 5**

## DECLARATION OF NOTIFIED PERSON†

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*. If there is any doubt about the relevance of information, it should be included.

### Data Protection†

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 applicant.

**I can 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.**

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. **I authorise the *FCA* and/or *PRA* to make such enquiries and seek further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.**

7.01 Notified person's full name†

7.02 Signature \*

Date† / /

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

---

\* The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission

∞ The above question(s) appears on the electronic form submission only. It does not appear on a paper form submission.

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**DECLARATION OF FIRM†**

Knowingly or recklessly giving the *FCA* and/or *PRA* 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). *SUP* 15.6.1R and *SUP* 15.6.4R require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and/or *PRA* and to notify the *FCA* and/or *PRA* immediately if materially inaccurate information has been provided.

*APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*.

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. If there is any doubt about the relevance of information, it should be included.

In making this application the *firm* believes on the basis of due and diligent enquiry that the notified person is a fit and proper person to perform the notified position(s) listed in section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the notified person is competent to fulfil the duties required of such function(s).

**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 notification, and sign this Form, on behalf of each *firm* identified in section 7. 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†

7.03

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

7.05 Job title†

7.06 Signature

Date†



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

## Completion Checklist

Is the Form fully completed? †

Are ALL forenames included? †

Is there a complete five-year employment history with all gaps explained? †

Is the Form correctly signed and dated by both the *firm* making the application and the notified person? †

Has all supplementary information been included and clearly marked? †

\* The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission

† 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

‡ 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 Chapter 7 of the Notifications Part in the *PRA* Rulebook

† 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 Chapter 7 of the Notifications Part in the PRA Rulebook

**Form F – Changes in notified persons**  
**Version 5**

**10A**      **Form D: Notification of changes to personal information or**  
**Annex**    **application details**  
**7R**



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:

[http://media.fshandbook.info/Forms/notes/imap\\_formd\\_notes.doc](http://media.fshandbook.info/Forms/notes/imap_formd_notes.doc)  
[www.bankofengland.co.uk/PRA](http://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 their answers to the questions in this form.

## Form D

# Notification of changes in personal information or application details

FCA Handbook Reference: SUP 10A Annex 7R

PRA Handbook Reference: SUP 10B Annex 7R

[TBC]

Name of individual  
(to be completed by applicant)

Name of firm  
(as entered in 4.01)

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](mailto: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](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road,

Telephone ~~+44 (0) 845 606 9966~~  
Facsimile ~~+44 (0) 207 066 0017~~  
E-mail ~~[iva@fca.org.uk](mailto:iva@fca.org.uk)~~  
Website ~~[www.fca.org.uk](http://www.fca.org.uk)~~

London, EC2R 7HH

Email ~~[PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)~~  
Website ~~[www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)~~

## What sections should you complete?

The question will 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

**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

Postcode

**1.06** Phone number (including STD code)

**1.07** Email address

**1.08** Mobile No

**1.09** Fax No.

<b>2.01</b>	<i>Approved person</i> Individual Reference Number (IRN)	
<b>2.02</b>	Title (e.g. Mr, Mrs, Ms, etc)	
<b>2.03</b>	Surname	
<b>2.04</b>	ALL forenames	
<b>2.05</b>	National Insurance number	
<b>2.06</b>	Nationality	
<b>2.07</b>	Passport number	
<b>2.08</b>	Effective date of change (dd/mm/yy)	/ /
<b>2.09</b>	Reason for change	

**Add New Arrangement**

<b>3.01</b>	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
<b>3.02</b>	Name of Group <small>(Once completed continue to Section 4)</small>	
<b>3.03</b>	Details of the Other Arrangement <small>(Once completed continue to Section 4)</small>	

**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 Appointed 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)	/ /

---

**Appointed Representative 2**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

**Appointed Representative 3**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

**Appointed Representative 4**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

Please continue to Section 4

**4.01** Name of *firm*

**4.02** Firm Reference Number (FRN)

**4.03** Other *firms* for whom the individual performs *controlled functions*

	<b>FRN</b>	<b>Name of <i>firm</i></b>	<b><i>Controlled function</i></b>
<b>a</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>b</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>c</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>d</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>e</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Please continue to Section 6

**5.01 Criminal Proceedings**

When answering the questions in this section you 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, you must disclose spent convictions and cautions (other than a protected conviction or caution). ~~(In the following questions, you should include all matters even when the arrest, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.4, even where the candidate themselves was not the subject of the investigation.)~~

**If you answer Yes to any of the questions in Section 5 you will be asked for further details in Section 6.02.**

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i> ): <ul style="list-style-type: none"> <li>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</li> <li>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></li> </ul>	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Is the <i>candidate</i> , <del>or has the candidate ever been,</del> <u>currently</u> the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	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"/>
<b>5.01.3</b>	<del>Has the candidate ever been arrested or charged with any criminal offence or been</del> the subject of any <u>ongoing</u> criminal investigation? <del>(You should include all matters even if the arrest, charge or investigation did not result in a conviction.)</del>	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>candidate</i> <del>ever</del> been ordered to produce documents pursuant to any <u>ongoing</u> criminal investigation or been the subject of a search (with or without a warrant) pursuant to any <u>ongoing</u> criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
	<p><u>In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.</u></p>	

**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:

**a** Been convicted of any criminal offence?

(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  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

YES  NO

**c** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**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, firms 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  NO

## 5.02 Civil Proceedings

**5.02.1** Has the candidate, **ever** been the subject of a judgement debt or award against the candidate?

YES  NO

Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.

You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and

i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and

ii) the total number of all judgment debts, awards or CCJs ordered.

**5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)

YES  NO

**5.02.3** Is the candidate aware of:

**a** Any proceedings that have begun, or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt?

YES  NO

**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  NO

**c** Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the candidate?

YES  NO

**5.02.4** Does the candidate have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?

YES  NO

**5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in

YES  NO

full or part, within one year of the order being made?



<b>5.02.6</b>	Has the <i>candidate</i> ever:	
<b>a</b>	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	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"/>
<b>d</b>	Made any arrangements with the candidate'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"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>f</b>	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 candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.7</b>	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"/>
<b>5.02.8</b>	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"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:	
<b>a</b>	Party to any civil proceedings? (including those covered in 3.02.7 above)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the candidate? (you should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:	
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (you should include all CCJs) made against the firm, whether satisfied or not.	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	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"/>

**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

### 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 candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the candidate?

YES  NO

**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  NO

**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

**5.04 Regulatory Matters**

**5.04.1** In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see guidance notes), 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 –

<b>a</b>	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>b</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"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	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"/>
<b>f</b>	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"/>
<b>g</b>	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"/>
<b>h</b>	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"/>
<b>i</b>	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"/>
<b>j</b>	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"/>
<b>k</b>	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"/>

**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 FCA/PRA or any other regulatory body is required without the requisite authorisations?

YES       NO
- b**      Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?

YES       NO
- c**      Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?

YES       NO
- d**      Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?

YES       NO
- 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 FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?

YES       NO
- 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       NO

**5.05 Other Matters**

**5.05.1** Is the *candidate*, 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  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO

**6.01** Indicate the required supporting documents to accompany this form

Documents	Mode (by email, fax, post)

**6.02** Full details must be provided here if any questions have been answered 'yes' in Section 5 (Fitness and Propriety)

Question	Information

**DECLARATION OF APPROVED PERSON**

The *firm* must ask the individual to make the declaration only where the *firm* becomes aware of information that would reasonably be material to the assessment of the *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. If there is any doubt about the relevance of information, it should be included.

**Data Protection**

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 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.**

The *FCA and/or PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. I authorise the *FCA and/or PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.

7.01 Full name of *approved person*  
i.e. Title, forenames, SURNAME

7.02 Signature

Date  /  /

**DECLARATION OF FIRM**

Knowingly or recklessly giving the *FCA and/or PRA* 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). *SUP 15.6.1R* and *SUP 15.6.4R* require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA and/or PRA* and to notify the *FCA and/or PRA* immediately if materially inaccurate information has been provided. *APER 4.4.7E* provides that, where an *approved person* is responsible for reporting matters to the *FCA and/or PRA*, failure to inform the *FCA and/or PRA* of materially significant information of which he is aware is a breach of *Statement of Principle 4*. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA and/or PRA*. 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. If there is any doubt about the relevance of information, it should be included.

**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.**

7.03 Name of the *firm*

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

7.05 Position

7.06 Signature

Date  /  /

These questions should only be completed if submission of this form is online. It should not be completed if the form is being submitted in one of the other ways set out in *SUP 15.7*

**Part 2: Comes into force on 7 March 2016.**

The form in the following annex is amended as shown.

**10A**      **Form D: Notification of changes to personal information or**  
**Annex**      **application details and conduct breaches/disciplinary action related**  
**7R**         **to conduct**



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:

<http://fshandbook.info/FS/html/FCA/SUP/10A/Annex7>

[www.bankofengland.co.uk/PRA](http://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](mailto: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](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Registered as a Limited Company in England and Wales  
No 07854923. Registered Office: 8 Lothbury Road,  
London, EC2R 7HH

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' in the PRA Rulebook

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

Version 8 – September 2015

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' in the *PRA* Rulebook

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## 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 64B(5) or 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' in the *PRA* Rulebook

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Contact for this notification

<b>1.01</b>	Title (e.g Mr; Mrs, Ms, etc)	
<b>1.02</b>	First Name	
<b>1.03</b>	Surname	
<b>1.04</b>	Job Title	
<b>1.05</b>	Business address	
	Post code	
<b>1.06</b>	Phone number (including STD code)	
<b>1.07</b>	Email address	
<b>1.08</b>	Mobile No	
<b>1.09</b>	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' in the *PRA* Rulebook

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

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**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' in the PRA Rulebook

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

**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  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' in the PRA Rulebook

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**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' in the PRA Rulebook

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

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' in the *PRA* Rulebook

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

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 *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, *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution).

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

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> 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>b</b>	Is the <i>candidate</i> , <del>or has the candidate ever been,</del> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	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"/>
<b><u>5.01.3</u></b>	<u>Is the candidate the subject of any ongoing criminal investigation?</u>	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b><u>5.01.34</u></b>	Has the <i>candidate</i> <del>ever</del> been ordered to produce documents pursuant to any <u>ongoing</u> criminal investigation or been the subject of a search (with or without a warrant) pursuant to any <u>ongoing</u> criminal investigation?  <u>In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.</u>	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’ in the *PRA* Rulebook

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

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' in the *PRA* Rulebook

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

**Version 8 – September 2015**

**5.01.45**

Has any firm at which the *candidate* 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  NO

**a** Been convicted of any criminal offence?

YES  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

**bc** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**ed** 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?

YES  NO

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, firms 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.



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' in the *PRA* Rulebook

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

**5.02 Civil Proceedings**

<b>5.02.1</b>	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"/>
	Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.  <i>Candidate</i> should include all Court Court Judgement(s) (CCJs) made against the <i>candidate</i> , whether satisfied or not); and i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and ii) the total number of all judgment debts, awards or CCJs ordered.		
<b>5.02.2</b>	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"/>
<b>5.02.3</b>	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"/>
<b>5.02.4</b>	Does the <i>candidate</i> have any <b>current</b> 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"/>
<b>5.02.5</b>	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

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

<b>5.02.6</b>	Has the <i>candidate</i> ever:		
<b>a</b>	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>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	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"/>
<b>d</b>	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"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	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"/>
<b>5.02.7</b>	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"/>
<b>5.02.8</b>	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"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:		
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</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"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:		
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</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"/>
<b>c</b>	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' in the PRA Rulebook

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

**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' in the *PRA* Rulebook

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

**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 *candidate* acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the *candidate*?

YES  NO

**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  NO

**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' in the *PRA* Rulebook

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

**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 –

<b>a</b>	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>b</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"/>
<b>c</b>	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"/>
<b>d</b>	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"/>
<b>e</b>	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"/>
<b>f</b>	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"/>
<b>g</b>	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"/>
<b>h</b>	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"/>
<b>i</b>	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"/>
<b>j</b>	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"/>
<b>k</b>	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' in the *PRA* Rulebook

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

**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 *FCA/PRA* or any other regulatory body is required without the requisite authorisations?      YES       NO
- b**      Been investigated for the possible carrying on of activities requiring authorisation or registration by the *FCA/PRA* or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?      YES       NO
- c**      Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval?      YES       NO
- d**      Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?      YES       NO
- 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 *FCA/PRA* of the identity of a person acting in a position of influence over its electronic money or payment services business?      YES       NO
- 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       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' in the *PRA* Rulebook

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

**5.05 Other Matters**

**5.05.1** Is the *candidate*, 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 senior management functions for which approval is now being sought?

YES  NO

**5.05.2** Are the *candidate or the firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

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' in the *PRA* Rulebook

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

**Version 8 – September 2015**

# Fitness and Propriety – Notifications under Section 64B(5) or 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 under section 64B(5) (Breach of conduct rules) of the Financial Services and Markets Act 2000 of known or suspected breach of the individual or senior manager conduct rules set out in the *FCA's COCON* or *PRA Conduct Rules*;
- (b) 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* ;
- (c) make a follow up notification to update a determination that has previously been the subject of a notification that has been made by the firm in relation to (a) or (b) (as appropriate and to the extent required by, in the case of the *FCA*, SUP15.11.8 or in the case of the *PRA*, Notifications 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 64B(5) or 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 (this includes updates to previous notifications made under section 64B(5) (Breach of Conduct Rules) and 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000):

### 6.02 Notification of breaches of the individual or senior manager conduct rules and/or disciplinary action.

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' in the *PRA Rulebook*

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

Version 8 – September 2015

**6.02.1** If the firm is making a notification under section 64B(5) of the Financial Services and Markets Act 2000 of any known or suspected breach(es) of the individual or senior manager conduct rules set out in the *FCA's CO-CON* or *PRA* Conduct Rules, please complete the relevant boxes below.

	Tick the rule(s) relevant to this notification	Tick if this is a known breach	Tick if this is a suspected breach
<b>Individual Conduct Rules</b>			
Rule 1: You must act with integrity.			
Rule 2: You must act with due skill, care and diligence.			
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.			
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.			
Rule 5: You must observe proper standards of market conduct.			
<b>Senior Manager Conduct Rules</b>			
SC1: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible is controlled effectively.			
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> .			
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.			
SC4: You must disclose appropriately any information of which the <i>FCA</i> or <i>PRA</i> would reasonably expect notice.			

**6.02.2** For each breach please provide the following information. Please attach additional sheets as necessary.

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' in the *PRA* Rulebook

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

Relevant rule(s): Date when known or suspected breach came to the attention of the firm: Date or period of known or suspected breach
Details of the known or suspected breach:

**6.02.3** If the firm is making a notification under section 64C of the Financial Services and Markets Act 2000, please provide details below of disciplinary action taken and the reasons for this action.

--



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' in the PRA Rulebook

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

**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’ in the *PRA* Rulebook

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

## 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' in the *PRA* Rulebook

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

Version 8 – September 2015

## 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. If there is any doubt about the relevance of information, it should be included.

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 applicant.

**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' in the *PRA* Rulebook

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

Version 8 – September 2015

**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' in the *PRA* Rulebook

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

**Part 2: Draft PRA Handbook Instrument**

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**HANDBOOK NOTIFICATION FORMS (AMENDMENT) INSTRUMENT [YEAR]**

**Powers exercised**

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
  - (1) section 137G (The PRA’s general rules); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

**Commencement**

- C. This instrument comes into force on *[date]*.

**Amendments to the Handbook**

- D. The PRA makes the rules in the Annex to this instrument, amending Form D: Notification of changes in personal information or application details.

**Citation**

- E. This instrument may be cited as the Handbook Notification Forms (Amendment) Instrument [Year].

**By order of the Board of the Prudential Regulation Authority**

[DATE]

**Annex**

**Amendments to the Supervision Manual (SUP)**

In this Annex, new text is underlined and deleted text is struck through.

**SUP 10B Annex 7R Form D: Notification of changes in personal information or application details**

**Note: the PRA is consulting on the same text of Form D as that included in Part 1 of the Annex to the FCA's draft Notification Forms (Amendment) Instrument 2015, which can be found in this consultation paper at Appendix 2.1.**

**Part 3: Draft PRA Rulebook Instrument**

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**PRA RULEBOOK: CRR FIRMS : NON-CRR FIRMS : SOLVENCY II FIRMS : NON SOLVENCY II  
FIRMS : NOTIFICATION FORMS (AMENDMENT) INSTRUMENT [YEAR]**

**Powers exercised**

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137G (The PRA’s general rules); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

**PRA Rulebook : CRR FIRMS : NON-CRR FIRMS : SOLVENCY II FIRMS : NON SOLVENCY II  
FIRMS : NOTIFICATION FORMS (AMENDMENT) INSTRUMENT [YEAR]**

- C. The PRA makes the rules in the Annexes to this instrument, amending each of the forms in column (1) below in accordance with the Annex listed column (2).

(1)	(2)
Form D: Notification of changes to personal information/application details and conduct breaches/disciplinary action related to conduct	A
Form F: Changes in notified persons	B
Form M: Notification of non SMF/SIMF Appointment	C

**Commencement**

- D. Annexes A and C to this instrument come into force on 7 March 2015. Annex B to this instrument comes into force on [DATE].

**Citation**

**This instrument may be cited as the PRA Rulebook : CRR FIRMS : NON-CRR FIRMS : SOLVENCY II FIRMS : NON SOLVENCY II FIRMS : NOTIFICATION FORMS (AMENDMENT) INSTRUMENT [YEAR]**

**By order of the Board of the Prudential Regulation Authority**

[DATE]

**Annex A**

**Amendment to the form in Notifications 11.12(2) in the CRR FIRMS, NON-CRR FIRMS, and SOLVENCY II FIRMS sectors of the PRA Rulebook.**

In this Annex new text is underlined and deleted text is struck through.

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

**Note: the PRA is consulting on the same text of Form D as that included in Part 2 of the Annex to the FCA's draft Notification Forms (Amendment) Instrument 2015, which can be found in this consultation paper at Appendix 2.1.**

**Annex B**

**Amendment to the form in Notifications 10.1 in the CRR FIRMS, NON-CRR FIRMS, SOLVENCY II FIRMS and NON-SOLVENCY II FIRMS sectors of the PRA Rulebook.**

In this Annex new text is underlined and deleted text is struck through.

**Form F: Changes in notified persons**

**Note: the PRA is consulting on the same text of Form D as that included in Part 1 of the Annex to the FCA's draft Notification Forms (Amendment) Instrument 2015, which can be found in this consultation paper at Appendix 2.1.**

## Annex C

**Amendment to the form in Fitness and Propriety 4.2 in the CRR FIRMS and NON-CRR FIRMS sectors of the PRA Rulebook, and under Key Function Holders – Notifications 4.1 in the SOLVENCY II FIRMS sector of the PRA Rulebook.**

In this Annex new text is underlined and deleted text is struck through.

## **Form M: Notification of non SMF/SIMF Appointment**

### **Notification of the appointment of a Non-Executive Director or Key Function Holder**

*PRA Rulebook Reference: Fitness and Propriety (CRR Firms) 4.2 and Fitness and Propriety (SII Firms) 4.1*

The PRA have produced notes which will assist both the notifying *firm* and the appointee in answering the questions in this form. Please read these notes, which are available on the *PRA* website at

**<http://www.bankofengland.co.uk/PRA>**

Both the notifying *firm* and the appointee will be treated by the *PRA* as having taken these notes into consideration when completing this form.

Name of appointee

Name of *firm(s)*

*Firm* reference number(s)

Prudential Regulation Authority

20 Moorgate

London

EC2R 6DA

United Kingdom

Telephone +44 (0) 203 461 7000

E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)

Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

## Contact information

**1.01 a** Who should the *PRA* contact at the *firm* in relation to this notification?

**b** Position

**c** Telephone

**d** Fax

**e** E-mail

**Details of the person subject to notification**

**2.01 a** Appointee Individual Reference  
Number (IRN) – If applicable

**b** OR name of previous regulatory body  
– if applicable

**c** AND previous reference number - if  
applicable

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

**2.03** Surname

**2.04** ALL forenames

**2.05** Commonly known as

**2.06** Date of birth  
(dd/mm/yyyy)

**2.07** Previous name

**2.08** Date of name change

**2.09** Reason for change

**2.10** Nationality

2.11 National Insurance Number (or  
passport number)

2.12 Place of birth

2.13 Private (Home) address

Postcode



I have supplied further  
information related to this section

YES

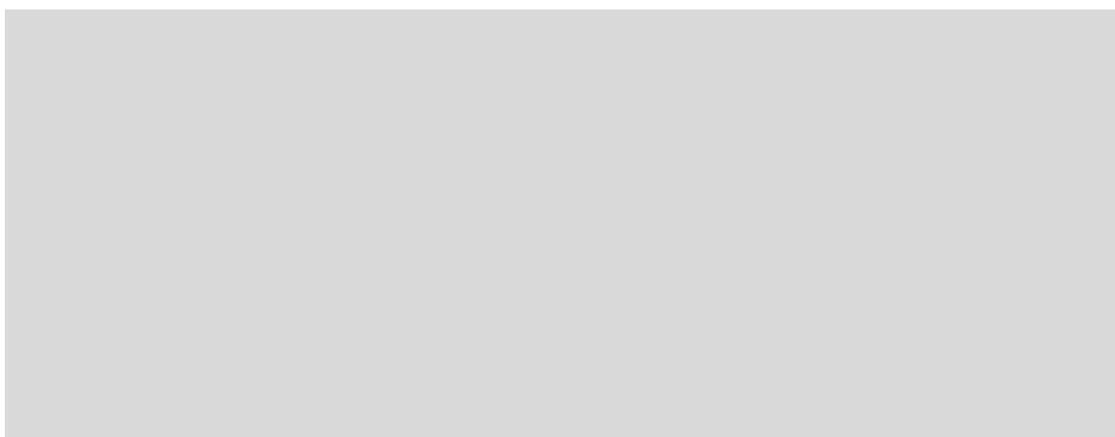
NO

**Description of the position being notified**

**3.01** Name of the position and/or name of key function(s) for which the individual will be responsible



**3.02** Please note the key responsibilities of the role:



**3.03** Date of appointment



**3.04** If applicable, length of appointment



**3.05** Name of firm(s) and/or group for which the role will be exercised <sup>1</sup>



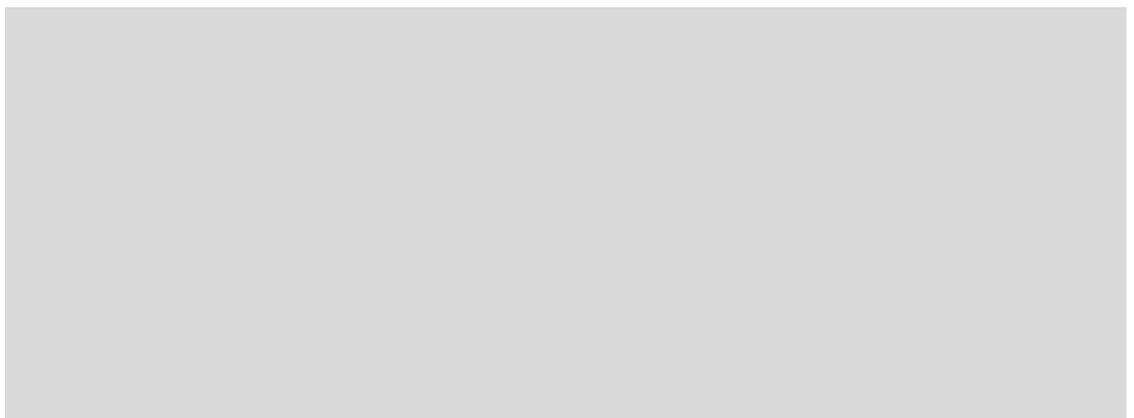
**3.06** FRN(s) (if applicable)



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<sup>1</sup> If more space is required please detail on a separate sheet and attach with Supplementary Information

- 3.07** Please note how many other appointments the individual currently holds (Executive & Non-Executive) and how the *firm* considers that the appointee has sufficient time and resources to dedicate to the role:



**The following question is applicable to Non-Executive Directors only**

- 3.08** Please note how the *firm* considers that the appointment complements the composition of the Board, and ensures the appropriate levels of skills and experience:



**The following questions are applicable to Solvency II Key Function Holders only**

**3.09** Is the individual deemed to be in a position where they are effectively running the firm or group?

**3.10** Is the individual currently approved for a PRA or FCA Controlled Function at that firm or any other firm within that group? If so, please name that firm, and also name the relevant Controlled Function

**3.11** Is the individual applying on a separate form to perform a PRA or FCA Controlled Function at the same firm or any other firm within that group?



**I have supplied further information related to this section**

YES

NO

## Fitness and propriety

This section should be completed in reference to the guidance notes corresponding with this form.

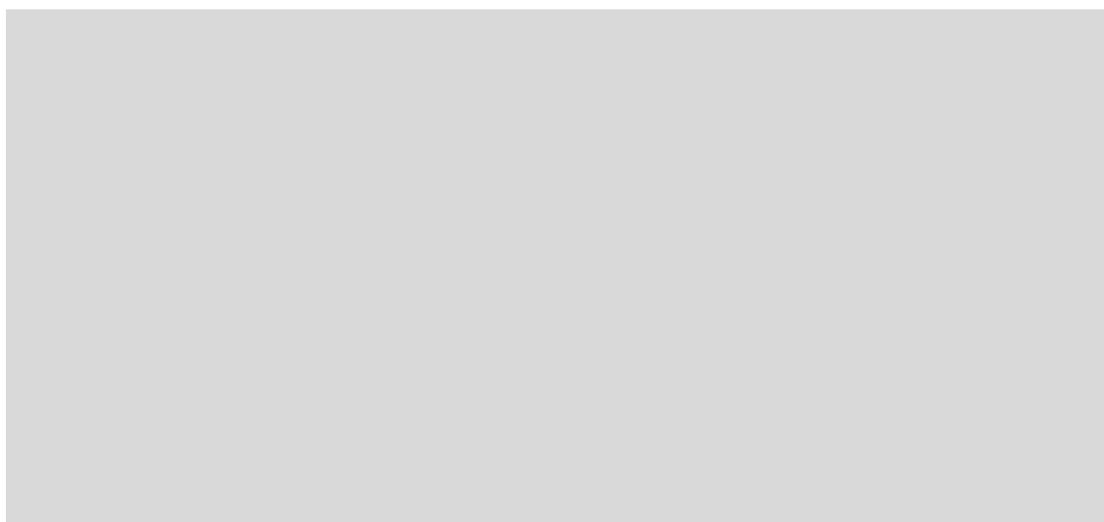
### Disclosure Note:

~~We require firms to disclose all relevant information relating to an appointee's fitness and propriety. If there is any doubt about the relevance of the information, the information should be disclosed. The PRA takes non-disclosure very seriously and may consider it to be evidence of dishonesty and/or lack of integrity. In all circumstances, disclosures should be full, frank and unambiguous; if in doubt, disclose. In the event that an appointee discloses adverse information to notifying firm (or the notifying firm knows of adverse information by some other means) the notifying firm has a duty to disclose that information candidly to the PRA and explain why the notifying firm considers this does not affect the appointee's fitness and propriety (this paragraph should be read in conjunction with the information on disclosure in the guidance notes corresponding to this form).~~

**4.01 Criminal Proceedings** – Has the appointee **ever** been convicted of any criminal offence (whether spent or not), been given a caution, been subject to Criminal proceedings or been asked to produce documents pursuant to a criminal investigation (whether or not in the United Kingdom)?

Has the appointee **ever** been convicted of any criminal offence (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)? Is the appointee **currently** the subject of any criminal proceedings? Has the appointee been ordered to produce documents pursuant to any **current** criminal investigation?

When answering the questions in this section, the appointee should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, the appointee is not required to disclose spent convictions and cautions.



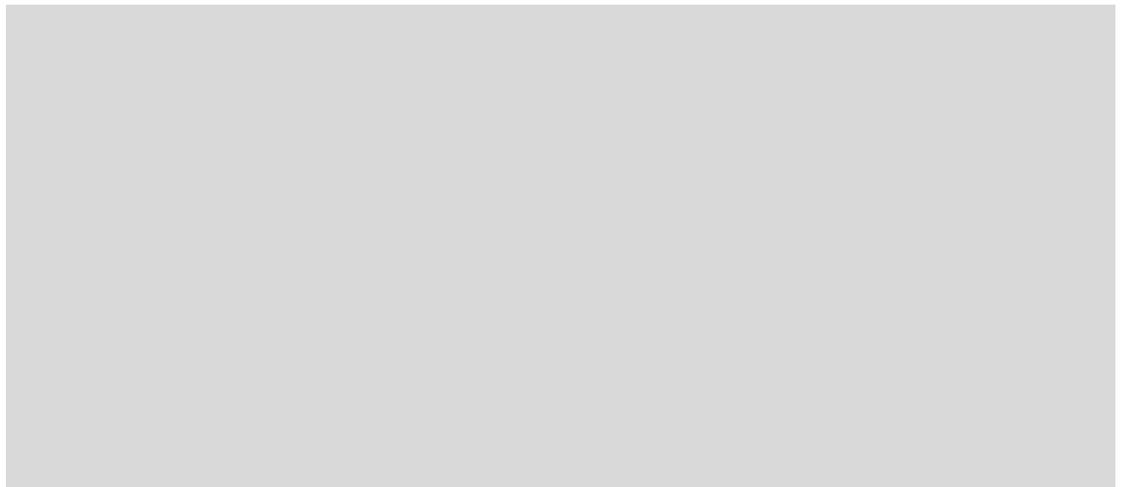
4.02

**Civil Proceedings** – Is the appointee currently subject or has **ever** been the subject of a judgement debt or award against the appointee or been party to civil proceeding which resulted in an order against the appointee? Does the appointee have any current judgement debts outstanding or have they ever failed to satisfy any such judgement debts. Has the appointee ever filed for or had a petition served for bankruptcy, been adjudged bankrupt, been subject of a bankruptcy restrictions order or made any arrangements with creditors?



4.03

**Conflicts of Interest** – Does the appointee have any potential conflicts of Interest such as other appointments, Close relatives with financial relations to companies subject to this notification, qualifying ownership or any other form of substantial influence in the firm?



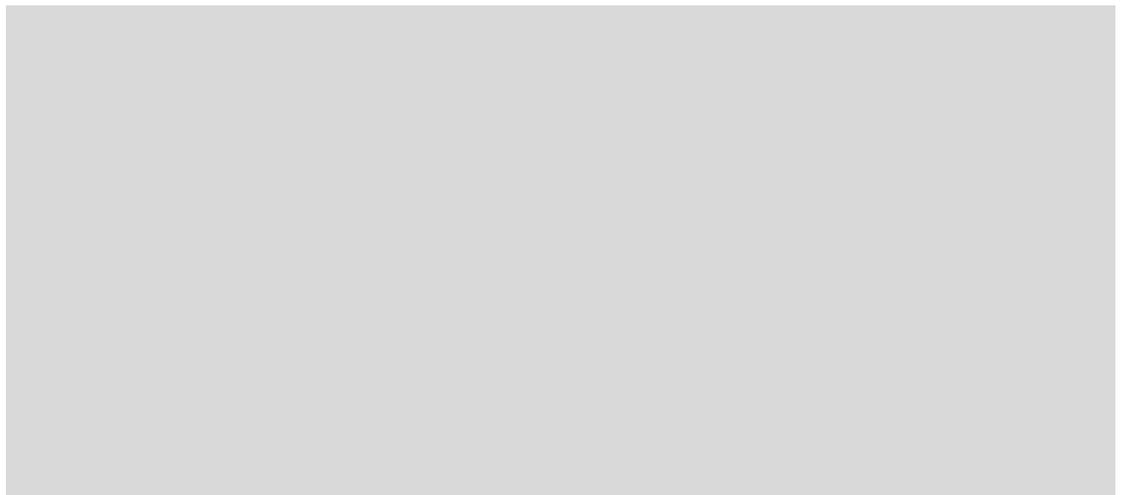
4.04

**Business and Employment Matters** – Has the appointee ever been dismissed from a position in a financial institution, company or from employment as a senior executive or subject to termination of an engagement as a board member or auditor in another firm?



4.05

**Regulatory Matters** – In relation to activities regulated by the FCA and/or PRA or any other regulatory body. Has the appointee been subject of an investigation, been subject to the rejection of an application, exclusion or limitation in any other way in terms of the right to conduct operations, been the subject of supervisory sanctions, or been the subject of a notification of breach of conduct rules?



4.06

**Other Matters** - Are the appointee or the *firm* aware of any other information relevant to this notification that we might reasonably expect to receive?



I have supplied further  
information related to this section

YES

NO

**Supplementary Information**

**5.01** Please confirm that the *Firm* has provided the below documentation, in support of this notification:

**5.01.1** the appointee's full CV including relevant employment history; YES  NO

**5.01.2** its assessment of whether the *appointee* has the personal characteristics required to perform the role effectively; YES  NO

**5.01.3** its assessment of whether the *appointee* possesses the level of competence, knowledge and experience required to perform the role effectively; YES  NO

**5.01.4** its assessment of whether the appointee has the qualifications required to perform the role effectively; and YES  NO

**5.01.5** its assessment of whether the appointee has undergone or is undergoing all training required to perform the role effectively. YES  NO

**5.02** Is the firm submitting any other information relevant to this notification? YES  NO

**5.03** Please confirm total number of additional sheets being submitted

## Declarations and signatures

### Declaration of Firm

Knowingly or recklessly giving the *PRA* 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). Rule 6 of the Notifications Part of the PRA CRR Rulebook require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *PRA* and to notify the *PRA* immediately if materially inaccurate information has been provided.

Fitness and Propriety 3.1(d) in the PRA CRR Rulebook and Insurance – Conduct Standards 2.2 in the PRA Solvency II Rulebook provide that a firm must require any key function holder or non-executive director to disclose appropriately any information of which the PRA would reasonably require notice. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action against the *firm* by the *PRA*.

In addition, appointees should be reminded that a failure by the appointee to disclose relevant information either to the firm or to the PRA could be regarded as evidence that they were not fit and proper. It should not be assumed that information is known to the *PRA* merely because it is in the public domain or has previously been disclosed to the *PRA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

**In making this notification the *firm* believes on the basis of due and diligent enquiry that the appointee is a fit and proper person to perform the role. The firm also believes, on the basis of due and diligent enquiry, that the appointee is competent to fulfil the duties required in the performance of such function(s).**

**In signing this form on behalf of the firm 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.**

**(<http://fshandbook.info/FS/html/PRA/>)**

**(<http://www.bankofengland.co.uk/PRA>)**

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

**6.02** Job title

**6.03** Signature

Date / /

### Declaration of Appointee

The appointee confirms that the information provided in this notification is accurate and complete to the best of his/her knowledge and that he or she has read the notes to this form. The *appointee* will notify the *PRA* immediately if there is a material change to the information provided.

The appointee confirms that the key responsibilities set out in Section 3.02 accurately reflect the aspects of the affairs of the firm which it is intended that the *appointee* will be responsible for managing. The *appointee* confirms that they have accepted all these responsibilities.

The appointee authorises the *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 notification.

The appointee 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 employer.

The appointee agrees that he or she may be required to 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 firm submitting this application.

The appointee agrees that the *PRA* may use the address specified for the *appointee* in this Form as the proper address for service in the United Kingdom as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

For the purposes of complying with the Data Protection Act 1998, the personal information provided 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, and will not be disclosed for any other purpose without the permission of the appointee firm.

The appointee confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the *PRA* Insurance - Conduct Standards Instrument.

The appointee is aware that, while advice may be sought from a third party (e.g. 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 notification.

6.04 Name

6.05 Signature of appointee

Date / /



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



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© Financial Conduct Authority 2014  
25 The North Colonnade Canary Wharf  
London E14 5HS  
Telephone: +44 (0)20 7066 1000  
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