



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



FINANCIAL  
CONDUCT  
AUTHORITY

Application number  
(for FCA/PRA use only)

The FCA has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on the FCA website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex2D.html>

Both the applicant *firm* and the *candidate* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form. Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

## Long Form A – Dual-regulated firms (including EEA and third country firms)

### Application to perform *controlled functions* including senior management functions

FCA Handbook Reference: SUP 10C Annex 3D

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications<sup>1</sup>

[Commencement Date]

Name of *candidate*  
(to be completed by applicant firm)

Name of applicant *firm*  
(as entered in 2.01)

*Firm* reference number  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom

Telephone +44 (0) 300 500 0597  
E-mail [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>1</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN)	
<b>b</b>	OR name of previous regulatory body	
<b>c</b>	AND previous reference number (if applicable)	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms)	
<b>1.03</b>	Surname	
<b>1.04</b>	ALL forenames	
<b>1.05</b>	Name commonly known by	
<b>1.06</b>	Date of birth (dd/mm/yyyy)	
<b>1.07</b>	National Insurance number	
<b>1.08</b>	Previous name	
<b>1.09</b>	Date of name change	
<b>1.10 a</b>	Nationality	
<b>b</b>	Passport number (if National Insurance number not available)	
<b>1.11</b>	Place of birth	
<b>1.12</b>	Phone number	
<b>1.13</b>	Email address	



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

YES

NO

1.14 a Private address

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

PRESENT

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

1.15 a Previous address 1

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

[Redacted date]

1.16 a Previous address 2

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

[Redacted date]



I have supplied further information  
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YES

NO

2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	<i>Firm</i> Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Position	<input type="text"/>
c	Phone number	<input type="text"/>
d	E-mail	<input type="text"/>

Please note that the contact at the *firm* cannot be the same person as the *candidate*



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

YES

NO

# Arrangement and Senior Management Functions Section 3A

Complete this section if the application is for a *senior management function*. If you are submitting an application for a *controlled function* at an *appointed representative* then please complete section 3B.

<b>3A.01</b>	Nature of the arrangement between the candidate and the applicant firm.	<i>a</i> Employee <input type="checkbox"/>
		<i>b</i> Group employee <input type="checkbox"/>
		Name of group <input type="text"/>
		<i>c</i> Contract for services <input type="checkbox"/>
		<i>d</i> Partner <input type="checkbox"/>
		<i>e</i> Other <input type="checkbox"/>
		Give details <input type="text"/>

Proposed date of appointment

Length of appointment (if applicable)

**3A.02**

For applications from a single *firm*, please tick the boxes that correspond to the *senior management functions* to be performed. If the *senior management functions* are to be performed for more than one *firm*, please leave the boxes below blank and go to question **3A.04**

The table below sets out the full list of *senior management functions* (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF 1	Chief Executive	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 2	Chief Finance	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 3	Executive Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 5	Head of Internal Audit	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 6	Head of Key Business Area	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 8	Credit Union Senior Manager				<input type="checkbox"/>					
SMF 9	Chair of the Governing Body	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF10	Chair of the Risk Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF11	Chair of the Audit Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF12	Chair of the Remuneration Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF13	Chair of the Nomination Committee	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF14	Senior Independent Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF15	Chair of With Profits Committee					<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF18	Other Overall Responsibility	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				
SMF19	Head of Third Country Branch/ Head of Overseas			<input type="checkbox"/>						<input checked="" type="checkbox"/>
SMF20	Chief Actuary					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF20a	With-Profits Actuary					<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF21	EEA Branch Senior Manager (EBSM)		<input type="checkbox"/>							
SMF22	Other Local Responsibility			<input checked="" type="checkbox"/>						<input checked="" type="checkbox"/>
SMF23	Chief Underwriting Officer					<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF23a	Underwriting Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF23b	Conduct Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF24	Chief Operations	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF25	Small Insurer Senior Management Function						<input type="checkbox"/>			
SMF26	Head of Small Run-Off Firm								<input type="checkbox"/>	
SMF27	Partner	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

\*'UK Banks' refers to UK banks, building societies and PRA designated investment firms

3A.03 Job title

#### Insurance distribution

Will the *candidate* be responsible for insurance distribution at the *firm*? YES  NO

(Note: Yes can only be selected if the individual is applying for a governing function (other than a non-executive director function))

#### Mortgage Credit Directive

Will the candidate be responsible for Mortgage Credit Directive Intermediation at the *firm*? YES  NO



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

YES

NO

**3A.04 Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in 2.01) for which the candidate requires approval and the requested senior management function for that firm.

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Senior Management Function</b>	<b>Job title</b>	<b>Responsible for insurance distribution?</b>	<b>Responsible for mortgage credit intermediation?</b>	<b>Effective date</b>
<b>a</b>							
<b>b</b>							
<b>c</b>							
<b>d</b>							
<b>e</b>							



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

YES

NO

## Arrangements and controlled functions – Appointed Representatives Section 3B

Complete this section if the application is for a *controlled function* at an *appointed representative (AR)*. If you are submitting an application for a *senior management function* then please complete section 3A.

**3B.01** Nature of the *arrangement* between the *candidate* and the applicant.

---

a *Appointed representative/tied agent – customer function*

AR *firm* name and reference number

---

b *Appointed representative/tied agent – governing function*

AR *firm* name and reference number

---

c Other

Give details

**3B.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed. If the *controlled functions* are to be performed for more than one *firm*, please go to question **3B.05**.

a **Significant influence functions**

CF 1 *Director function*

CF 3 *Chief executive function*

CF 4 *Partner function*

CF 5 *Director of an unincorporated association function*

b **Customer function**

CF 30 *Customer function*

**3B.03** Effective date of *controlled functions* indicated above

**3B.04** Job title  
Please refer to notes on the requirements for submitting a CV.



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

**3B.05**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.

	<b>Firm Reference Number</b>	<b>Name of <i>firm</i></b>	<b>Controlled function</b>	<b>Job title</b>	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



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

YES

NO

N.B.: ALL gaps must be accounted for

## 4.01 Employment details (1)

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details				
	<input type="text"/>				
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
				<input type="text"/>	
<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> ?	
				<input type="text"/>	
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<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"/>	

If 'other', please specify

**4.02 Employment details (2)**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details	<input type="text"/>			
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	<input type="text"/>
<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> ?	<input type="text"/>
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<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"/>	
	If 'other', please specify	<input type="text"/>			



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

YES

NO

**5.01 Criminal Proceedings**

When answering the questions in this section the *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). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**If any question has been answered ‘yes’ in Section 5, further details should be provided in Section 6.**

If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included in Section 6.

<p><b>5.01.1a</b></p> <p>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>):</p> <p style="margin-left: 20px;">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</p> <p style="margin-left: 20px;">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></p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>
<p><b>b</b></p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>
<p><b>c</b></p> <p>Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>
<p><b>5.01.2</b></p> <p>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)?</p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>
<p><b>5.01.3</b></p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>
<p><b>5.01.4</b></p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p> <p>In answering question 5.01.4, you should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p>	<p>YES <input type="checkbox"/>      NO <input type="checkbox"/></p>



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

YES       NO

**5.01.5**

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.)

- |          |  |                              |                             |
|----------|--|------------------------------|-----------------------------|
| <b>a</b> | Been convicted of any criminal offence?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been the subject of any criminal proceeding which has not resulted in a conviction?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | 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 <input type="checkbox"/> | NO <input type="checkbox"/> |

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

## 5.02 Civil Proceedings

**5.02.1** Has the *candidate*, ever been the subject of a judgement debt or award against the *candidate* (whether satisfied or not)?

YES  NO

Please give a full explanation of the events in question,  
*The candidate* 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 judgement 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)? (the *candidate* 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

**5.02.4** Does the *candidate* have any **current** judgement 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 full or part, within one year of the order being made?

YES  NO



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YES  NO

<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? Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved?	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>	During the period over which the <i>candidate</i> has held a position of influence and/or in the 10 years after this, has any <i>firm</i> at which the <i>candidate</i> holds or has held a position of influence <b>ever</b> been:	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<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 <i>firm</i> ? ( <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 <i>firm</i> 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

**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; and/or

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 UK 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

**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

**5.03.4** Has the *candidate* ever participated in arbitration proceedings? (This question only applies where the applicant *firm* is a Solvency II insurance firm). YES  NO

 I have supplied further information related to this page in Section 6 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 the guidance notes on section 5), has:

- the *candidate*, or
- any company, partnership or unincorporated association 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 <i>firm</i> ?	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 <i>firm</i> ?	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 <i>firm</i> 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 <i>firm</i> or itself under any contractual agreement where that agreement was terminated by the regulated <i>firm</i> ?	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"/>
<b>l</b>	Been on a board of directors in an operating undertaking that has not been granted a release from liability? (This question only applies where the applicant <i>firm</i> is a Solvency II insurance firm).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



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

YES  NO

**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 a prohibition order under section 56 Financial Services and Markets Act 2000 , 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

## 5.05 Other Matters

<b>5.05.1</b>	Is the <i>candidate</i> , 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 <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.05.2</b>	<b>Question 5.05.2 should only be answered if the applicant <i>firm</i> is a Solvency II Insurer.</b> Does the <i>candidate</i> have, or know of any:		
<b>a</b>	Qualifying ownership <sup>2</sup> or any other form of substantial influence in the <i>firm</i> or <i>group</i> , or any other companies	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If yes, please provide: 1. Company name and registration number 2. Nature and scope of the operations 3. The registered office of the company 4. Possession in percentage		
<b>b</b>	Close relatives with any other financial relations in the <i>firm</i> or <i>group</i>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Any other commitments that may give rise to a conflict of interest	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Any other commitments that may give rise to a conflict of interest	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If the response is 'yes' to any of the above, please provide, in Section 6, explanations of the circumstances and how the <i>candidate</i> intends to mitigate this.		
<b>5.05.3</b>	Is the <i>candidate</i> or the <i>firm</i> aware of any other information relevant to this notification that the <i>FCA/PRA</i> might reasonably expect from the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.05.4</b>	Has the <i>firm</i> undertaken a criminal records check in accordance with the requirements of the <i>FCA</i> or <i>PRA</i> ?  Please note that a <i>firm</i> is required, under <i>PRA</i> rules, to request and under <i>FCA</i> rules, to obtain the fullest information that it is lawfully able to obtain about the <i>candidate</i> under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the <i>UK</i> or any part of the <i>UK</i> before making the application. (SUP 10C.10.16R and <i>PRA</i> Rulebook: Fitness and Propriety) <sup>3</sup>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If yes, please enter date the check was undertaken Date (dd/mm/yyyy): <input type="text"/>		
	<i>Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details why in section 6</i>		
<b>5.05.5</b>	Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the <i>FCA</i> or <i>PRA</i> ? If no, please provide details why the reference or references has/have	YES <input type="checkbox"/>	NO <input type="checkbox"/>

<sup>2</sup> As defined in Article 13(21) of the Solvency II Directive, qualifying ownership is 'direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking'.

<sup>3</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.



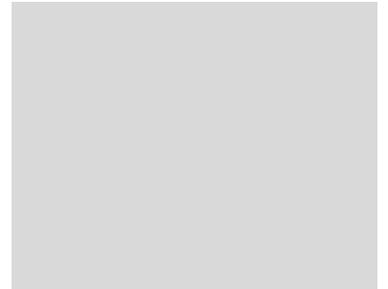
I have supplied further information  
related to this page in Section 6

YES

NO

not been obtained.

*Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Fitness and Propriety 2 in the PRA Rulebook). "Employer" has an extended meaning for these purposes.*



**6.01 Please provide full details of:**

- a) why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for;
- b) why the appointment complements the *firm's* business strategy, activity and market in which it operates;
- c) how the appointment was agreed including details of any discussions at governing body level (where applicable);
- d) a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the Glossary); and
- e) if the *candidate* currently holds more than one directorship, please provide a breakdown on the *candidate's* time commitment to each directorship.

**6.02 If there is any additional information indicated in previous sections or any other information the *candidate* or the *firm* considers being relevant to this application it must be included here.** (Please also provide full details of any issues that could affect the *Fitness and Propriety* of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5)

Question	Information

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

**6.03 Firms must also provide the following supporting documents required with this form (please tick)**

*It is for firms to assess which supporting documents they should submit but, in the majority of cases, it is expected that firms will submit all of the listed supporting documents.*

<input type="checkbox"/>	<b>Statement of Responsibilities</b>
<input type="checkbox"/>	<i>Candidate's Curriculum Vitae (C.V)</i>
<input type="checkbox"/>	<b>Role(s) description</b>
<input type="checkbox"/>	<b>A copy of the <i>firm's</i> management responsibilities map (SYSC 25.1 and Allocation of Responsibilities in the PRA Rulebook<sup>4</sup>) This requirement does not apply to all <i>firms</i>.</b>
<input type="checkbox"/>	<b>A summary of any handover material (as referred to in SYSC 25.9.4R to SYSC 25.9.8G and SUP 10C.10.13G and Senior Management Functions in the PRA Rulebook<sup>5</sup>) This requirement does not apply to all <i>firms</i>.</b>

<sup>4</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying

<sup>5</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.


**A description or copy of the candidate's Skills Gap Analysis.**

**A description or copy of the candidate's Induction programme**

**A description or copy of the candidate's Learning and Development plan (including the name of the individual responsible for monitoring the candidate's progress against the development points and the time frame for completion)**

**A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role).**

## Declaration of *Candidate*

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act 2000 –‘FSMA’). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

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

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

The *candidate* authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The *candidate* 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/Applicant.

Where applicable, the *candidate* agrees that they may be required to apply for a search to be made as to whether any criminal records are held in relation to them 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 *candidate* agrees that the *FCA* and/or *PRA* may use the address specified for the *candidate* in this form as the proper address for service in the United Kingdom (as defined in the Financial Services and Markets Act 2000 (Service of Notices) Regulations (SI 2001/1420)) to serve any notices on the *candidate*.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the *FCA* and *PRA* to discharge their statutory functions under 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 *candidate*.

The *candidate* confirms that they understand the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA*'s *COCON* and/or the *PRA Rulebook: Conduct Rules*.

The *candidate* 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 application.

In addition to other regulatory responsibilities, *firms*, and *candidates/approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

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

**7.01** Name of *candidate*

**7.02** Signature

Date

## Declaration of Firm

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

In addition to other regulatory responsibilities, *firms*, and *candidates/ approved persons* have a responsibility to disclose to the *FCA* and/or *PRA*, matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

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

The Applicant authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

Where applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 and any related subordinate legislation of the *UK* or any part of the *UK*, and (where available) has given due consideration to that information in determining that *candidate* to be fit and proper.

In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in *FIT* in the *FCA Handbook* and/or the Fitness and Propriety part of the *PRA Rulebook* that the *candidate* is a fit and proper person to perform the controlled function(s) listed in section 3.

The Applicant also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s). Note: For *EEA firms*, this would only apply to those *firms* undertaking any non MiFID business.

The Applicant confirms that it has complied with its obligations under equality and diversity legislation when selecting the *candidate* to perform the function(s) applied for.

The Applicant confirms that it has made the *candidate* aware of their regulatory responsibilities as set out in the rules of conduct in the *FCA's COCON* and/or the *PRA Rulebook: Conduct Rules*.

The Applicant confirms that the Statement of Responsibilities submitted with this form accurately reflects the aspects of the affairs of the *Firm* which it is intended that the *candidate* will be responsible for managing.

The Applicant 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 application.

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

I confirm that I have authority to make this application and provide the declarations given by the Applicant, and sign this form, on behalf of the *firm* identified in section 2.01 and/or each *firm* identified in section 3.04. 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*.

7.03 Name of the *firm* submitting the application

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

7.05 Job title

7.06 Signature

Date



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The *FCA* has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on the *FCA* website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex4.html>

Both the applicant *firm* and the *candidate* will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing this form. Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

## Short Form A – Dual-regulated firms (including EEA and third country firms)

### Application to perform controlled functions including *senior management functions*

*FCA Handbook* Reference: SUP 10C Annex 3D

*PRA Rulebook* Reference: Senior Managers Regime - Applications and Notifications<sup>6</sup>

[Commencement Date]

Name of *candidate*  
(to be completed by applicant firm)

Name of applicant *firm*  
(as entered in 2.01)

*Firm* reference number  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail PRA-  
[ApprovedPersons@bankofengland.co.uk](mailto:ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>6</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN)	
<b>b</b>	OR name of previous regulatory body	
<b>c</b>	AND previous reference number (if applicable)	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms,)	
<b>1.03</b>	Surname	
<b>1.04</b>	ALL forenames	
<b>1.05</b>	Name commonly known by	
<b>1.06</b>	Date of birth (dd/mm/yyyy)	
<b>1.07</b>	National Insurance number	
<b>1.08</b>	Previous name	
<b>1.09</b>	Date of name change	
<b>1.10 a</b>	Nationality	
<b>b</b>	Passport number (if National Insurance number not available)	
<b>1.11</b>	Place of birth	
<b>1.12</b>	Phone number	
<b>1.13</b>	Email address	



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

YES

NO

1.14 a Private address

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

PRESENT

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

1.15 a Previous address 1

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

[Redacted date]

1.16 a Previous address 2

[Redacted address]

b

Postcode

c

Dates resident at this address  
(mm/yyyy)

From

[Redacted date]

To

[Redacted date]



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

YES

NO

2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	<i>Firm</i> Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Position	<input type="text"/>
c	Phone number	<input type="text"/>
d	E-mail	<input type="text"/>

Please note that the contact at the *firm* cannot be the same person as the *candidate*



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

YES

NO

# Arrangement and Senior Management Functions Section 3A

Complete this section if the application is for a *senior management function*. If you are submitting an application for a *controlled function* at an *appointed representative* then please complete section 3B.

**3A.01** Nature of the arrangement between the candidate and the applicant firm.

a Employee

---

b Group employee

Name of group

---

c Contract for services

---

d Partner

---

e Other

Give details

---

Proposed date of appointment

---

Length of appointment (if applicable)

**3A.02** For applications from a single firm, please tick the boxes that correspond to the *senior management functions* to be performed. If the *senior management functions* are to be performed for more than one firm, please leave blank and go to question **3A.04**

The table below sets out the full list of *senior management functions* (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF 1	Chief Executive	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 2	Chief Finance	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 3	Executive Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 5	Head of Internal Audit	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 6	Head of Key Business Area	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 8	Credit Union Senior Manager				<input type="checkbox"/>					
SMF 9	Chair of the Governing Body	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF10	Chair of the Risk Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF11	Chair of the Audit Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF12	Chair of the Remuneration Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF13	Chair of the Nomination Committee	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF14	Senior Independent Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF15	Chair of With Profits Committee					<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF18	Other Overall Responsibility	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				
SMF19	Head of Third Country Branch/ Head of Overseas			<input type="checkbox"/>						<input checked="" type="checkbox"/>
SMF20	Chief Actuary					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF20a	With-Profits Actuary					<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF21	EEA Branch Senior Manager (EBSM)		<input type="checkbox"/>							
SMF22	Other Local Responsibility			<input checked="" type="checkbox"/>						<input checked="" type="checkbox"/>

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF23	Chief Underwriting Officer					<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF23a	Underwriting Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF23b	Conduct Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF24	Chief Operations	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF25	Small Insurer Senior Management Function						<input type="checkbox"/>			
SMF26	Head of Small Run-Off Firm								<input type="checkbox"/>	
SMF27	Partner	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

\*UK Banks' refers to UK banks, building societies and PRA designated investment firms

3A.03 Job title

**Insurance distribution**

Will the *candidate* be responsible for Insurance distribution at the *firm*? YES  NO

(Note: Yes can only be selected if the *candidate* is applying for a governing function (other than a non-executive director function))

Will the candidate be responsible for Mortgage Credit Directive Intermediation at the firm? YES  NO



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

**3A.04**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *senior management function* for that *firm*.<sup>†</sup>

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Senior Management Function</b>	<b>Job title</b>	<b>Responsible for insurance distribution?</b>	<b>Responsible for mortgage credit intermediation?</b>	<b>Effective date</b>
<b>a</b>							
<b>b</b>							
<b>c</b>							
<b>d</b>							
<b>e</b>							



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

YES

NO

# Arrangements and controlled functions – Appointed Representatives Section 3B

Complete this section if the application is for a *controlled function* at an *appointed representative (AR)*. If you are submitting an application for a *senior management function* then please complete section 3A.

**3B.01** Nature of the arrangement between the candidate and the applicant.

---

a *Appointed representative/tied agent – customer function*

AR firm name and reference number

---

b *Appointed representative/tied agent – governing function*

AR firm name and reference number

---

c Other

Give details

**3B.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed. If the *controlled functions* are to be performed for more than one *firm*, please go to question **3B.05**.

**A Significant influence functions**

CF 1 *Director function*

CF 3 *Chief executive function*

CF 4 *Partner function*

CF 5 *Director of an unincorporated association function*

---

**B Customer function**

CF 30 *Customer function*

**3B.03** Effective date of *controlled functions* indicated above

**3B.04** Job title

Please refer to notes on the requirements for submitting a CV.

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

**3B.05**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.

	<b>Firm Reference Number</b>	<b>Name of <i>firm</i></b>	<b><i>Controlled function</i></b>	<b>Job title</b>	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



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

YES

NO

If there has been a change to the detail in this section since your last approval, you must submit a Long Form A as opposed to a Short Form A informing the *FCA* and/or *PRA* of the revised detail.

If there has been a change to the detail in this section since your last approval, you must submit a Long Form A as opposed to a Short Form A informing the *FCA* and/or *PRA* of the revised detail.

**5.1** Has the *firm* undertaken a criminal records check in accordance with the requirements of the *FCA* or *PRA*?

Please note that a *firm* is required, under *PRA* rules, to request and, under *FCA* rules, to obtain the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc.) and related subordinated legislation of the *UK* or any part of the *UK* before making the application. (SUP 10C.10.16R and *PRA* Rulebook: Fitness and Propriety).<sup>7</sup>

YES  NO

If yes, please enter date the check was undertaken.

Date (dd/mm/yyyy):

*Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details in section 6.*

**5.2** Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the *FCA* or *PRA*.

If no, please provide details why the reference or references has/have not been obtained.

YES  NO

*Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Fitness and Propriety in the PRA Rulebook<sup>8</sup>. "Employer" has an extended meaning for these purposes.*



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

YES  NO

<sup>7</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

<sup>8</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

**6.01 Please provide full details of:**

- a) why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for;
- b) why the appointment complements the *firm's* business strategy, activity and market in which it operates;
- c) how the appointment was agreed including details of any discussions at governing body level (where applicable);
- d) a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the Glossary); and
- e) if the *candidate* currently holds more than one directorship, please provide a breakdown on the *candidate's* time commitment to each directorship.

**6.02 If there is any additional information indicated in previous sections or any other information the *candidate* or the *firm* considers being relevant to this application it must be included here.** *(Please also provide full details of any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer or if any question has been answered 'yes' in section 5)*

Question	Information

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

**6.03 Firms must also provide the following supporting documents required with this form (please tick)**

*It is for firms to assess which supporting documents they should submit but, in the majority of cases, it is expected that firms will submit all of the listed supporting documents.*

- Statement of Responsibilities**
- Candidate's* Curriculum Vitae (C.V)**
- Role(s) description**
- A copy of the firm's management responsibilities map (SYSC 25.1 and Allocation of Responsibilities in the PRA Rulebook<sup>9</sup>) This requirement does not apply to all firms.**
- A summary of any handover material (as referred to in SYSC 25.9.4R to SYSC 25.9.8G and SUP 10C.10.13G and Senior Management Functions<sup>10</sup> in the PRA Rulebook) This requirement does not apply to all firms**

<sup>9</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying

<sup>10</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying


**A description or copy of the candidate's Skills Gap Analysis.**

**A description or copy of the candidate's Induction programme**

**A description or copy of the candidate's Learning and Development plan (including the name of the individual responsible for monitoring the candidate's progress against the development points and the time frame for completion)**

**A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role).**

**Declaration of Candidate**

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act 2000). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

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

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

The *candidate* authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The *candidate* 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/Applicant.

Where applicable, the *candidate* agrees that they 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 *candidate* agrees that the *FCA* and/or *PRA* may use the address specified for the *candidate* in this form as the proper address for service in the United Kingdom (as defined in the Financial Services and Markets Act 2000 (Service of Notices) Regulations (SI 2001/1420)) to serve any notices on the *candidate*.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the *FCA* and *PRA* to discharge their statutory functions under 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 *candidate*.

The *candidate* confirms that they understand the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA's COCON* and/or the *PRA Rulebook: Conduct Rules*.

The *candidate* 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 application.

In addition to other regulatory responsibilities, *firms*, and *candidates/ approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

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

**7.01** Name of *candidate*

**7.02** Signature

Date

## Declaration of Firm

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

In addition to other regulatory responsibilities, *firms*, and *candidates/ approved persons* have a responsibility to disclose to the *FCA* and/or *PRA*, matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

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

The Applicant authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

Where applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 and any related subordinate legislation of the *UK* or any part of the *UK*, and (where available) has given due consideration to that information in determining that *candidate* to be fit and proper.

In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in *FIT* in the *FCA handbook* and/or the Fitness and Propriety sections in the *PRA Rulebook* that the *candidate* is a fit and proper person to perform the controlled function(s) listed in section 3.

The Applicant also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s). Note: For *EEA firms*, this would only apply to those *firms* undertaking any non MiFID business.

The Applicant confirms that it has complied with its obligations under equality and diversity legislation when selecting the *candidate* to perform the function(s) applied for.

The Applicant confirms that it has made the *candidate* aware of their regulatory responsibilities as set out in the rules of conduct in the *FCA's COCON* and/or the *PRA Rulebook: Conduct Rules*.

The Applicant confirms that the Statement of Responsibilities submitted with this form accurately reflects the aspects of the affairs of the *Firm* which it is intended that the *candidate* will be responsible for managing.

The Applicant 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 application.

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

I confirm that I have authority to make this application and provide the declarations given by the Applicant, and sign this form, on behalf of the *firm* identified in section 2.01 and/or each *firm* identified in section 3.04. 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*.

7.03 Name of the *firm* submitting the application

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

7.05 Job title

7.06 Signature

Date



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on the FCA website at <https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex5.html>

Both the applicant *firm* and the *candidate* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form. Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

## Form B

### Notice to withdraw an application to perform *controlled functions* (including *senior management functions*)

**This form is also to be used for notice to withdraw an application to add, vary or remove a conditional approval**

FCA Handbook Reference: SUP 10C Annex 4R

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications<sup>11</sup>

[Commencement Date]

Name of *candidate* / approved person  
(as applicable)  
(to be completed by applicant *firm*)

Name of applicant *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 [firm.queries@fca.org.uk](mailto:firm.queries@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)

<sup>11</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

## Personal identification details

## Section 1

**1.01** *Candidate/Approved Person* Individual Reference Number (IRN)

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

**1.03** Surname

**1.04** ALL forenames

**1.05** Date of birth

**1.06** National Insurance number

**1.07** *Candidate/Approved Person's* private address

**1.08** Phone number

**1.09** Email address



I have supplied further information related to this page in Section 4

YES

NO

**Firm identification details**

**Section 2**

**2.01** Name of applicant *firm*

**2.02** Firm Reference Number (FRN)

**2.03 a** Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

**b** Position

**c** Phone number

**d** E-mail

Please note that the contact at the applicant firm cannot be the same person as the candidate

**2.04 Firms included on application form (including applicant *firm*)**

	FRN	Name of <i>firm</i>	Controlled function or Senior Management Function
<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"/>

If this is notice to withdraw an application to perform *controlled functions* (including *senior management functions*), please complete sections 3, 5, and 6.

If this is notice to withdraw an application to vary a conditional approval for the performance of a *senior management function*, please complete sections 4, 5 and 6.

3.01

Indicate the reason for withdrawal of application to perform *controlled functions* including *senior management functions*

<i>a</i>	Internal movement of staff	<input type="checkbox"/>
<i>b</i>	Dismissal/Termination of employment or contract	<input type="checkbox"/>
<i>c</i>	Resignation	<input type="checkbox"/>
<i>d</i>	Redundancy	<input type="checkbox"/>
<i>e</i>	Withdrawal of offer of employment	<input type="checkbox"/>
<i>f</i>	End of contract	<input type="checkbox"/>
<i>g</i>	Suspension	<input type="checkbox"/>
<i>h</i>	Other	<input type="checkbox"/>
	GIVE DETAILS IN SECTION 5	



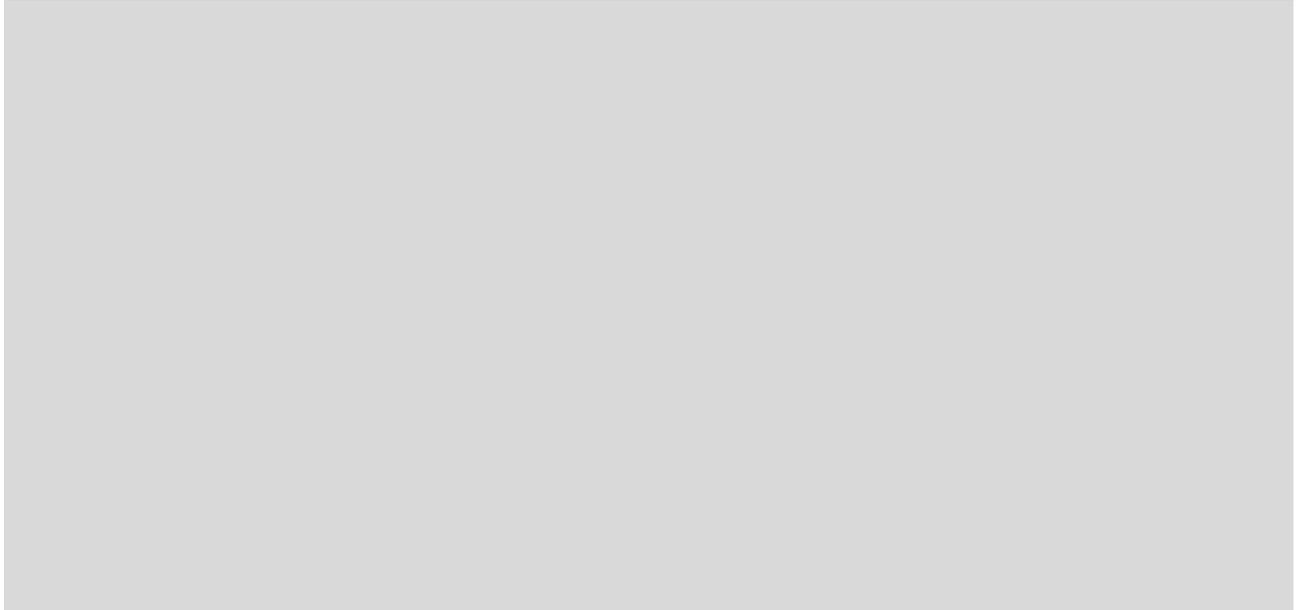
I have supplied further information related to this page in Section 5

YES NO

4.01

**Only complete this section if this is notice to withdraw an application to vary a conditional approval for the performance of a *senior management function*.**

Indicate the reason(s) for withdrawal of an application to vary a conditional approval for the performance of a *senior management function* (including reference number of prior application).



I have supplied further information  
related to this page in Section 5

YES NO

**5.01** Include here any issues that arose in relation to this withdrawal, such as resignation or termination of contract. Indicate clearly to which question supplementary information relates.

Question	Information

**5.02** How many additional sheets are being submitted?

**DECLARATION OF CANDIDATE/APPROVED 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 – ‘FSMA’).

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 1998, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under FSMA and other relevant legislation, and it will not be disclosed for any other purposes without the permission of the *candidate*

**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.**

<b>6.01</b>	<i>Candidate/approved person’s full name</i>	
<b>6.02</b>	Signature	
	Date	

**DECLARATION BY APPOINTED REPRESENTATIVE OR OTHER FIRM** (if applicable)

**We concur that the application to perform *controlled functions (including senior management function)* made in respect of the above *candidate* should be withdrawn with immediate effect.**

<b>6.03</b>	<i>Name of appointed representative or other firm</i>	
<b>6.04</b>	<i>Name of person signing on behalf of the appointed representative or other firm</i>	
<b>6.05</b>	Job title	
<b>6.06</b>	Signature	
	Date	

**DECLARATION BY APPLICANT 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 FSMA). *SUP* 15.6.1R and *SUP* 15.6.4R (*FCA*) and Notifications in the *PRA Rulebook (PRA)*<sup>12</sup> 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. In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the appropriate regulator matters of which it would reasonably expect to be notified. Failure to notify the appropriate regulator of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or individuals. 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.**

<b>6.07</b>	Name of applicant <i>firm</i>	
<b>6.08</b>	Name of <i>person</i> signing on behalf of the applicant <i>firm</i>	
<b>6.09</b>	Job title	
<b>6.10</b>	Signature	
	Date	

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<sup>12</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.



BANK OF ENGLAND  
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AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA has produced notes which will assist both the applicant *firm* and the *approved person* in answering the questions in this form. Please read these notes, which are available on the FCA website at

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex6.html>

Both the applicant *firm* and the *approved person* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form.

Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

## Form C

### Notice of ceasing to perform *controlled functions* including *senior management functions*

FCA Handbook Reference: SUP 10C Annex 5R (Notifications)

PRA Rulebook Reference: Notifications and Senior Managers Regime - Applications and Notifications<sup>13</sup>

[Commencement date]

Name of *approved person*

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 [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>13</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

**Personal identification details**

**Section 1**

**1.01** Individual Reference Number (IRN)

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

**1.03** Surname

**1.04** ALL forenames

**1.05** Date of birth

**1.06** National Insurance number

**1.07** *Approved person's* private address

**1.08** Phone number

**1.09** Email address

<b>2.01</b>	Name of applicant <i>firm</i>	[Redacted]
<b>2.02</b>	Firm Reference Number (FRN)	[Redacted]
<b>2.03 a</b>	Who should the <i>FCA/PRA</i> contact at the applicant <i>firm</i> in relation to this notice?	[Redacted]
<b>b</b>	Business address	[Redacted]
<b>c</b>	Position	[Redacted]
<b>d</b>	Phone number	[Redacted]
<b>g</b>	E-mail	[Redacted]

3A.01

If the *firm* is submitting this notification on behalf of an appointed representative, please complete section 3B instead.

List all *senior management functions* which the *approved person* is ceasing to perform. The effective date is the date the *person* will cease to perform the functions.

**If the reason for ceasing to perform the *senior management function* is indicated in column B, the *FCA* and/ or *PRA* should be notified in accordance with SUP 10C.14.7R, SUP 10C.14.8G of the *FCA Handbook* and/or *Notifications; Senior Managers Regime - Applications and Notifications* parts of the *PRA Rulebook*, as applicable by telephone, fax or email) that this Form will be submitted.**

	FRN	Name of firm	Senior management function	Effective date	Reason	
					A	B Full explanation in section 4
a				/ /	Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
b					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
c					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
d					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)

e					Internal movement of staff	<input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
					Resignation	<input type="checkbox"/>	
					Redundancy	<input type="checkbox"/>	
					Retirement	<input type="checkbox"/>	
					End of contract	<input type="checkbox"/>	



I have supplied further information related to this page in Section 4<sup>†</sup> YES  NO

**3A.02** Does the *firm* also seek to notify the *FCA* and/or *PRA* under one or both of section 63(2A) (withdrawal of approval) or section 64C (Requirement for Relevant Authorised Persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000?

YES  NO

If the *firm* has answered “No”, please go to section 4.

If the *firm* has answered “Yes”, please complete the below.

**3A.03** If the *firm* is making a notification under question 3.02 based on any breach(es) of the individual or senior manager conduct rules set out in the *FCA*’s COCON or *PRA*’s Conduct Rules, please complete the relevant boxes below.

	Tick the rule(s) relevant to this notification
<b>Individual Conduct Rules</b>	
Rule 1: You must act with integrity.	<input type="checkbox"/>
Rule 2: You must act with due skill, care and diligence.	<input type="checkbox"/>
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.	<input type="checkbox"/>
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.	<input type="checkbox"/>
Rule 5: You must observe proper standards of market conduct.	<input type="checkbox"/>
<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.	<input type="checkbox"/>
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> .	<input type="checkbox"/>
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.	<input type="checkbox"/>
SC4: You must disclose appropriately any information of which the <i>FCA</i> or <i>PRA</i> would reasonably expect notice.	<input type="checkbox"/>
SC5: When exercising your responsibilities, you must pay due regard to the interests of current and potential future <a href="#">policyholders</a> in ensuring the provision by the <a href="#">firm</a> of an appropriate degree of protection for their	<input type="checkbox"/>

	Tick the rule(s) relevant to this notification
<b>Individual Conduct Rules</b>	
insured benefits.	

**3A.04** For each breach please provide the following information. Please attach additional sheets as necessary.

Details of the breach:

**3A.05** If the *firm* is making a notification under section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of Financial Services and Markets Act 2000, please provide details below of disciplinary action taken and the reasons for this action. Please do not repeat information already included in the answers to Questions 3.03 and 3.04 above. If necessary please cross refer to the answers provided.

**3A.06** If the *firm* is making a notification under section 63(2A) (withdrawal of approval) of Financial Services and Markets Act 2000, please provide details below. Please do not repeat information already included in the answers to Questions 3A.05 and 3A.06 above. If necessary please cross refer to the answers provided.

If the firm is submitting this notification on behalf of an *approved person* performing *controlled functions* at an appointed representative, please complete this section.

**3B.01** Please complete this section if you are submitting this notification on behalf of an *approved person* performing *controlled functions* at an FCA solo regulated firm prior to commencement of the SMCR. Following commencement of the SMCR only appointed representatives should complete this section. All other *SMCR firms* should complete Section 3A instead.

List all *controlled functions* (other than senior management functions) which the *approved person* is ceasing to perform. The effective date is the date the *person* will cease to perform the functions.

If the reason for ceasing to perform the *controlled function* is indicated in column B, the *FCA* should be notified in accordance with *SUP 10A.14.10R*, *SUP 10A.14.11G*, *SUP 10B.12.12.R* and *SUP* (that is, within one *business day*, by telephone, fax or email) that this Form will be submitted).

	FRN	Name of firm	Controlled function	Effective date	Reason	
					A	B Full explanation in section 4
a					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
b					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
c					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)
d					Internal movement of staff <input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Retirement <input type="checkbox"/> End of contract <input type="checkbox"/>	Dismissal/ termination of employment or contract <input type="checkbox"/> Suspension <input type="checkbox"/> Other <input type="checkbox"/> (specify in section 4)

e

				Internal move- ment of staff	<input type="checkbox"/>	Dismissal/ termination of employment or contract	<input type="checkbox"/>
				Resignation	<input type="checkbox"/>	Suspension	<input type="checkbox"/>
				Redundancy	<input type="checkbox"/>	Other	<input type="checkbox"/>
				Retirement	<input type="checkbox"/>	(specify in section 4)	
				End of contract	<input type="checkbox"/>		



I have supplied further information  
related to this page in Section 4

YES

NO

**4.01** Is there any other information the approved person or the firm considers to be relevant to this notice?

Please provide full details

**4.02** Please indicate clearly to which question the supplementary information relates.

Question	Information

**4.03** How many additional sheets are being submitted?

# Supporting Documents

Indicate the required supporting documents to accompany this form.

Documents	Mode (by email, fax or post)

Other information (please specify)

--

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 FSMA). 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* and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or the *individuals*.

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

**I confirm that a permanent copy of this application, signed by the *firm*, will be retained for an appropriate period, for inspection at the *FCA*'s and/or *PRA*'s request.**

**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 explanatory note relating to the form.**

**By signing below you confirm that you have read and understood the above declaration.**

Name of the *firm*

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

Position

Signature

Date



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The *FCA* has produced notes which will assist both the *firm* and the *approved person* in answering the questions in this form. Please read these notes, which are available on the *FCA* website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>

Both the *firm* and the *approved person* will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing this form. Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

## Form D Notification: Changes to personal information/application details and conduct breaches/disciplinary action related to conduct

*FCA Handbook* Reference: SUP 10C Annex 6R

*PRA Rulebook* Reference: Notifications and Senior Managers Regime - Applications and Notifications<sup>14</sup>, [Commencement date]

Name of approved person  
(to be completed by *firm*)

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 [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>14</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

## 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 64C of the Financial Services and Markets Act 2000(FSMA)

YES  You must complete sections 1, 2, 6 & 7

Input applicant *firm* contact for this notification. Please note that the contact at the applicant *firm* contact cannot be the same person as the approved person to whom this application relates.

<b>1.01</b>	Title (e.g. Mr, Mrs, Ms)	
<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	
<b>1.07</b>	Email address	



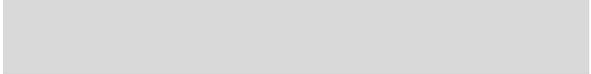
I have supplied further information  
related to this page in Section 7

YES

NO

**2.01** *Approved person* Individual Reference Number (IRN) 

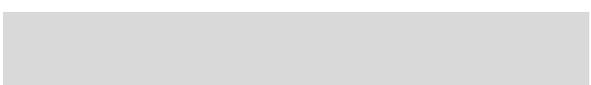
**DETAILS TO BE CHANGED**

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

**2.03** Surname 

**2.04** ALL forenames 

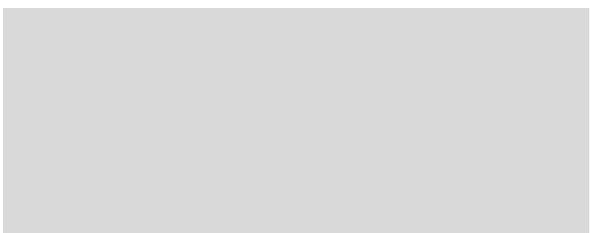
**2.05** National Insurance number 

**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

# Arrangements and Controlled Functions (including Senior Management Functions) Section 3

## Add New Arrangement

3.01 State the nature of the *arrangement* between the *approved person* and the firm?

<i>Employee</i>	<input type="checkbox"/> Continue to Section 4
<i>Group employee</i>	<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
<i>Other arrangement</i>	<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 controlled function (Form C) 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  Remove

Appointed Representative Firm Reference Number

Firm name

Effective date (dd/mm/yyyy)

**Appointed Representative 2**

Are you adding or removing an Appointed Representative?

Add  Remove

Appointed Representative Firm Reference Number

Firm name

Effective date (dd/mm/yyyy)

**Appointed Representative 3**

Are you adding or removing an Appointed Representative?

Add  Remove

Appointed Representative Firm Reference Number

Firm name

Effective date (dd/mm/yyyy)

**Appointed Representative 4**

Are you adding or removing an Appointed Representative?

Add  Remove

Appointed Representative Firm Reference Number

Firm name

Effective date (dd/mm/yyyy)

4.01 Name of *firm* making the notification

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the *approved person* performs *senior management functions* or, for FCA solo regulated firms prior to the commencement of the SMCR, performs *controlled functions*.

	FRN	Name of <i>firm</i>	<i>Senior management function/controlled function</i>
A			
B			
C			
D			
E			



I have supplied further information related to this page in Section 7 YES  NO

Only complete Section 5 if the notification relates to changes to the *approved person's* fitness and propriety.  
 5.00 Do you want to notify us of a change to the *approved person's* fitness and propriety?

YES  NO

**5.01 Criminal Proceedings**

When answering the questions in this section the *approved person* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *approved person* is subject to the law of England and Wales, the *approved person must* disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *approved person* is subject to the law of Scotland or Northern Ireland, the *approved person must* disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**If you answer 'yes' to any of the questions in Section 5, further details should be provided in Section 7.**

If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included in Section 7.

**5.01.1 a** Has the *approved person* **ever** been convicted of any criminal offence (whether spent or not and whether or not in the *UK*):

iii. 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

iv. relating to *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*?

YES  NO

**B** Is the *approved person* currently the subject of any criminal proceedings, whether in the *UK* or elsewhere?

YES  NO

**C** Has the *approved person* **ever** been given a caution in relation to any criminal offence?

YES  NO

**5.01.2** Has the *approved person* 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  NO

**5.01.3** Is the *approved person* the subject of any ongoing criminal investigation?

YES  NO

➔ I have supplied further information related to this page in Section 7 YES  NO

**5.01.4** Has the *approved person* been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?

YES  NO

In answering question 5.01.4, you should include all matters even where the *approved person* was not the subject of the investigation.

**5.01.5** Has any firm at which the *approved person* 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.)

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

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?

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 7    YES     NO

**5.02 Civil Proceedings**

<b>5.02.1</b>	Has the <i>approved person</i> <b>ever</b> been the subject of a judgement debt or award against the <i>approved person</i> (whether satisfied or not)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	Please give a full explanation of the events in question.		
	The <i>approved person</i> should include all County Court Judgement(s) (CCJs) made against the <i>approved person</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 judgement debts, awards or CCJs ordered.		
<b>5.02.2</b>	Has the <i>approved person</i> <b>ever</b> been party to any civil proceedings which resulted in any order against the <i>approved person</i> (other than a judgement debt or award referred to in 5.02.1 above)? (the <i>approved person</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>approved person</i> aware of:		
<b>A</b>	Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>approved person</i> , for a CCJ or another judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>B</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"/>
<b>C</b>		YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.4</b>	Does the <i>approved person</i> have any <b>current</b> judgement 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>approved person</i> <b>ever</b> failed to satisfy any such judgement 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 7 YES  NO

**5.02.6** Has the *approved person* **ever**:

**A** Filed for the *approved person*'s own bankruptcy or had a bankruptcy petition served on the *approved person*? YES  NO

**B** Been adjudged bankrupt? YES  NO

**C** Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking? YES  NO

**D** Made any arrangements with the *approved person*'s creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)? YES  NO

**E** Had assets sequestrated? YES  NO

**5.02.7** Does the *approved person*, or any undertaking under their management, have any outstanding financial obligations arising from *regulated activities*, which have been carried out in the past (whether or not in the *UK* or overseas)? YES  NO

**5.02.8** Has the *approved person* **ever** been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct? Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved? YES  NO

**5.02.9** Is the *approved person* currently:

**A** Party to any civil proceedings (including those covered in 5.02.7 above)? YES  NO

**B** Aware of anybody's intention to begin civil proceedings against the *approved person*? (The *approved person* should include any ongoing disputes whether or not such dispute is likely to result in any order against the *approved person*.) YES  NO

**5.02.10** During the period over which the *approved person* has held a position of influence and/or in the 10 years after this, has any firm at which the *approved person* holds or has held a position of influence **ever** been:

**A** Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct? YES  NO

**B** The subject of a judgement debt or award against the firm? (The *approved person* should include all CCJs made against the firm, whether satisfied or not.) YES  NO

**C** 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  NO

**➔** I have supplied further information related to this page in Section 7 YES  NO

**5.02.11** Is any firm at which the *approved person* 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; and/or

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 *approved person* is or has been a *controller*, director, senior manager, *partner* or company secretary, in the *UK* 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 7

YES  NO

**5.03 Business and Employment Matters**

**5.03.1** Has the *approved person* **ever** been:

**A** Disqualified from acting as a director or similar position (one where the *approved person* 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 *approved person*)?

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 *approved person*?

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 *approved person* **ever** been refused entry to, or been dismissed, suspended or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

**5.03.3** Does the *approved person* have any material written complaints made against the *approved person* by the *approved person*'s clients or former clients in the last five years which the *approved person* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO

**5.03.4** Has the *candidate* ever participated in arbitration proceedings? (This question only applies where the applicant firm is a Solvency II insurance firm)



I have supplied further information related to this page in Section 7 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 the guidance notes on section 5), has:

- The *approved person*, or
- Any company, partnership or unincorporated association of which the *approved person* is or has been a *controller*, director, senior manager, *partner* or company secretary, during the *approved person's* association with the entity and for a period of three years after the *approved person* 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>approved person</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 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 <i>regulated activity</i> 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"/>
<b>a.</b>	Been on a board of directors in an operating undertaking that has not been granted a release from liability? (This question only applies where the applicant firm is a Solvency II insurance firm)	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 7 YES  NO

**5.04.2**

In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *approved person* or any firm at which the *approved person* holds or has held a position of influence at any time during and within one year of the *approved person's* association with the firm **ever**:

<b>A</b>	Been found to have carried on activities for which authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body is required without the requisite authorisations?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
----------	---	------------------------------	-----------------------------

<b>B</b>	Been investigated for the possible carrying on of activities requiring authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body, without the requisite authorisation whether or not such investigation resulted in a finding against the <i>approved person</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>C</b>	Been found to have performed a <i>senior management function</i> or other <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>D</b>	Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the approved person?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>E</b>	Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the <i>FCA/PRA</i> of the identity of a person acting in a position of influence over its electronic money or payment services business?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>F</b>	Been the subject of a prohibition order under section 56 Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made, or received a private warning?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 7 YES  NO

## 5.05 Other Matters

<b>5.05.1</b>	Is the <i>approved person</i> , 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 <i>controlled functions</i> (including senior management functions) for which approval is now being sought?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.05.2</b>	<b>5.05.2 should only be answered if the firm is a Solvency II insurer.</b> Does the <i>approved person</i> have, or know of any:		
<b>A</b>	Qualifying ownership <sup>15</sup> or any other form of substantial influence in the <i>firm</i> or <i>group</i> , or any other companies	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	If yes, please provide:		
	1. Company name and registration number		
	2. Nature and scope of the operations		
	3. The registered office of the company		
	4. Possession in percentage		
<b>B</b>	Close relatives with ownership shares in the <i>firm</i> or <i>group</i>	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>C</b>	Close relatives with any other financial relations in the <i>firm</i> or <i>group</i>	YES <input type="checkbox"/>	NO <input type="checkbox"/>

<sup>15</sup> As defined in Article 13(21) of the Solvency II Directive, qualifying ownership is 'direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking'.

**D** Any other commitments that may give rise to a conflict of interest

YES  NO

If the response is 'yes' to any of the above, please provide, in Section 6, explanations of the circumstances and how the *candidate* intends to mitigate this.

**5.05.3** Is the *approved person* or the *firm* aware of any other information relevant to this notification that the *FCA/PRA* might reasonably expect

YES  NO



I have supplied further information related to this page in Section 7

YES  NO

# Fitness and Propriety – Notifications under section 64C of the Financial Services and Markets Act 2000

## Section 6

This section does not apply to appointed representatives. It should be completed by an SMCR firm to:

- (a) make a notification of disciplinary action (as defined in section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of FSMA) 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;
- (b) make a follow up notification to update a determination that has previously been the subject of a notification made by the firm in relation to (a) (and to the extent required by, in the case of the *FCA*, SUP 10C, SUP 15.6.4R and SUP 15.11.8G, or in the case of the *PRA*, Notifications in the Rulebook<sup>16</sup>).

### 6.01 Initial or update on previous notification

**6.01.1** Is the firm updating a previous notification made under section 64C of FSMA?

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:

**6.02** Notification of disciplinary action where the reason for taking the disciplinary action is any action, failure to act or circumstance that amounts to a breach of the individual or senior manager conduct rules.

**6.02.1** Please include details in the relevant boxes below of the individual or senior manager conduct rules set out in the *FCA*'s COCON or *PRA* Conduct Rules, relevant to this notification.

	Tick the rule(s) relevant to this notification
<b>Individual Conduct Rules</b>	
Rule 1: You must act with integrity.	<input type="checkbox"/>
Rule 2: You must act with due skill, care and diligence.	<input type="checkbox"/>
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.	<input type="checkbox"/>
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.	<input type="checkbox"/>
Rule 5: You must observe proper standards of market conduct.	<input type="checkbox"/>
<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.	<input type="checkbox"/>
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> .	<input type="checkbox"/>
SC3: You must take reasonable steps to ensure that any delegation of your	<input type="checkbox"/>

<sup>16</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

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.	<input type="checkbox"/>
SC5: When exercising your responsibilities, you must pay due regard to the interests of current and potential future <a href="#">policyholders</a> in ensuring the provision by the <a href="#">firm</a> of an appropriate degree of protection for their insured benefits.	<input type="checkbox"/>

**6.02.2** For each breach of an individual or senior manager conduct rule please provide the following information. Please attach additional sheets as necessary.

Relevant rule(s): Date when breach came to the attention of the <i>firm</i> : Date or period of breach: Further details of the breach:
---

**6.02.3** Please provide details below of disciplinary action taken and the reasons for this action. Please do not repeat information already included in the answers to Questions 6.02.1 and 6.02.2 above. If necessary please cross refer to the answers provided.

--



I have supplied further information related to this page in Section 7 YES  NO

## Supporting Documents and Supplementary Information Section 7

- 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 to which question the supplementary information relates.

Question	Information

- 7.02** How many additional sheets are being submitted?

## Supporting Documents

7.03 Indicate the required supporting documents to accompany this form.

<b>Documents</b>

## Declaration

The *firm* must ask the *approved person* 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.

However, note that it may not be appropriate to ask the *approved person* to make the declaration below where the applicant *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 FSMA). 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* and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or the *approved person*.

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

### DECLARATION OF APPROVED PERSON

The *approved person* confirms that they are aware that, for the purposes of complying with the Data Protection Act 1998, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under FSMA and other relevant legislation. It will not be disclosed for any other purposes without the permission of the *approved person*.

**The *approved person* confirms that the information in this form is accurate and complete to the best of their knowledge and belief and that they have 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 considers 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* / their employer.

#### 8.01 Full name of *approved person*

i.e. Title, forenames, SURNAME

#### 8.02 Signature

Date

### 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 considers 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 their 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*

[Redacted]

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

[Redacted]

**8.05** Job title

[Redacted]

**8.06** Signature

[Redacted]

Date

[Redacted]



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on the FCA website at

<https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex3D.html>

Both the applicant *firm* and the *candidate* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form. Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

## Form E

### Internal transfer of a person performing a controlled function for dual regulated firms

FCA Handbook Reference: SUP 10C Annex 7D

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications<sup>17</sup>

[Commencement Date]

Name of *candidate*  
(to be completed by applicant *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 [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>17</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

## Personal identification details

## Section 1

1.01 Individual Reference Number (IRN)

1.02 Title  
(e.g. Mr, Mrs, Ms,)

1.03 Surname

1.04 ALL forenames

1.05 Date of birth

1.06 National Insurance number

1.07 Place of birth

1.08 Phone number

1.09 Email address

## Firm identification details

## Section 2

2.01 Name of applicant *firm*

2.02 *Firm* Reference Number (FRN)

2.03 a Who should the *FCAPRA* contact at the applicant *firm* in relation to this application?

B Position

C Phone number

D E-mail

Please note that the contact at the *firm* cannot be the same person as the *candidate*



I have supplied further information  
related to this page in Section 5

YES

NO

**3.01** List all *senior management functions* which the *approved person* is ceasing to perform. The effective date is the date the *person* will cease to perform the functions.

	FRN	Name of <i>firm</i>	Senior Management function	Effective date
A				
B				
C				
D				
E				



I have supplied further information related to this page in Section 5

YES

NO

**4A.01** Nature of the arrangement between the candidate and the applicant.

a *Employee*

---

b *Group employee*

Name of group

c *Contract for services*

---

d *Partner*

---

e *Other*

Give details

Proposed date of appointment

Length of appointment (if applicable)

**4A.02** For applications from a single *firm*, please tick the boxes that correspond to the *senior management functions* to be performed.

If the *senior management functions* are to be performed for more than one *firm*, please leave the boxes below blank and go to question 4.05

The table below sets out the full list of *senior management functions* (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF 1	Chief Executive	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 2	Chief Finance	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 3	Executive Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 5	Head of Internal Audit	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 6	Head of Key Business Area	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 8	Credit Union Senior Manager				<input type="checkbox"/>					
SMF 9	Chair of the Governing Body	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF10	Chair of the Risk Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF11	Chair of the Audit Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF12	Chair of the Remuneration Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF13	Chair of the Nomination Committee	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF14	Senior Independent Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF15	Chair of With Profits Committee					<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF18	Other Overall Responsibility	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				
SMF19	Head of Third Country Branch/ Head of Overseas			<input type="checkbox"/>						<input checked="" type="checkbox"/>
SMF20	Chief Actuary					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF20a	With-Profits Actuary					<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF21	EEA Branch Senior Manager (EBSM)		<input type="checkbox"/>							
SMF22	Other Local Responsibility			<input checked="" type="checkbox"/>						<input checked="" type="checkbox"/>
SMF23	Chief Underwriting Officer					<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF23a	Underwriting Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF23b	Conduct Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF24	Chief Operations	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF25	Small Insurer Senior Management Function						<input type="checkbox"/>			
SMF26	Head of Small Run-Off Firm								<input type="checkbox"/>	
SMF27	Partner	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

\* 'UK Banks' refers to UK banks, building societies and PRA designated investment firms

4A.03 Job title

**4A.04 Insurance distribution**

Will the *candidate* be responsible for insurance distribution at the firm? YES  NO

(Note: Yes can only be selected if the individual is applying for a governing function (other than a non-executive director function).)

**4A.05 Mortgage Credit Directive**

Will the candidate be responsible for Mortgage Credit Directive Intermediation at the firm? YES  NO

**4A.06** Has the *firm* undertaken a criminal records check in accordance with the requirements of the *FCA* and/or *PRA*? Please note that a *firm* is required under *PRA* rules to request and, under *FCA* rules to obtain the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the *UK* or any part of the *UK* before making the application. (SUP 10C.10.16R and *PRA* Rulebook – Fitness and Propriety)<sup>18</sup>

If yes, please enter date the check was undertaken

**Date(dd/mm/yyyy):**

**Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details in section 5.**



I have supplied further information related to this page in Section 5

YES  NO

<sup>18</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

**4A.07**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the applicant requires approval and the requested *senior management function* for that *firm*.

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Senior Management function</b>	<b>Job title (mandatory)</b>	<b>Responsible for insurance distribution?</b>	<b>Responsible for mortgage credit intermediation?</b>	<b>Effective date</b>
<b>A</b>							
<b>B</b>							
<b>C</b>							
<b>D</b>							
<b>E</b>							

**4A.08**

Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the *FCA* or *PRA*? If no, please provide details why the reference or references has/have not been obtained.

*Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Fitness and Propriety<sup>19</sup> in the PRA Rulebook). “Employer” has an extended meaning for these purposes.*

YES  NO

<sup>19</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.



I have supplied further information  
related to this page in Section 6<sup>†</sup>

YES

NO

# Arrangement and controlled functions – Appointed Representatives

## Section 4B

Complete this section if the application is for a *controlled function* at an *appointed representative (AR)*. If you are submitting an application for a *senior management function* then please complete section 4A.

**4B.01** Nature of the *arrangement* between the *candidate* and the applicant.

---

*a* Appointed representative/tied agent – customer function

AR firm name and reference number

---

*b* Appointed representative/tied agent – governing function

AR firm name and reference number

---

*c* Other

Give details

**4B.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed. If the *controlled functions* are to be performed for more than one *firm*, please go to question **4B.05**.

**A Significant influence functions**

CF 1 Director function

CF 3 Chief executive function

CF 4 Partner function

CF 5 Director of an unincorporated association function

---

**B Customer function**

CF 30 Customer function

**4B.03** Effective date of *controlled functions* indicated above

**4B.04** Job title

Please refer to notes on the requirements for submitting a CV.



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

YES

NO

**4B.05**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.

	<b>Firm Reference Number</b>	<b>Name of <i>firm</i></b>	<b><i>Controlled function</i></b>	<b>Job title</b>	<b>Effective date</b>
<b>A</b>					
<b>B</b>					
<b>C</b>					
<b>D</b>					
<b>E</b>					



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

YES

NO

# Supplementary information for Senior Management Functions Section 5

**5.01 Please provide full details of:**

- a) why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for;
- b) why the appointment complements the *firm's* business strategy, activity and market in which it operates;
- c) how the appointment was agreed including details of any discussions at governing body level (where applicable);
- d) a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the Glossary); and

**5.02**

- e) if the *candidate* currently holds more than one directorship, please provide a breakdown on the *candidate's* time commitment to each directorship.

**If there is any additional information indicated in previous sections or any other information the *candidate* or the *firm* considers being relevant to this application it must be included here.**

Question	Information

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

**5.03 Firms must also provide the following supporting documents required with this form (please tick)**

*It is for firms to assess which supporting documents they should submit but, in the majority of cases, it is expected that firms will submit all of the listed supporting documents.*

<input type="checkbox"/>	<b>Statement of Responsibilities</b>
<input type="checkbox"/>	<b><i>Candidate's</i> Curriculum Vitae (C.V)</b>
<input type="checkbox"/>	<b>Role(s) description</b>
<input type="checkbox"/>	<b>A copy of the firm's management responsibilities map (SYSC 25.1 and Allocation of Responsibilities in the PRA Rulebook<sup>20</sup>) This requirement does not apply to all firms.</b>
<input type="checkbox"/>	<b>A summary of any handover material (as referred to in SYSC 25.9.4R to SYSC 25.9.8G and SUP 10C.10.13G and Senior Management Functions in the PRA Rulebook<sup>21</sup>) This requirement does not apply to all firms.</b>
<input type="checkbox"/>	<b>A description or copy of the candidate's Skills Gap Analysis.</b>
<input type="checkbox"/>	<b>A description or copy of the candidate's Induction programme</b>

<sup>20</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying

<sup>21</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

	<b>A description or copy of the candidate's Learning and Development plan (including the name of the individual responsible for monitoring the candidate's progress against the development points and the time frame for completion)</b>
	<b>A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role).</b>

**Declaration of Candidate**

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 and 400 of the Financial Services and Markets Act 2000 – ‘FSMA’). 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 other *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or individuals.

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

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

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this form including answers pertaining to fitness and propriety. This may include a credit reference check. In signing the form below:

- a) 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. *Candidates* may be required to apply for a criminal records search to be made as to whether any criminal records are held in relation to them 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.
- b) 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.
- c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the rules of conduct in the *FCA*'s Conduct Rules (COCON) and/or *PRA* Conduct Rules.
- d) I confirm that the Statement of Responsibility submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that I will be responsible for managing. I confirm that I have accepted all the responsibilities set out in this Statement of Responsibilities.

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

**6.01** *Candidate*'s full name

**6.02** 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 FSMA). *SUP* 15.6.1R and *SUP* 15.6.4R of the *FCA* Handbook and Notification 6 of the *PRA* Rulebook require a *firm* 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.

In addition to other regulatory responsibilities, *firms*, senior managers and other *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or individuals.

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 and by reference to the criteria in FIT in the *FCA* Handbook and the Fitness and Propriety Part of the *PRA* Rulebook<sup>22</sup> that the candidate is a fit and proper person to perform the controlled function(s) listed in section 3. The firm also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfil the duties required in the performance of such function(s).

### **IF UNDERTAKING ANY NON MiFID BUSINESS FOR WHICH THE FIRM HAS NOT PREVIOUSLY APPLIED FOR AUTHORISATION, PLEASE ALSO COMPLETE THE FOLLOWING**

The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required of such function(s). YES  NO

If the *firm* confirms that it has had sight of a criminal records certificate prepared within the past 3 months in relation to the *candidate* and has given due consideration to the information contained in that certificate in determining that *candidate* to be fit and proper. Alternatively, where a certificate is not obtained the firm has provided an explanation in section 5.

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

- a) 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.
- b) I confirm that I have authority to make this application and provide the declarations given by the *firm*, and sign this form, on behalf of the *firm* identified in section 2.01 and/or each *firm* identified in section 4.04. 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*.
- c) I confirm the *candidate* has been made aware of the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA*'s Conduct Rules (COCON) and/or *PRA* Conduct Rules.
- d) I confirm that that the Statement of Responsibilities submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the candidate will be responsible for managing

6.03 Name of the *firm* submitting the application

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

6.05 Job title

6.06 Signature

Date

<sup>22</sup> The relevant section of the *PRA* Rulebook should be referred to depending on which firm is applying



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

## Form I – Application to add, vary or remove a conditional approval for the performance of a *senior management function*

*FCA Handbook* Reference: SUP 10C Annex 8D

Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

[Commencement date]

Name of individual  
(to be completed by applicant *firm*)

Name of applicant *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 [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

**1.01** Contact for this application (at the applicant firm)

Title	
First name	
Surname	
Job title	
Business address	
Post code	
Phone number	
Email address	

**Personal identification details**

**Section 2**

**2.01** Individual Reference Number (IRN)

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

**2.03** Surname

**2.04** ALL forenames

**2.05** Date of birth

**2.06** National Insurance number

**Firm identification details**

**Section 3**

**3.01** Name of applicant *firm*

**3.02** *Firm* Reference Number (FRN)

**3.03 a** Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

**b** Business address

**c** Position

**d** Telephone

**e** Mobile

**f** E-mail

3.01 Are you applying to add, vary or remove a condition?

Add	
Vary	
Remove	

3.02 If you are applying to vary an existing condition please provide details of the current condition, proposed variation and reason for the proposed variation.

<b><u>Applicable senior management function</u></b>	
<b><u>Current condition</u></b>	
<b><u>Proposed variation</u></b>	
<b><u>Reason for variation</u></b>	

3.03 If you are applying to add a condition to an existing conditional approval please provide details and reason for proposed condition.

<b><u>Applicable senior management function</u></b>	
<b><u>Proposed condition</u></b>	
<b><u>Reason for proposed condition</u></b>	

3.04 If you are applying to remove a condition from an existing conditional approval please provide details of the current condition and the reason for the proposed removal.

<b><u>Applicable senior management function</u></b>	
<b><u>Current condition</u></b>	
<b><u>Reason for removal of condition</u></b>	



I have supplied further information related to this page in Section 4 YES  NO

- 4.01** Is there any other information that the applicant *firm* considers to be relevant to the application?  
Please indicate clearly to which section the supplementary information relates.  
Please submit an updated *statement of responsibilities* with this form.

Section	Information

- 4.02** How many additional sheets are being submitted?

**Declaration of Applicant Firm**

In this declaration, the *firm* seeking the variation of the conditional approval previously granted in relation to the performance of a *senior management function* by an individual is referred to as the “applicant firm”. The individual in relation to whom the *FCA/PRA* (as applicable) gave the conditional approval is referred to as the “Individual”. It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000). The applicant *firm* will notify the *FCA/PRA* (as applicable) immediately if there is a material change to the information provided.

In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the *FCA/PRA* (as applicable) matters of which it would reasonably expect to be notified. Failure to notify the *FCA/PRA* (as applicable) of such information may lead to the *FCA/PRA* (as applicable) taking disciplinary or other action against the applicant and/or the individual.

The applicant understands that the *FCA/PRA* (as applicable) may require it to provide further information or documents at any time.

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

The applicant confirms that the *statement of responsibilities* submitted with this form accurately reflects the aspects of the affairs of the applicant which it is intended that the individual will be responsible for managing.

The person submitting this form on behalf of the applicant firm confirms that they have authority to submit this form and, on behalf of the applicant, confirms that they have read and understood the notes to this form and the declaration given by the applicant.

**Name of applicant  
*firm***

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

**Position**

**Signature**

**Date**

**Declaration of *candidate / approved person***

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

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

Name of *candidate/approved person*

Signature

Date



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PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

## Form J: Notification of significant changes in responsibilities of a person performing a *senior management function*

*FCA Handbook* Reference: *SUP 10C Annex 9D*

*PRA Rulebook* Reference: Notifications and Senior Managers Regime - Applications and Notifications<sup>23</sup>

Please submit with this form an updated *statement of responsibilities* including the effective date.

Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

[Commencement date]

Name of *approved person*  
(to be completed by applicant *firm*)

Name of applicant *firm*  
(as entered in 3.01)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [firm.queries@fca.org.uk](mailto:firm.queries@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)

<sup>23</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

**1.01** Contact for this notification (at the applicant *firm*)

	Title	
	First name	
	Surname	
	Job title	
	Business address	
	Post code	
	Phone number	
	Email address	

**Personal identifications details****Section 2**

**2.01** Individual Reference Number (IRN)

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

**2.03** Surname

**2.04** ALL forenames

**2.05** Date of birth

**2.06** National Insurance number

**Firm identification details****Section 3**

**3.01** Name of applicant *firm*

**3.02** Firm Reference Number (FRN)

**3.03 a** Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

**b** Business address

**c** Position

**d** Telephone

**e** Mobile

**f** E-mail

**4.1 Summary of Significant Changes made**

Please provide a summary of the significant changes made since the date of the previously submitted *statement of responsibilities*.

Please submit with this form an updated *statement of responsibilities* including the effective date.

If applicable, please submit with this form an updated *management responsibilities map*. Banking sector firms, Solvency II insurers, Large non-directive insurers and enhanced-scope SMCR firms are all required to have management responsibilities maps. Please see SYSC 25 in the FCA Handbook and Allocation of Responsibilities in the PRA Rulebook<sup>24</sup> for more information.

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<sup>24</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying.

**Declaration by *approved person***

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

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

This is given as the date in which the individual took up the roll or intends to take up the role.

Name of *candidate/approved person*

Signature

Date

**Declaration by Applicant *Firm***

It is a criminal offence, knowingly or recklessly, to give us information that is materially false, misleading or deceptive.

The applicant *firm* confirms that the information provided is accurate and complete to the best of its knowledge.

In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or the approved person. The person signing on behalf of the applicant *firm* confirms that:

- they have read this declaration in full;
- they have confirmed that the information supplied is accurate and complete to the best of their knowledge, and the updated *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *approved person* will be responsible for managing.

Name of applicant *firm*

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

Job title

Signature

Date



Application number or IRN  
(for FCA/PRA use only)

# Senior Managers Regime: Statement of Responsibilities

This form applies to UK dual-regulated firms including EEA and third country branches. It does not apply to appointed representatives of SMCR firms. Terms defined in either or both of the FCA Handbook or PRA Rulebook are italicised and should be construed accordingly.

This is a statement provided under section 60(2A) of the *Act* (Applications for approval), including a statement revised under section 62A of the *Act* (Changes in responsibilities of senior managers).

For *candidates* for approval, this form **must** be submitted as an attachment to a Form A application or a Form E application

For significant changes to an existing *statement of responsibilities*, this form **must** be submitted as an attachment to a Form J notification or a Form I application or variation.

*FCA Handbook* Reference: SUP 10C, SYSC 24.1, SYSC 25.1

*PRA Rulebook* Reference: Senior Managers Regime - Applications and Notifications<sup>25</sup>

[Commencement date]

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 [firm.queries@fca.org.uk](mailto:firm.queries@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>25</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

**Personal identifications details**

**Section 1**

1.01 Individual Reference Number (IRN)

1.02 Title  
(e.g. Mr, Mrs, Ms,)

1.03 Surname

1.04 ALL forenames

1.05 Date of birth (dd/mm/yyyy)

1.06 National Insurance number

**Firm identification details**

**Section 2**

2.01 Name of *firm*

2.02 *Firm* Reference Number (FRN)

2.03 a Who should the *FCA/PRA* contact at the *firm* in relation to this *statement of responsibilities*?

b Position

c Telephone

e E-mail



I have supplied further information related to this page in Section 4 YES  NO

A *statement of responsibilities* should be drafted to clearly show the responsibilities that the *candidate* or senior manager is to perform as part of their *senior management function* and how they fit in with the *firm's* overall governance and management arrangements. A *statement of responsibilities* should also be consistent with the *firm's management responsibilities map*, if applicable. *Small non-directive insurers* and *insurance special purpose vehicles (ISPVs)* are not required to have *management responsibilities maps*.

A *statement of responsibilities* should be drafted in such a way as to be practical and useable by regulators. The *FCA* and the *PRA* consider that this would be achieved by succinct, clear descriptions of each responsibility which avoid unnecessary detail. Firms have the opportunity to provide details of each responsibility allocated to an individual using the free text boxes in this form, however, the *PRA* and *FCA* would not usually expect the description of each responsibility to exceed 300 words.

A *statement of responsibilities* must be a self-contained document. There should be one statement per senior manager per *firm*. Where an individual performs a senior management function on behalf of more than one *firm* within a *group*, one *statement of responsibilities* is required for each *firm*. Any supplementary information may be provided in section 4 (or if submitting electronically, in a **single** attachment). A *statement of responsibilities* must not cross refer to other documents, attachments or links.

A *statement of responsibilities* should include responsibilities held in relation to *FCA* controlled functions that are included in a *PRA controlled function* under *SUP 10C.9* (Minimising overlap with the *PRA* senior managers regime).

If the appropriate regulator considers that the *statement of responsibilities* is not sufficiently clear to be practical and usable, it could be challenged as part of a *candidate's* or *senior manager's* application for approval, or in ongoing supervision.

Details of the individual's responsibilities should be set out in sections 3.2 to 3.4, as appropriate:

- Section 3.2 covers prescribed responsibilities required by regulators to be allocated to one or more senior managers. This section does not apply to incoming *EEA* branches.
- Section 3.3 covers having overall or local responsibility for each of the business areas, activities, and management functions of the *firm*. This section does not apply to *small non-directive insurers*, *ISPVs* or incoming *EEA* branches.
- Section 3.4 covers anything else, not otherwise included, for which a *candidate* or senior manager is to be responsible as part of their *FCA* and/or *PRA senior management function(s)*. *EEA* branches should complete this section to set out any matters for which a *candidate* or senior manager is to be responsible as part of their *FCA senior management function(s)*.

### 3.1 Effective date and relevant Senior Management Functions

3.1.1 Please state the effective date of this *statement of responsibilities*:

Please note that where this is a revised *statement of responsibilities*, i.e. since the granting of the application, there has been a significant change in the aspects of the *firm's* affairs which the *senior manager* is responsible for managing in performing the function (for example, a change in allocation of responsibilities within the *firm*, or the *senior manager* is applying for a new or additional *senior management function*), then this *statement of responsibilities* supersedes any previous versions.

3.1.2 List all *senior management functions* which the *candidate* or *senior manager* is to perform and the effective date the *candidate* or *senior manager* commenced or will commence the performance of their functions.

The table below sets out the full list of *senior management functions* (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF 1	Chief Executive	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 2	Chief Finance	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 3	Executive Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 5	Head of Internal Audit	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF 6	Head of Key Business Area	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	
SMF 7	Group Entity Senior Manager	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 8	Credit Union Senior Manager				<input type="checkbox"/>					
SMF 9	Chair of the Governing Body	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF10	Chair of the Risk Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF11	Chair of the Audit Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF12	Chair of the Remuneration Committee	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF13	Chair of the Nomination Committee	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF14	Senior Independent Director	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>
SMF15	Chair of With Profits Committee					<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>				
SMF17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF18	Other Overall Responsibility	<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>				
SMF19	Head of Third Country Branch/ Head of Overseas			<input type="checkbox"/>						<input checked="" type="checkbox"/>
SMF20	Chief Actuary					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF20a	With-Profits Actuary					<input type="checkbox"/>	<input type="checkbox"/>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF21	EEA Branch Senior Manager (EBSM)		<input type="checkbox"/>							
SMF22	Other Local Responsibility			<input checked="" type="checkbox"/>						<input checked="" type="checkbox"/>
SMF23	Chief Underwriting Officer					<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
SMF23a	Underwriting Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF23b	Conduct Risk Oversight (Lloyd's)					<input type="checkbox"/>				
SMF24	Chief Operations	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Function	Description of a Senior Management Function	UK banks*	UK branches of EEA banks and insurers	UK branches of non-EEA banks	Credit unions	Solvency II firms & large NDFs	Small NDFs	ISPVs	Small firms in run off	UK branches of non-EEA insurers
SMF25	Small Insurer Senior Management Function						<input type="checkbox"/>			
SMF26	Head of Small Run-Off Firm								<input type="checkbox"/>	
SMF27	Partner	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	

\*'UK Banks' refers to UK banks, building societies and PRA designated investment firms

This *statement of responsibilities* is considered to automatically include the existing legal and regulatory obligations where they exist for these roles and functions. For example, certain specific responsibilities of a director are set out in company law. Such responsibilities do not need to be recorded in this statement, but any additional responsibilities should be recorded in the sections below.

3.1.3 Please indicate those FCA functions that are included in a PRA *senior management function* under SUP 10C.9 (Minimising overlap with the PRA approved persons regime).

SMF	Description	Yes?

## 3.2 Prescribed Responsibilities

This section deals with those prescribed responsibilities to be allocated to one or more *senior managers*. The allocation of responsibilities under a *statement of responsibilities* should not reduce or alter the scope of any applicable prescribed responsibilities. EEA branches are not required to assign prescribed responsibilities and should leave this section blank.

If the responsibilities that the *candidate* or *senior manager* is to carry out as described in the *statement of responsibilities* go beyond those set out in this section, those additional responsibilities should not reduce or alter the scope of the prescribed responsibilities set out in this section.

(FCA SUP 10C.11/PRA: Allocation of Responsibilities)

3.2.1 Please indicate below which of the responsibilities listed are/will be allocated to the *candidate* or *senior manager*, if any, and whether or not they are shared. Different prescribed responsibilities apply to different types of firm as indicated in the table below.

Note: the form includes references to provisions in the FCA Handbook which are also set out in the PRA Rulebook, sometimes in slightly different wording. Where this is the case, the underlying provisions should be interpreted as equivalent in substance unless indicated otherwise. Any differences are purely presentational.

If the individual has not been allocated a prescribed responsibility, please go to section 3.3.

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
Shared	A	Responsibility for the <i>firm's</i> performance of its obligations under the <i>senior managers regime</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shared	B	Responsibility for the <i>firm's</i> performance of its obligations under the <i>employee certification regime</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FCA	B1	Responsibility for the <i>firm's</i> obligations in relation to individual conduct rules for training and reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Shared	C	Responsibility for compliance with the requirements of the regulatory system about the <i>management responsibilities map</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FCA	D	Overall responsibility for the <i>firm's</i> policies and procedures for countering the risk that the <i>firm</i> might be used to further financial crime	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PRA	E	Responsibility for the allocation of all relevant	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						<input type="checkbox"/>

<sup>26</sup> Large CRR firm means a CRR firm that is not a small CRR firm (see SYSC4.7.5 and the Allocation of Responsibilities Part of the PRA Rulebook). This includes UK banks and designated investment firms.

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		<i>prescribed responsibilities</i>										
Shared	F	Responsibility for:  (a) leading the development of; and  (b) monitoring the effective implementation of,  policies and procedures for the induction, training and professional development of all members of the <i>firm's governing body</i>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>					<input type="checkbox"/>
Shared	G	Responsibility for monitoring the effective implementation of policies and procedures for the induction, training and professional development of all of the <i>firm's senior managers/ key function holders</i> (other than members of the <i>firm's governing body</i> )	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>					<input type="checkbox"/>
PRA	H	Responsibility for overseeing the adoption of the <i>firm's</i> culture in the day-to-day management of the <i>firm</i>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>					<input type="checkbox"/>
PRA	I	Responsibility for leading	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>					<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		the development of the <i>firm's</i> culture by the <i>governing body</i> as a whole										
Shared	J	Responsibility for:  (a) safeguarding the independence of; and  (b) oversight of the performance of, the internal audit function	<input type="checkbox"/>									<input type="checkbox"/>
PRA	J1	If the firm outsources its internal audit function, responsibility for taking reasonable steps to ensure that every person involved in the performance of that function is independent from the persons who perform external audit, including:  (a) supervision and management of the work of outsourced internal auditors; and  (b) management of potential conflicts of interest between the provision of external audit and internal audit services.	<input type="checkbox"/>									<input type="checkbox"/>
Shared	J2						<input type="checkbox"/> **					<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		Responsibility for providing for and oversight of the internal audit function, where this function is outsourced to an external third-party provided by a non-significant firms.										
Shared	K	Responsibility for: (a) safeguarding the independence of; (b) oversight of the performance of, the compliance function	<input type="checkbox"/>									<input type="checkbox"/>
Shared	L	Responsibility for: (a) safeguarding the independence of; and (b) oversight of the performance of, the risk function	<input type="checkbox"/>									<input type="checkbox"/>
Shared	M	Responsibility for overseeing the development of, and implementation of the <i>firm's</i> remuneration policies and practices	<input type="checkbox"/>				<input type="checkbox"/>					<input type="checkbox"/>
Shared	N	Responsibility for the	<input type="checkbox"/>				<input type="checkbox"/>					<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		independence, autonomy and effectiveness of the <i>firm's</i> policies and procedures on whistleblowing										
PRA	O	Responsibility for managing the allocation and maintenance of the <i>firm's</i> capital, funding (where applicable) and liquidity	<input type="checkbox"/>				<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>
PRA	P	Responsibility for the <i>firm's</i> treasury management functions	<input type="checkbox"/>									<input type="checkbox"/>
PRA	Q	Responsibility for the production and integrity of the <i>firm's</i> financial information and its regulatory reporting	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>
PRA	R	Responsibility for developing and maintaining the <i>firm's</i> <i>recovery plan</i> and <i>resolution pack</i> and for overseeing the internal processes regarding their governance	<input type="checkbox"/>									<input type="checkbox"/>
PRA	S	Responsibility for managing the <i>firm's</i> internal stress-tests and ensuring the accuracy and timeliness of information provided to the <i>PRA</i> and	<input type="checkbox"/>									<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		other regulatory bodies for the purposes of stress-testing										
PRA	T	Responsibility for the development and maintenance of the <i>firm's</i> business model by the <i>governing body</i>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>			<input type="checkbox"/>
PRA	T1	Providing the governing body with an up-to-date business plan and all relevant MI						<input checked="" type="checkbox"/>				<input type="checkbox"/>
PRA	T2	Responsibility for the performance of the firm's Own Risk and Solvency assessment (ORSA)					<input checked="" type="checkbox"/> ***		<input checked="" type="checkbox"/>			<input type="checkbox"/>
PRA	U	Responsibility for the firm's performance of its obligations under <i>Fitness and Propriety</i> (in the PRA Rulebook) in respect of <i>notified non-executive directors</i> and those who perform a <i>key function</i> (where applicable for insurers)	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
PRA	V	If the firm carries out <i>proprietary trading</i> , responsibility for the firm's <i>proprietary trading</i> activities	<input checked="" type="checkbox"/>									<input type="checkbox"/>
PRA	W	If the firm does not have a <i>person</i> who performs the	<input checked="" type="checkbox"/>									<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		<i>Chief Risk function, responsibility for the compliance of the firm's risk management systems, policies and procedures with the requirements of Risk Control 2.1 to 2.4 of the PRA Rulebook.</i>										
PRA	X	Responsibility for the firm's performance of its obligations under the Outsourcing part of the PRA Rulebook (for CRR and non CRR firms), <i>Conditions Governing Business 7 (for SII firms and third country branches) or Non-solvency II firms: Governance 5 (for large NDFs)</i>	<input type="checkbox"/>				<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>
PRA	X1	Responsibility for the firm's performance of its obligations under Internal Governance of Third Country Branches 7.			<input type="checkbox"/>							<input type="checkbox"/>
PRA	Y	If the firm is a ring-fenced body, responsibility for ensuring that those aspects of the firm's affairs for which a person is responsible for managing	<input type="checkbox"/>									<input type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		are in compliance with the <i>ring-fencing obligations</i>										
FCA	Z	Overall responsibility for the firm's compliance with CASS	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>						
Shared/PRA	AA	Responsibility for implementing (where applicable) and management of the <i>firm's</i> risk management policies and procedures		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
PRA	BB	Responsibility for managing the systems and controls of the <i>firm</i>		<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
PRA	CC	Responsibility for managing the <i>firm's</i> financial resources		<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>				<input type="checkbox"/>
PRA	DD	Responsibility for ensuring the <i>governing body</i> is informed of its legal and regulatory obligations		<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>				<input type="checkbox"/>
Shared	EE	Responsibility for escalating correspondence from the <i>PRA, FCA</i> and other regulators to the appropriate governing or management bodies			<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
Shared	FF	Responsibility for the <i>firm's</i> compliance with the <i>UK regulatory system</i>			<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>	<input type="checkbox"/>
PRA	GG	Responsibility for the oversight of systems and						<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>

FCA/PRA/Shared PR	Ref	Prescribed Responsibility (PR)	Large CRR firms <sup>26</sup>	Small CRR firms	Third country CRR firms	Credit unions	Solvency II firms and Large NDFs	Small NDFs & Small run off firms*	Third Country branches of insurers	UK ISPVs	Swiss General Insurers	Is this PR shared between senior managers
		controls, along with risk management policies and procedures, that are proportionate to the nature, scale, and complexity of the risks inherent in the firm's business model.										
PRA	HH	Responsibility for management of the firm's liquidity or, where a liquidity waiver is in place, the submission of information to the PRA on the firm's liquidity position			<input type="checkbox"/>							<input type="checkbox"/>



3.2.2 If necessary, please provide additional information about each prescribed responsibility, including:

- a breakdown of the different components and tasks which the responsibility encompasses; and
- if applicable, details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) with whom the *candidate* or senior manager is or will be sharing this prescribed responsibility. The responsibility should be recorded in the same way in the statements of responsibilities for each individual.

Additional information must be relevant, succinct and not dilute or undermine the prescribed responsibility.

Ref	Prescribed Responsibility	Further Relevant Details



I have supplied further information related to this page in Section 4

YES

NO

### 3.3 Overall or Local Responsibility

This section deals with having overall or local responsibility for any of the business areas, activities, or management functions of the firm. Section 3.3.1 applies to *UK SMCR dual regulated banking sector firms*, Solvency II insurers and *large non-directive insurers*. Third country branches should apply the local responsibility requirement and complete section 3.2.2 instead.

#### 3.3.1 Overall Responsibility

By overall responsibility we mean the ultimate responsibility (under the *governing body*) for managing or supervising that function, and primary and direct responsibility for briefing and reporting to the *governing body* about that function and putting matters for decision about that function to the *governing body* of the firm.

If the individual has overall responsibility for any or part of the business areas, activities, or management functions of a firm, please provide details of each in the table below.

Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with. The responsibility should be recorded in the same way in the *statements of responsibilities* for each individual.

If the individual does not have overall responsibility for a business area, activity or management function of the firm, please go to section 3.4

A *firm* may wish to refer to SYSC 25 Annex 1G (replicated in Annex A of this form) to help it make sure it has not failed to allocate overall responsibility for a particular activity of the *firm*. Please note that the *FCA* does not require firms to organise themselves by the functions in SYSC 25 Annex 1G, and that the Annex is not comprehensive. It is important that a *firm* does not fail to allocate overall responsibility for business areas, activities and management functions, in line with SYSC 26.3.1R

Please provide a title for this overall responsibility	Please provide further details of this overall responsibility.	Is this overall responsibility shared? If 'Yes' please provide the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with (where known)
		Yes / No

#### 3.3.2 Local Responsibility

Local responsibility is explained in SYSC 26. In summary, by local responsibility we mean:

- a) for a *person* who is allocated local responsibility under SYSC 26.3.2R(1), ultimate responsibility (under the *governing body* of the *branch*) for managing or supervising that function and primary and direct responsibility for briefing and reporting about that function to the branch's *governing body* or equivalent and for putting matters for decision about that function to the *branch's governing body* or equivalent. SYSC 26 states that, in general, the *FCA* expects that a *person* to whom overall responsibility for a function is allocated under SYSC 26.3.2R(1) will be the most senior employee or

officer responsible for managing or supervising that function under the management of the *branch's governing body*;

- b) for a *person* who is allocated local responsibility under SYSC 26.3.2R, a *person* who is directly involved in the management of the relevant activity, business area or management function. SYSC 26 states that, the *FCA* expects that a *firm* appointing someone to have local responsibility for a function under SYSC 26.3.2R will appoint the most senior employee or officer of the *firm* with responsibility for that activity, business area or management function.

If the individual has local responsibility for any or part of the activities, business areas or management functions of a branch, please provide details of each in the table below.

Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with. The responsibility should be recorded in the same way in the statements of responsibilities for each individual.

If the individual does not have local responsibility for an activity, business area or management function of the branch, please skip this section.

A *firm* may wish to refer to SYSC 25 Annex 1G (replicated in Annex A of this form) to help it make sure it has not failed to allocate local responsibility for a particular activity of the firm. Please note that the *FCA* does not require firms to organise themselves by the functions in SYSC 25 Annex 1G, and that the Annex is not comprehensive. It is important that a firm does not fail to allocate local responsibility for business areas, activities and management functions, in line with SYSC 26.3.2R.

Please provide a title for this local responsibility	Please provide further details of this local responsibility.	Is this local responsibility shared? If 'Yes' please provide the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with (where known)
		Yes / No



I have supplied further information related to this page in Section 4

YES

NO

**3.4 Other Responsibilities**

3.4.1 Please set out below any additional responsibility, not otherwise recorded in this statement, for which a *candidate* or senior manager is to be responsible as part of their *FCA* and/or *PRA senior management function(s)*. For example, responsibilities outside the normal course of business such as those linked to high profile projects or initiatives.

EEA branches should use this section to set out below anything for which a candidate or senior manager is to be responsible as part of the FCA senior management function(s) role.

Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) the *candidate* or senior manager will be sharing this responsibility with. The responsibility should be recorded in the same way in the statements of responsibilities for each individual.

Please provide a title for this other responsibility	Please provide further details of this other responsibility	Is this other responsibility shared? If 'Yes' please provide ,the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with (where known)
		Yes / No



I have supplied further information related to this page in Section 4

YES

NO

4.1 Is there any other information the individual or the *firm* considers to be relevant?

YES  NO

If yes, please provide details below or on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Question	Information

4.2 How many additional sheets are being submitted?

**SYSC 25 Examples of the business activities and functions of an *SMCR firm***  
**Annex 1G**

Business areas and management functions	Explanation
(1) Payment services	This means: (1) <i>payment services</i> ;

Business areas and management functions	Explanation
	(2) issuing and administering other means of payment (for example, cheques and bankers' drafts); (3) issuing <i>electronic money</i> ; and (4) current accounts.
(2) Settlement	This means clearing and settlement of any transactions described in rows (3) and (6) to (9) of this annex in relation to the assets covered by (9). It also includes clearing and settlement of any transactions described in row (10).
(3) Investment management	This has the same meaning as <i>managing investments</i> with the following adjustments: (a) it covers all types of assets; and (b) the exclusions in the <i>Regulated Activities Order</i> do not apply. It also covers fund management.
(4) Financial or investment advice	This includes <i>advising on investments</i> .
(5) Mortgage advice	This has the same meaning as <i>advising on regulated mortgage contracts</i> but is expanded to cover land anywhere in the world and to cover security of any kind over land.
(6) Corporate investments	This means acquiring, holding, managing and disposing a <i>firm's</i> investments made for its own account.
(7) Wholesale sales	This means the <i>selling</i> of any <i>investment</i> to a <i>person</i> other than a <i>retail customer</i> . It does not include the activities in (1).
(8) Retail sales	This means the <i>selling</i> of any <i>investment</i> to a <i>retail customer</i> . It includes savings accounts. It does not include the activities in (1).
(9) Trading for clients	This means <i>dealing in investments as agent</i> and <i>execution of orders on behalf of clients</i> but the list of products includes money market instruments and foreign exchange.
(10) Market making	This has the same meaning as it does in <i>MIFID</i> (see the definition of market maker in article 4.1(7)).
(11) <i>Investment research</i>	
(12) Origination/syndication and underwriting	Origination and syndication include: (1) entering into or acquiring (directly or indirectly) any commitment or <i>investment</i> with a view to transferring some or all of it to others, or with a view to others investing in the same transaction; (2) sub-participation; and (3) any transaction described in the <i>Glossary</i> definition of <i>originator</i> . Underwriting includes underwriting that is not on a firm commitment basis. A commitment or <i>investment</i> includes an economic interest in some or all of it. This activity also includes the provision of services relating to such transactions.
(13) Retail lending decisions	Deciding whether, and on what terms, to lend to <i>retail customers</i> . Lending includes granting credit, leasing and hire (including finance leasing).
(14) Wholesale lending decisions	Deciding whether, and on what terms, to lend to <i>persons</i> who are not <i>retail customers</i> .

Business areas and management functions	Explanation
	Lending includes granting credit, leasing and hire (including finance leasing).
(15) Design and manufacturing of products intended for wholesale customers	Wholesale customers mean <i>persons</i> who are not <i>retail customers</i>
(16) Design and manufacture of products intended for <i>retail customers</i>	
(17) Production and distribution of marketing materials and communications	This includes <i>financial promotions</i>
(18) Customer service	This means dealing with <i>clients</i> after the point of sale, including queries and fulfilment of <i>client</i> requests
(19) Customer complaints handling	This includes the <i>firm's</i> compliance with <i>DISP</i> . It also includes: (1) any similar procedures relating to activities that do not come under the jurisdiction of the <i>Financial Ombudsman Service</i> ; (2) activities that take place outside the <i>UK</i> ; and (3) activities that are not subject to any ombudsman service.
(20) Collection and recovering amounts owed to a <i>firm</i> by its customers Dealing with customers in arrears	“Customer” means any <i>person</i> falling into any of the definitions of <i>client</i> in the <i>Glossary</i> so far as they apply to the <i>FCA's Handbook</i> . The definition is extended to cover all services provided by the <i>firm</i> and not just those that are provided in the course of carrying on a <i>regulated activity</i> or an <i>ancillary service</i> .
(21) Middle office	This means risk management and controls in relation to, and accounting for, transactions in <i>securities</i> or <i>derivatives</i>
(22) Issuing Commitments	This means the activity described in SYSC 27.7.6R(1)(i) (examples of what the significant management <i>FCA-specified significant harm function</i> can cover)
(23) Processing	This means the activity described in SYSC 27.7.6R(1)(j) (examples of what the significant management <i>FCA-specified significant-harm function</i> can cover).
(24) Human resources	This includes recruitment, training and competence and performance monitoring
(25) Incentive schemes for the <i>firm's</i> staff	This is not limited to schemes based on sales.
(26) <i>Providing information in relation to a specified benchmark</i>	
(27) <i>Administering a specified benchmark</i>	
(29) Administration of insurance	This means the activity described in SYSC 27.7.6R(1)(k) (examples of what the significant management <i>FCA-specified significant harm function</i> can cover).
<u>(30) The <i>firm's</i> information technology</u>	<u>This includes cybersecurity.</u>
<u>(31) Business continuity planning</u>	<u>If SYSC 4.1.6R and SYSC 4.1.7R (Business continuity) apply to the firm, this includes the systems and policies used to comply with those rules.</u> <u>It includes operational continuity, resilience and strategy.</u>
<u>(32) Outsourcing, procurement and vendor management</u> <u>Management of services shared</u>	

Business areas and management functions	Explanation
<u>with other group members</u>	
<u>(33) Internal operations</u>	
Note (1): The purpose of this annex is explained in SYSC 25.7 (Guidance about SYSC 25 Annex 1G) and SYSC 26.11.2G	
<p>Note (2): A <i>firm</i> does not have to use the split of example activities in this annex for the purposes in Note (1). If a <i>firm</i> does decide to use it, the firm should adapt it to suit the <i>firm</i>'s management arrangements better.</p> <p>For example, a <i>firm</i> may find the split of activities into <i>retail</i> and wholesale activities unsuitable. If so, the <i>firm</i> might:</p> <p>(a) treat <i>retail</i> and wholesale activities together; or</p> <p>(b) use its own definition of retail and wholesale activities.</p>	



Application number  
(for PRA use only)

## Form L: Notifications of breach of conduct rules and related disciplinary action in relation to a person performing a certification function or a Conduct Rules non-executive director

PRA Rulebook Reference: Notifications<sup>1</sup>

[COMMENCEMENT DATE]

A *firm* should only use this form to make a notification in relation to an employee performing a *certification function* specified by the PRA or a *Conduct Rules non-executive director*. Notifications of conduct rules breaches relating to a *person* performing a *senior management function* should be made using Form C or Form D, as set out in the Notifications Part of the Rulebook.

Name of individual  
(to be completed by firm)

Name of *firm*

Firm Reference Number (FRN)

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)

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<sup>1</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which firm type is applying. For example: CRR firms: Notifications; Non – CRR firms: Notifications; Solvency II firms: Notifications; Non-Solvency II firms: Notifications.

1.01 a	Who should the <i>PRA</i> contact at the <i>firm</i> in relation to this notification?	
b	Position	
c	Phone number	
e	E-mail	
f	Business address	
	Postcode	

**Details of individual**

<b>2.01</b>	Individual Reference Number (IRN) – if applicable		
<b>2.02</b>	Title (e.g. Mr, Mrs, Ms)		
<b>2.03</b>	Surname		
<b>2.04</b>	ALL forenames		
<b>2.05</b>	Date of birth	/ /	
<b>2.06</b>	Nationality		
<b>2.07</b>	National Insurance number (or passport number)		
<b>2.08</b>	Job Title or position		
<b>2.09</b>	Additional entities or <i>firms</i> to which the breach is relevant (FRN / <i>firm</i> name)		

This section should be completed by a firm to:

- (a) make a notification under section 64C of the Financial Services and Markets Act 2000 of disciplinary action (as defined in section 64C(2)) against a person relating to any action, failure to act or circumstance that amounts to a breach of any applicable conduct rule set out in the Rulebook;
- (b) make a follow up notification to update a determination that has previously been the subject of a notification made by the Firm in relation to (a).

**3.01** Is the firm updating a determination that has previously been the subject of a notification made under section 63C of the Financial Services and Markets Act 2000?

YES  NO

If the firm has answered “No”, please go to section 3.02.

If the firm has answered “Yes”, please go to section 3.04.

**3.02** If the firm is making a notification under section 63C of the Financial Services and Markets Act 2000 of disciplinary action relating to a breach of the conduct rules set out in Rulebook<sup>2</sup> please complete the relevant boxes below.

	Tick the rule(s) relevant to this notification
<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 FCA, the PRA and other regulators.	
<b>Senior Manager Conduct Rules<sup>3</sup></b>	
SC1: You must take reasonable steps to ensure that the business of the <u>firm</u> for which you are responsible is controlled effectively.	
SC2: You must take reasonable steps to ensure that the business of the <u>firm</u> for which you are responsible complies	

<sup>2</sup> The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Conduct Rules; Non – CRR firms: Conduct Rules; Solvency II firms: Insurance – Conduct Standards; Large Non-Solvency II Firms – Conduct Standards; and Non-Solvency II Firms – Conduct Standards.

<sup>3</sup> These senior manager conduct rules/standards are relevant to key function holders at Solvency II firms and large NDFs. In addition, SC 4 would be relevant to Conduct Rules NEDs at all PRA-regulated firms, and SC5 would be relevant to Conduct Rules NEDs at insurance firms.

with the 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 the <i>PRA</i> would reasonably expect to have notice.	
SC5: When exercising your responsibilities, you must pay due regard to the interests of current and potential future <i>policyholders</i> in ensuring the provision by the <i>firm</i> of an appropriate degree of protection for their insured benefits.	

### 3.03

- a Date when breach(es) came to the attention of the firm:
- b Date or period of breach(es):
- c Details of the breach(es):

### 3.04

- a Date of previous notification to which this update relates
- b Update details:



Knowingly or recklessly giving the *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 *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 addition to other regulatory responsibilities, *firms* have a responsibility to disclose to the *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *PRA* of such information may lead to the *PRA* taking action against the *firm*.

For the purposes of complying with the Data Protection Act 1998, the personal information in this form may be used by the *PRA* to discharge its statutory functions under FSMA and other relevant legislation, and will not be disclosed for any other purposes without the permission of the *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 *PRA* 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 it is duly authorised by such *firm(s)* to make such submission.

The *PRA* may seek to verify the information given in this form and make such enquiries and seek further information as it considers appropriate. The *firm* authorises the *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.

**I confirm that a permanent copy of this notification, signed by the *firm*, will be retained by the *firm* for an appropriate period, for inspection at the *PRA*'s request.**

**I confirm that I have read and understood the declaration.**

**I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.**

<b>4.01</b>	Name of <i>firm</i>	
<b>4.02</b>	Name of <i>person</i> signing on behalf of the <i>firm</i>	
<b>4.03</b>	Job title	
<b>4.04</b>	Signature	
	Date	/ /



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY

## Form M: Notification of non SMF appointment

**Notification of the appointment of a Non-Executive Director or Key Function Holder**  
*PRA Rulebook Reference: Fitness and Propriety<sup>1</sup>*

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-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)

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

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<sup>1</sup> In this Form M the relevant section of the *PRA Rulebook* should be referred to depending on which firm type is applying. For example: CRR firms: Fitness and Propriety 4.2; Solvency II firms: Insurance – Fitness and Propriety 4.1; Key Function Holders – Notifications 2.3; Large Non – Solvency II firms, Fitness and Propriety 4 unless started otherwise.



## Contact information

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

b Position

c Phone number

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)

**2.03** Surname

**2.04** ALL forenames

**2.05** Name commonly known by

**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 address

Postcode



I have supplied further information related to this section

YES

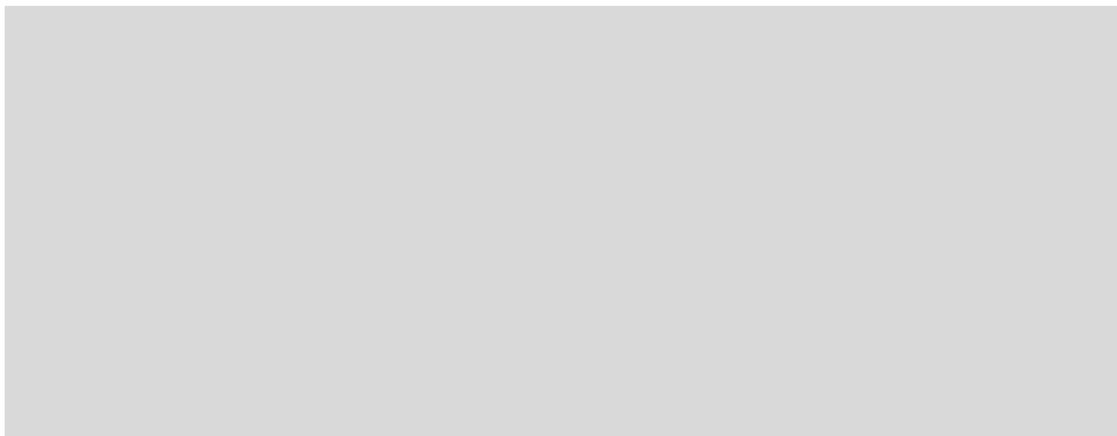
NO

## Description of the position being notified

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



**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>2</sup>



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



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<sup>2</sup> If more space is required please detail on a separate sheet and attach to the Supplementary Information section of this form.

**3.07** Please note how many other appointments the appointee 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 Key Function Holders only**

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

**3.10** Is the appointee currently approved for a *PRA* or *FCA* senior management 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 appointee applying on a separate form to perform a *PRA* or *FCA* *controlled function* at the same *firm* or any other *firm* within that *group*?



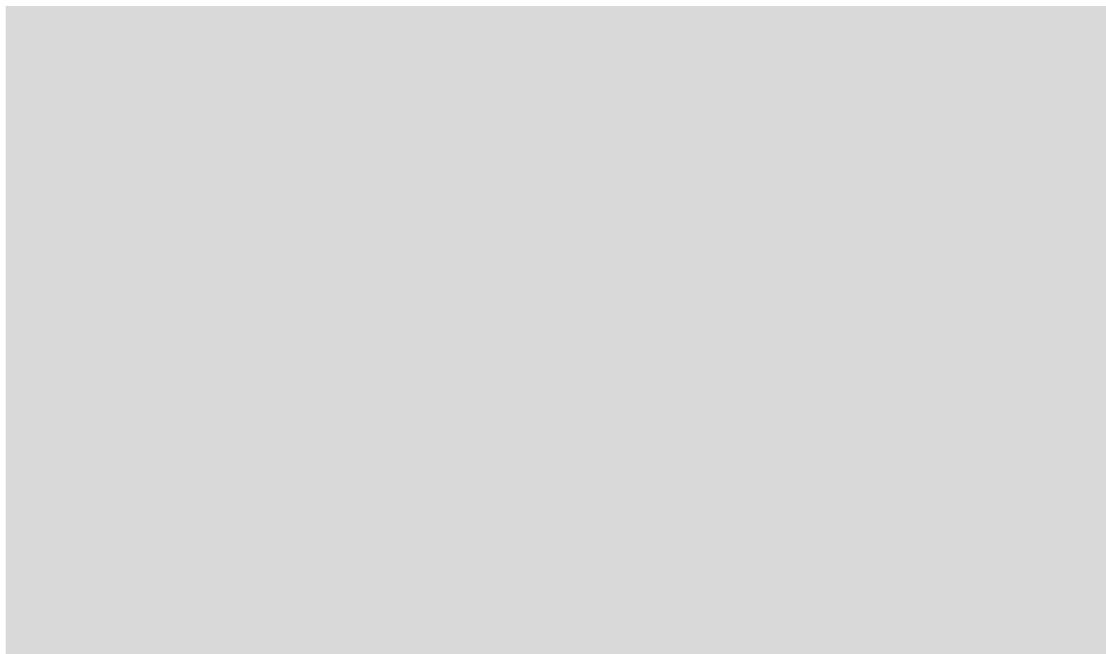
**I have supplied further information related to this section**

YES

NO

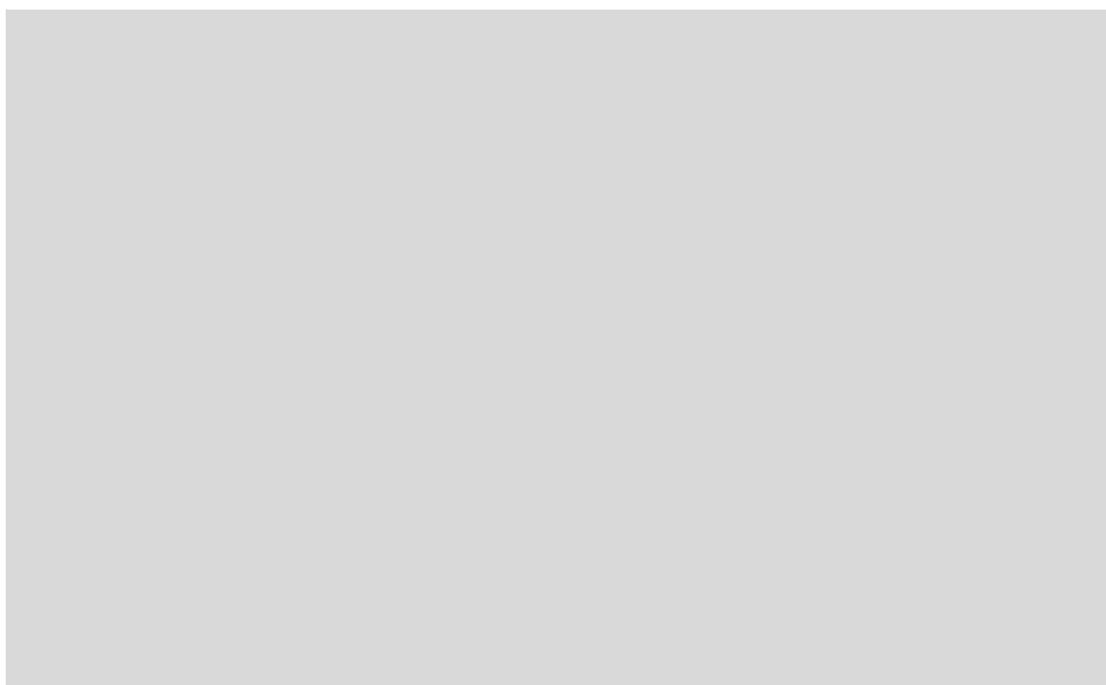
4.01

**Criminal Proceedings** – Has the appointee **ever** been convicted of any criminal offence (excluding spent convictions and 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?



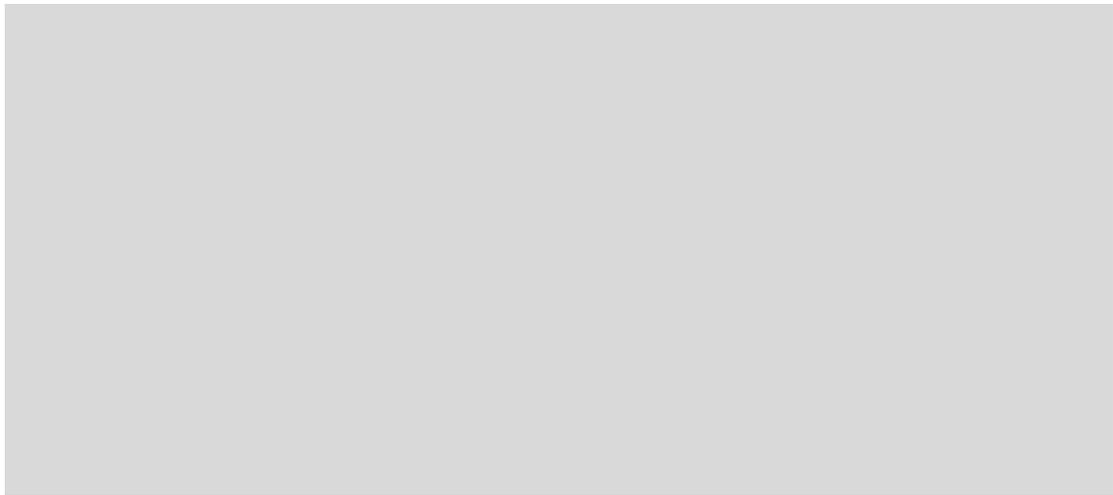
4.02

**Civil Proceedings** –As the appointee **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 within one year of the order being made? 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

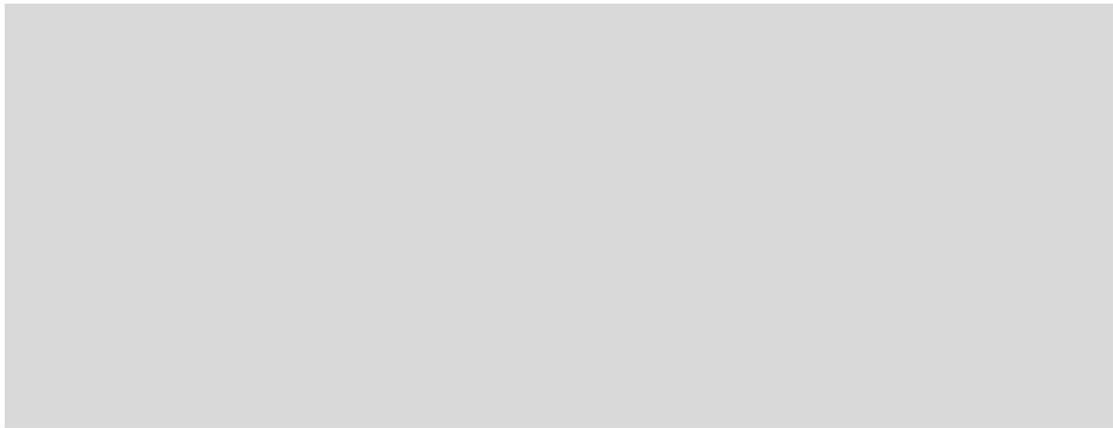
**Conflicts of Interest** – Does the appointee have any potential conflicts of interest such as other appointments at, or close relatives with financial relations to, the *firm(s)* subject to this notification, or qualifying ownership or any other form of substantial influence in the *firm(s)*?



4.04

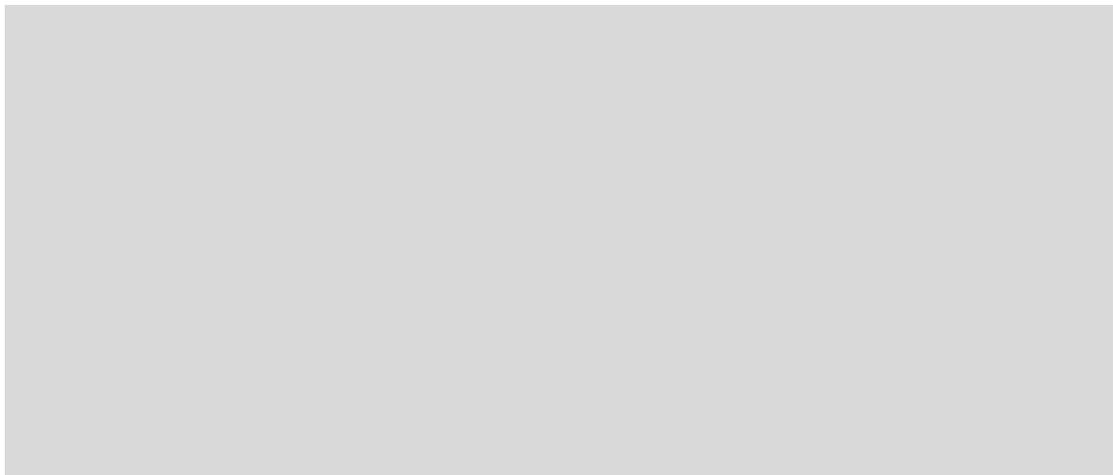
**Business and Employment Matters** –Has the appointee **ever** been

- (i) dismissed from employment as a senior executive or subject to termination of an engagement as a board member or auditor in a *firm*, other financial institution or company?
- (ii) disqualified from acting as a director or similar position?
- (iii) the subject of proceedings of a disciplinary nature?
- (iv) refused entry to, dismissed, suspended or requested to resign from any profession, vocation, office, employment or from any fiduciary office or position of trust (whether or not remunerated)?



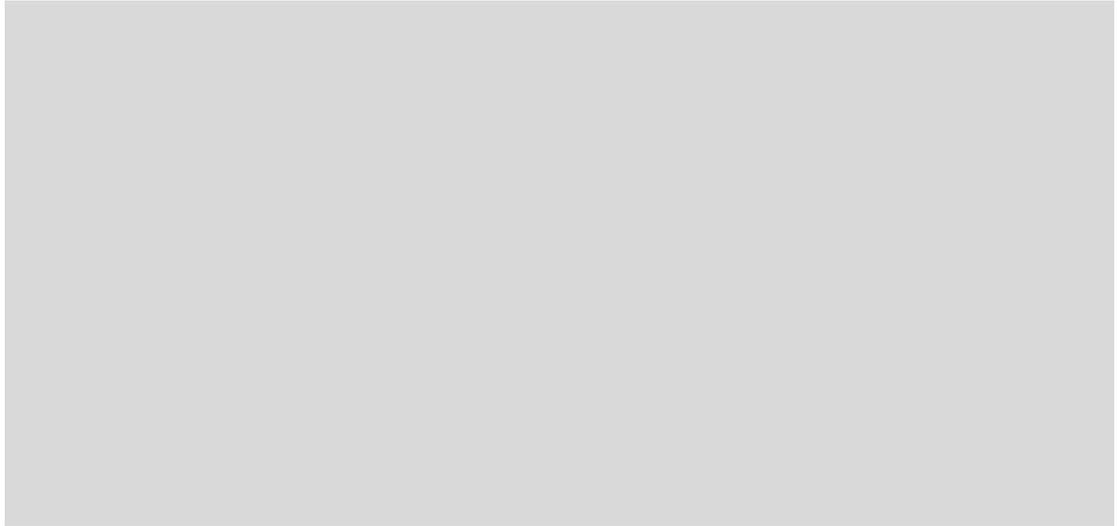
4.05

**Regulatory Matters** – In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body, has the appointee ever been the 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

**5.01.6** Has / Have a reference or references been obtained from current and previous employer(s) in accordance with the requirements of the *PRA*?  
If No, please provide details why the reference or references has/have not been obtained. 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.

## 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 of the Financial Services and Markets Act 2000 – ‘FSMA’). Rule 6 of the Notifications Part of the *PRA Rulebook* require a *firm* 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 in the *PRA Rulebook* provides that a *firm* must require any *key function holder* or *notified non-executive director* to disclose appropriately any information of which the *PRA* would reasonably expect notice. Contravention of these requirements may lead to disciplinary or other 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.**

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

6.02 Job title

6.03 Signature

6.04 Date

## Declaration of Appointee

Knowingly or recklessly giving the *PRA* information which is false or misleading in a material particular may be a criminal offence (sections 398 of the Financial Services and Markets Act 2000 – ‘FSMA’).

The appointee confirms that the information provided in this notification is accurate and complete to the best of their knowledge. 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 they may be required to apply for a search to be made as to whether any criminal records are held in relation to them 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 FSMA (Service of Notices) 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 FSMA and other relevant legislation, and will not be disclosed for any other purpose without the permission of the appointee.

The appointee confirms that they understands the regulatory responsibilities of the proposed role as set out in the following Parts of the *PRA Rulebook*: Conduct Rules, Insurance - Conduct Standards or Large Non-Solvency II Firms – Conduct Standards (as applicable).

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 the person who signs the notification.

**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.**

6.05 Name

6.06 Signature of appointee

6.07 Date