



**Bank of England**  
Prudential Regulation Authority

Application number  
(for FCA/PRA use only)

## 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>1</sup>

28 May 2021

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

Name of *firm*  
(as entered in 4.01)

Financial Conduct Authority  
12 Endeavour Square  
Stratford  
London E20 1JN  
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  
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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>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

## 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

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**Contact Details** **Section 1**

**1.01** 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.

Title	
First name	
Surname	
Job title	
Business address	
Postcode	
Phone number	
Email address	




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

YES

NO

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**Details to be changed** **Section 2**

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 

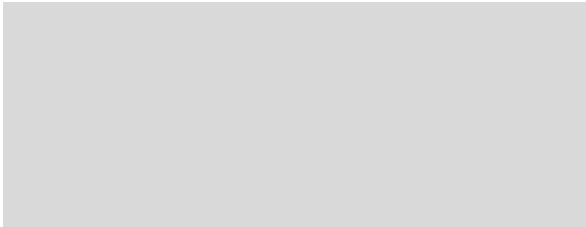
2.06 Nationality 

2.07 Passport number 

2.08 Job title or position 

2.09 Notification of absence/return from absence 

2.10 Effective date of change 

2.11 Reason for change (not required for 2.09) 

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➔ 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
<i>Appointed representative</i>	<input type="checkbox"/> Continue to Question 3.04
Other <i>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*?

*Appointed Representative Firm* Reference Number

*Firm* name

Effective date (dd/mm/yy)

**Appointed Representative 2**

Are you adding or removing an *appointed representative*?

Add  Remove

*Appointed Representative Firm* Reference Number

*Firm* name

Effective date (dd/mm/yy)

**Appointed Representative 3**

Are you adding or removing an *appointed representative*?

Add  Remove

*Appointed Representative Firm* Reference Number

*Firm* name

Effective date (dd/mm/yy)

**Appointed Representative 4**

Are you adding or removing an *appointed representative*?

Add  Remove

*Appointed Representative Firm* Reference Number

*Firm* name

Effective date (dd/mm/yy)

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**Firm Identification Details** **Section 4**

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			

Draft for consultation



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

# Fitness and Propriety

# Section 5

Only complete Section 5 if the notification relates to changes to the *approved person's* fitness and propriety.

**5.01** 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.

<b>5.01.1a</b>	Has the <i>approved person</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>UK</i> ):	
	i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or	YES <input type="checkbox"/> NO <input type="checkbox"/>
	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>	
<b>b</b>	Is the <i>approved person</i> currently the subject of any criminal proceedings, whether in the <i>UK</i> or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>approved person</i> <b>ever</b> been given a caution in relation to any criminal offence?-	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	Has the <i>approved person</i> any convictions for any offences other than those in <b>5.01.1</b> above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.3</b>	Is the <i>approved person</i> the subject of any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
	 I have supplied further information related to this page in Section 7	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>approved person</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?	YES <input type="checkbox"/> NO <input type="checkbox"/>



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>	<p>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)?</p> <p>Please give a full explanation of the events in question.</p> <p>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</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgement debts, awards or CCJs ordered.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.2</b>	<p>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 <b>5.02.1</b> above)? (the <i>approved person</i> should include, for example, injunctions and employment tribunal proceedings.)</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.3</b>	<p>Is the <i>approved person</i> aware of:</p>	
<b>a</b>	<p>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?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>b</b>	<p>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?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.4</b>	<p>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?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.5</b>	<p>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?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>



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

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**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

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**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

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## 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 <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 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 <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 <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 <i>firm</i> )	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:

- 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 *approved person*? 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 *approved person*? 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 of the 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 7 YES  NO

**5.05 Other Matters**

**5.05.1** Is the *approved person*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the *controlled functions* (including *senior management functions*) for which approval is now being sought? YES  NO

**5.05.2** **5.05.2 should only be answered if the *firm* is a Solvency II insurer.**  
Does the *approved person* 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 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"/>
<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>approved person</i> or the <i>firm</i> aware of any other information relevant to this notification that the <i>FCA/PRA</i> might reasonably expect	YES <input type="checkbox"/>	NO <input type="checkbox"/>

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

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<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'.



# 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, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards and Large Non-Solvency II Firms – Conduct Standards*
- (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.15*, or in the case of the *PRA, Notifications in the Rulebook*<sup>3</sup>).

## 6.01 Initial or update on previous notification

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

YES  NO

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

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

**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"/>
Rule 6: You must act to deliver good outcomes for retail customers.	<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 <i>policyholders</i> in ensuring the provision by the <i>firm</i> 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.

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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? [ ]

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## Supporting Documents

7.03 Indicate the required supporting documents to accompany this form.

Documents

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## Declarations and signatures

## Section 8

### 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*.

### DECLARATION OF 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.**

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

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

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

These notices will tell you what to expect when the *FCA* and/or the *Bank of England* collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

#### 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.

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

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

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

These notices will tell you what to expect when the *FCA* and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

**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*

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

8.05 Job title

8.06 Signature

Date

Draft for consultation