

BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY



Application number (for FCA/PRA use only)

# 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>1</sup>

1 October 2020

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

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

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<sup>&</sup>lt;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; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Senior Managers Regime – Applications; Non-*Solvency II firms*: Insurance - Senior Managers Regime – Applications; Non-*Solvency II firms*: Senior Managers Regime – Applications; Non-*Solvency* = Senior Managers; Senior Managers Regime – Applications; Non-

### Personal identification details

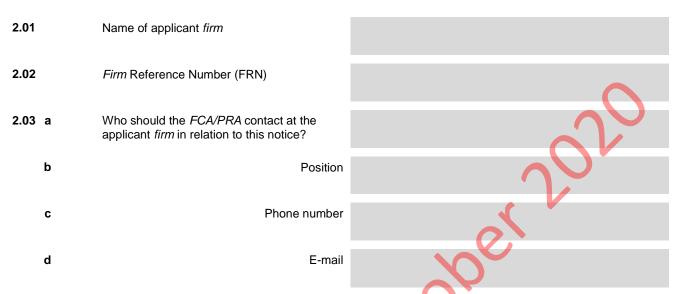
# 1.01 Candidate/Approved Person Individual Reference Number (IRN) 1.02 Title (e.g. Mr, Mrs, Ms) 1.03 Surname 1.04 ALL forenames 1.05 Date of birth 1.06 National Insurance number 1.07 Candidate/Approved Person's private address 1.08 Phone number flective fr 1.09 I have supplied further information NO YES related to this page in Section 4

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### Section 1

### Firm identification details

Section 2



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)



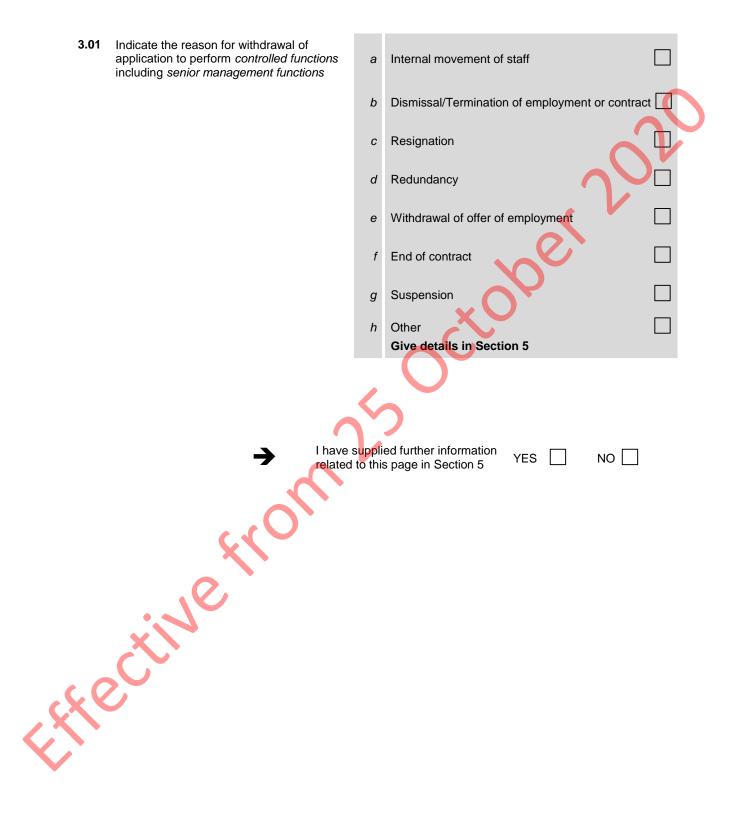
If this is notice to withdraw an application to perform *controlled functions* (including *senior management functions*), please complete Sections 3, 5, and 6.

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.

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### **Reason for Withdrawal**

#### **Section 3**



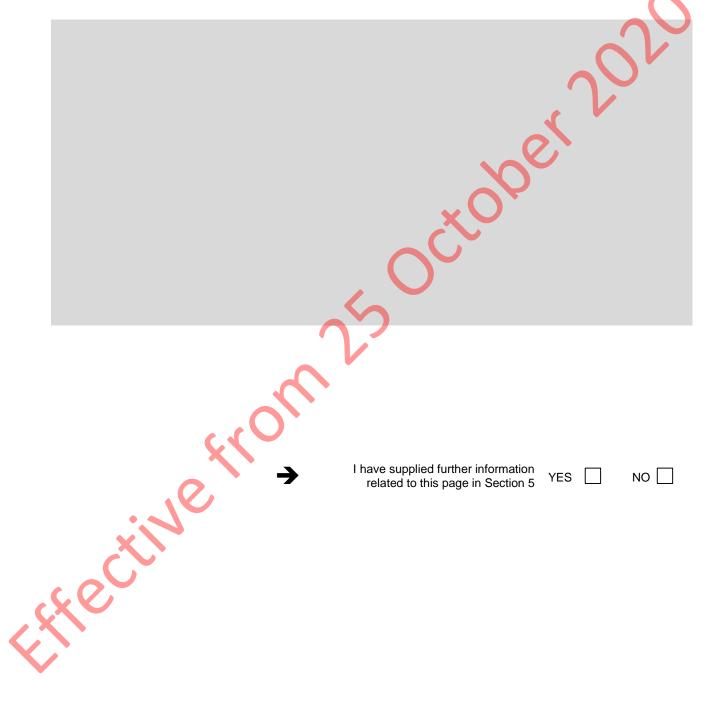
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### **Reason for Withdrawal**

Section 4

# 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).



## **Supplementary Information**

**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
	ton

5.02 How many additional sheets are being submitted?

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#### Declarations

### **Section 6**

### 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 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 gueries or wish to exercise your rights

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.

- 6.01 Candidate/approved person's full name
- 6.02 Signature

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

Date

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

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

#### **DECLARATION BY APPLICANT FIRM**

queries or wish to exercise your rights.

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 (*FCA*) and Notifications in the *PRA Rulebook* (*PRA*)<sup>2</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.

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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.

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

<sup>&</sup>lt;sup>2</sup> The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying.