
Powers exercised
A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):

   (1) Section 60 (Applications for Approval);
   (2) Section 62A (Changes to responsibilities of senior managers);
   (3) Section 137G (The PRA’s general rules); and
   (4) Section 137T (General supplementary powers).

B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Pre-conditions to making
C. In accordance with section 138J of the Act (consultation by the PRA), the PRA consulted the Financial Conduct Authority. After consulting, the PRA published a draft of proposed rules and had regard to representations made.

PRA Rulebook: CRR Firms: Non-CRR Firms: Solvency II Firms: Non-Solvency II Firms: Senior Managers Regime – Applications and Notifications (Amendment) Instrument 2020

D. The PRA makes the rules in the Annexes to this instrument.

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Commencement
E. This instrument comes into force on 25 October 2020

Citation
F. This instrument may be cited as the PRA Rulebook: CRR Firms: Non-CRR Firms: Solvency II Firms: Non-Solvency II Firms: Senior Managers Regime – Applications and Notifications (Amendment) Instrument 2020.

By order of the Prudential Regulation Committee

2 September 2020
Annex A

Amendments to Senior Managers Regime – Applications and Notifications Part

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

2 APPLICATION TO PERFORM A PRA SENIOR MANAGEMENT FUNCTION

2.7 ...

(2) A statement of responsibilities must be in the form set out here here.

8 FORMS

8.1 (1) Form A (long form) may be found here here.

(2) Form A (shortened form) may be found here here.

(3) Form B may be found here here.

(4) Form C may be found here here.

(5) Form D may be found here here.

(6) Form E may be found here here.
Annex B

Amendments to Insurance – Senior Managers Regime – Applications and Notifications Part

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

...  

7 FORMS

7.1

(1) Form A (long form) may be found here here.

(2) Form A (shortened form) may be found here here.

(3) Form B may be found here here.

(4) Form C may be found here here.

(5) Form D may be found here here.

(6) Form E may be found here here.

(7) The statement of responsibilities form may be found here here.
Annex C

Amendments to Large Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications Part

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

7 FORMS

7.1

(1) Form A (long form) may be found here here.

(2) Form A (shortened form) may be found here here.

(3) Form B may be found here here.

(4) Form C may be found here here.

(5) Form D may be found here here.

(6) Form E may be found here here.

(7) The statement of responsibilities form may be found here here.
Annex D

Amendments to Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications Part

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

7 FORMS

7.1

(1) Form A (long form) may be found here here.

(2) Form A (shortened form) may be found here here.

(3) Form B may be found here here.

(4) Form C may be found here here.

(5) Form D may be found here here.

(6) Form E may be found here here.

(7) The statement of responsibilities form may be found here here.