

PRA RULEBOOK: CRR FIRMS, NON-CRR FIRMS, SOLVENCY II FIRMS, NON-SOLVENCY II FIRMS: SENIOR MANAGER REGIME FORMS (NO. 2) INSTRUMENT 2023

Powers exercised

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137G (The PRA’s general rules);
 - (2) section 137T (General supplementary powers);
 - (3) section 60 (Applications for approval);
 - (4) section 62A (Changes in responsibilities of senior managers); and
 - (5) section 64C (Requirement for authorised person to notify regulator of disciplinary action).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

PRA Rulebook: CRR Firms, Non-CRR Firms, Solvency Firms II, Non-Solvency II Firms: Senior Manager Regime Forms (No. 2) Instrument 2023

- C. The PRA makes the rules in the Annexes to this instrument.

Part	Annex
Senior Managers Regime – Applications and Notifications	A
Insurance – Senior Managers Regime – Applications and Notifications	B
Large Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications	C
Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications	D
Notifications	E

Forms

- D. The rules in this instrument include any forms referred to in the rules. Where indicated by “here”, the rules when published electronically will include a hyperlink to the appropriate document.

Commencement

- E. This instrument comes into force on 21 December 2023.

Citation

- F. This instrument may be cited as the PRA Rulebook: CRR Firms, Non-CRR Firms, Solvency II Firms, Non-Solvency II Firms: Senior Manager Regime Forms (No. 2) Instrument 2023.

By order of the Prudential Regulation Committee

13 December 2023

Annex A

Amendments to Senior Managers Regime – Applications and Notifications Part

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

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8 FORMS

8.1 ...

(4) Form C may be found ~~here~~ [here](#).

(5) Form D may be found ~~here~~ [here](#).

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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.

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7 FORMS

7.1 ...

(4) Form C may be found ~~here~~here.

(5) Form D may be found ~~here~~here.

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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.

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7 FORMS

7.1 ...

(4) Form C may be found ~~here~~[here](#).

(5) Form D may be found ~~here~~[here](#).

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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.

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7 FORMS

7.1 ...

(4) Form C may be found ~~here~~[here](#).

(5) Form D may be found ~~here~~[here](#).

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Annex E

Amendments to Notifications Part

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

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11 CONDUCT RULES: NOTIFICATIONS

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11.9 (1) Form C may be found ~~here~~here.

(2) Form D may be found ~~here~~here.

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