

1. MIFIDPRU TP7 Annex 1R
	1. Notification under MIFIDPRU TP 7.4R(2)(b) on treating pre-MIFIDPRU capital instruments as own funds under MIFIDPRU 3

 **1 Details of Senior Manager responsible for this notification**

If the notification is being made in respect of a MIFIDPRU investment firm or another SMCR firm, we would expect the individual responsible for it to hold a senior management function (SMF).

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| --- | --- |
| Name of individual |       |

|  |  |
| --- | --- |
| Job title /position |       |

|  |  |
| --- | --- |
| Individual reference number (if applicable) |       |

 **2 Please confirm which of the following the notifying firm will be under MIFIDPRU**

|  |  |
| --- | --- |
| a. MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking | [ ]  |
| b. MIFIDPRU investment firm that is a consolidating UK parent entity | [ ]  |
| c. MIFIDPRU investment firm that is a GCT parent undertaking | [ ]  |
| d. Consolidating UK parent entity (other than a MIFIDPRU investment firm) | [ ]  |
| e. GCT parent undertaking (other than a MIFIDPRU investment firm) | [ ]  |

 **3 This notification is made in respect of the following capital instruments issued by the entity before 1 January 2022 and which will still be in issue on that date**

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| **Type of instruments** | **Nominal value of instruments**  | **Treatment under MIFIDPRU** |
|       |       | Select one of the following for each type of instrument:[ ]  CET1[ ]  AT1[ ]  T2 |
|       |       | Select one of the following for each type of instrument:[ ]  CET1[ ]  AT1[ ]  T2 |
|       |       | Select one of the following for each type of instrument:[ ]  CET1[ ]  AT1[ ]  T2 |
|       |       | Select one of the following for each type of instrument:[ ]  CET1[ ]  AT1[ ]  T2 |
|       |       | Select one of the following for each type of instrument:[ ]  CET1[ ]  AT1[ ]  T2 |

 **4 Please confirm that the instruments above meet the relevant conditions for classification as own funds under MIFIDPRU, aside from any requirement to notify or seek permission from the FCA.**

[ ]  Yes