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**Application for authorisation**  
**Third party providing STS verification services form**

**Full legal entity name of applicant firm**

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**Important information you should read before completing this form**

This application for authorisation can be used to provide information:

1. required by Regulation (EU) 2017/2402 and related Commission Delegated Regulation (EU) 2019/885.
2. to enable the FCA to process the application and prepare for the ongoing supervision of the firm (such as information relating to fees).

Please keep a copy of your completed forms and any supporting documents you include in your application pack for future reference.

The FCA processes personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy) .

**It is important that you provide accurate and complete information.  Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000).  If necessary, please take appropriate professional advice before supplying information to us.**

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**Terms in this application pack**

In this application pack we use the following terms:

* 'you' refers to the person(s) signing the form on behalf of the applicant firm
* 'the applicant firm' refers to the firm applying for registration
* ‘we’, ‘us’, ‘our’ or ‘FCA’ refers to the Financial Conduct Authority
* ‘the Regulation’ refers to Regulation (EU) 2017/2402 of the European Parliament and of the Council laying down a general framework for securitisation and creating a specific framework for simple, transparent and standardised securitisation, and amending Directives 2009/65/EC, 2009/138/EC and 2011/61/EU and Regulations (EC) No 1060/2009 and (EU) No 648/2012
* ‘RTS’ means the Regulatory Technical Standards on the information to be provided to the competent authorities in the application for the authorisation a third party verifying STS compliance
* ‘management body’ of a third party means the body or bodies of a third party, which are appointed in accordance with national law, which are empowered to set the entity’s strategy, objectives and overall direction, and which oversee and monitor management decision-making and include persons who effectively direct the business of the entity;
* ‘independent directors’ mean those directors that are neither directors, members of the management body nor employees of any of the other undertakings within the group and are free of any business, family or other relationship with the third party and any other undertaking within the group that gives rise to a conflict of interest such as to impair their judgment.
* ‘STS’ refers to Simple, Transparent and Standardised securitisations as defined in the Regulation

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**Filling in the form**

**1** If you are using your computer to complete the pack:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* save all the parts of the pack you have completed and attach to your application

**2** If you think a question is not relevant to you, write 'not applicable' and explain why.

**3** If you leave a question blank or do not attach the required supporting information we may have to treat the application as incomplete. This will increase the time taken to assess your application.

**4** If there is not enough space on the forms you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**5** If you are relying on other documents to answer any questions in this form, please include a link/reference to the relevant information and indicate clearly in which specific section of the documentation the answer can be found. If this is not provided we will consider your application incomplete.

**6** Email the application consisting of:

* this Application for authorisation
* any supporting documents to us at: [TPV.Applications@fca.org.uk](mailto:TPV.Applications@fca.org.uk)

**7** Send a cheque to us at: The Financial Conduct Authority, 12 Endeavour Square, London, E20 1JN

**8** At the point of authorisation we expect the applicant firm to be ready, willing and organised to start business.

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| 1 | Identification of the applicant  Use this section to provide the information required under article 2 of the RTS, in addition to related information that we need for domestic purposes.  As such, please refer to the RTS when completing this section and satisfy yourself that you have provided all the information specified. |

**1.1 If the applicant firm will be using any trading names which you would like to include on our register please state these.**

|  |  |
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| Name |  |

**1.2 You must confirm that the applicant firm is based in the United Kingdom.**

I confirm that we are based in the United Kingdom

**1.3 Date of establishment (dd/mm/yyyy)**

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**1.4 Registered office address**

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| Registered office address |  |
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|  |
| Postcode |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Email address |  |

**1.5 Do you have a website address?**

No

Yes, live⏵Give address below

Yes, being developed⏵Give address (if known) and launch date below

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Legal status of the applicant firm

**1.6 What type of firm is the applicant firm?**

Sole trader (or natural person)

Private limited company

Partnership (other than limited partnership or limited liability partnership)

Limited liability partnership

Public limited company

Limited partnership

Unincorporated association

Other ⏵ You must detail below the legal status of the applicant firm

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**1.7 Where was the applicant firm incorporated or formed?**

England/ Wales

Scotland

Northern Ireland

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**1.8 Applicant firm’s Companies House number**

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Articles of incorporation

**1.9 You must attach an excerpt from the relevant commercial or court register, or other form of evidence of your place of incorporation and scope of business activity, as of the application date.**

Attached

Financial statements

**1.10 You must attach a complete set of the applicant firm’s most recent annual financial statements, including individual and consolidated financial statements, where available; and where the financial statements are subject to statutory audit within the meaning given by Article 2(1) of Directive 2006/43/EC, the audit report on these financial statements. Please select not applicable only if the applicant firm does not yet have any annual financial statements.**

Attached

Not applicable

Contact for this application

**1.11 Contact details of the person we will get in touch with about this application.**

This must be someone who works for the applicant firm, and not a professional adviser.

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| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First name(s) |  |

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title |  |

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| --- | --- |
| Business address |  |
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| Postcode |  |

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| --- | --- |
| Phone number (including STD code) |  |

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| --- | --- |
| Mobile number (optional) |  |

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| Email address |  |

Member States in which STS assessment services will be provided

**1.12 You must attach a list of Member States the applicant firm intends to provide STS assessment services.**

Attached

Types of securitisations

**1.13 You must attach a** **list of types of securitisation the applicant firm intends to offer STS assessment services (ie. distinguishing between non ABCP securitisations and ABCP securitisations/programmes).**

Attached

Other services provided

**1.14 You must provide a description of any services, other than the third party STS assessment services, the applicant firm provides or intends to provide, whether or not these are subject to authorisation or regulation.**

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Only verification services provided

Advisory and other services

**1.15 You must attach a list of parties to whom the applicant firm currently provides advisory, audit or equivalent services.**

Attached

No advisory, audit or equivalent services provided

Ownership

**1.16 You must attach a list containing the name and business address of each person or entity who holds 10% or more of the applicant firm’s capital or voting rights or whose holding makes it possible to exercise otherwise a significant influence over the firm. This list should include:**

* **the percentage of the capital and voting rights held, together with, where applicable, a description of the arrangements allowing the person or entity to exercise a significant influence over the firm’s management; and**
* **the nature of the business activities of the entities referred to in the list.**

Attached

**1.17 You must attach a list containing the name and business address of any undertakings in which a person referred to in Question 1.16 holds 20% or more of the capital or voting rights, together with the description of their business activities.**

Attached

**1.18 Does the applicant firm have a parent undertaking?**

Yes⏵You must provide details below stating whether the immediate parent undertaking, and/or ultimate parent undertaking, is authorised or registered or subject to supervision, and when this is the case, state any associated reference number and the name of the responsible supervisory authority.

No

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**1.19 Does the applicant firm have subsidiaries or branches?**

Yes⏵You must attach a list identifying their names and business addresses and describing the areas of business activities of each subsidiary or branch.

No

Ownership chart

**1.20 You must attach a chart showing the ownership links between the applicant firm, its parent undertaking and ultimate parent undertaking, subsidiaries, affiliates as well as any other entities associated or connected in a network as defined in point 7 of Article 2 of Directive 2006/43/EC.**

The undertakings shown in the chart shall be identified by their full name, LEI (or, if not available, another identifier required in line with the applicable national law), legal form and business address.

Attached

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| 2 | Composition of the management body and the organisational structure  Use this section to provide the information required under article 3 of the RTS.  As such, please refer to the RTS when completing this section and satisfy yourself that you have provided all the information specified. |

Internal governance

**2.1 You must attach the applicant firm’s internal governance policies and the terms of procedure which govern the applicant firm’s management bodies, independent directors and, where established, committees or substructures of its management bodies.**

Attached

Composition of the management body

**2.2 You must attach a description of the composition of the applicant firm’s management body, identifying its members, and, if applicable, the composition of committees or other substructures set-up within the management body. Independent directors must be identified separately. For each member of the management body, including independent directors, you must describe the position held within the management body, the responsibilities allocated to that position and the time needed to fulfil them.**

Attached

Organisational chart

**2.3 You must attach an organisational chart detailing the applicant firm’s organisational structure that clearly identifies both significant roles and the member or members of the management body responsible for each significant role.**

If you provide or intend to provide other services than the STS assessment services, the organisational chart must also provide the identity and responsibility of the members of the management body for those services.

Attached

Information on the members of the management body

**2.4 You must provide personal identification details for each member of the management body as well as a copy of the curriculum vitae for each member of the management body.**

This should include the following information:

* Full name and title of the member, and any previous names
* Date of birth, nationality, National Insurance number (Passport number if National Insurance number not available)
* Private address, and any previous addresses covering the last three years
* An overview of the member’s post-secondary education;
* The member’s complete employment history with relevant dates, positions held and a description of the positions occupied; and
* Any professional qualification the member holds, together with the date of acquisition and, if applicable, the status of any membership in a relevant professional body.

Attached

**2.5 You must attach details of any criminal convictions of any member of the management body, in particular in the form of an official criminal record certificate.**

Attached

**2.6 You must attach a self-declaration from each member of the management body that states whether the relevant person falls under any of the following categories:**

* has been subject to an adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority, government body, or agency;
* has been subject to an adverse judicial finding in civil proceedings before a court, including for impropriety or fraud in the management of a business;
* has been part of the management body (board or senior management) of an undertaking whose registration or authorisation was withdrawn by a regulatory authority, government body, or agency;
* has been refused the right to carry on activities which require registration or authorisation by a regulatory authority, government body, or agency;
* has been part of the management body of an undertaking that went into insolvency or liquidation while they were part of its management body or within a year of them ceasing to be so;
* has been part of the management body of an undertaking which was subject to an adverse decision or penalty by a regulatory authority, government body, or agency;
* has been disqualified from acting as a director, disqualified from acting in any managerial capacity, dismissed from employment or other appointment in an undertaking as a consequence of misconduct or malpractice;
* has been otherwise fined, suspended, disqualified, or been subject to any other sanction, including in relation to fraud or embezzlement by a regulatory authority, government body, agency, or professional body; and
* is subject to any current investigation, or pending judicial, administrative, disciplinary or other proceedings, including relation to fraud or embezzlement by a regulatory authority, government body, agency, or professional body.

Attached

**2.7 You must attach for each member of the management body a signed declaration of any potential conflict of interest that the member of the management body may have in performing their duties and how these conflicts are managed. This declaration should include an inventory of any positions held in other undertakings, including as independent directors.**

Attached

**2.8 Unless provided as part of Question 2.4, you must provide for each member of the management body a description of the member’s knowledge of and experience in the tasks relevant for the applicant’s provision of STS assessment services, and in particular, knowledge of and experience in different types of securitisation or securitisations of different underlying exposures.**

Attached

**2.9 You must provide the following information for each independent director (i.e. non-executive):**

* details of the director’s independence within the management body
* information on any past or present business, employment or other relationships that creates or might create a potential conflict of interest
* information on any business, family or other relationship, with the third-party applicant, its controlling shareholder or the management of either, that creates or might create a potential conflict of interest.

Attached

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| 3 | Corporate governance  Use this section to provide the information required under article 4 of the RTS.  As such, please refer to the RTS when completing this section and satisfy yourself that you have provided all the information specified. |

**3.1 Does the applicant firm adhere to a recognised corporate governance code of conduct, in respect of the nomination and the role of the independent directors and the management of conflicts of interest?**

No⏵Continue to Section 4

Yes⏵You must identify the code below

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**3.2 You must describe any situations where you deviate from the code identified in Question 3.1 in respect of the nomination and the role of the independent directors and the management of conflicts of interest.**

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| 4 | Independence and avoidance of conflicts of interest  Use this section to provide the information required under article 5.  As such, please refer to the Regulations when completing this section and satisfy yourself that you have provided all the information specified. |

**4.1 You must attach detailed information relating to the applicant firm’s internal control systems for managing conflicts of interest.**

This must include a description of your compliance function and your risk assessment arrangements in that respect.

Attached

**4.2 You must attach information regarding the policies and procedures for the identification, management, elimination, mitigation and disclosure without delay of existing or potential conflicts of interest and threats to the independence of the STS assessment.**

Attached

**4.3 You must attach a description of any other measures and controls put in place to ensure the proper and timely identification, management and disclosure of conflicts of interest.**

Attached

**4.4 You must attach an up-to-date inventory of any potential or existing conflicts of interest identified by you in accordance with Article 28(1)(f) of Regulation (EU) 2017/2402. This should include:**

* any actual or potential conflicts of interest involving third parties, shareholders, owners or members of the applicant firm, members of the management body, managers, employees of the applicant firm or any other natural person whose services are placed at the disposal or under the control of the applicant firm
* any actual or potential conflicts of interest arising from your existing or envisaged business relationships, including any existing or envisaged outsourcing arrangements or from the applicant firm’s other activities

Attached

**4.5 You must attach policies or procedures that aim to ensure that the applicant firm will under no circumstances provide any form of advisory, audit or equivalent services to the originator, sponsor, or the SSPE involved in the securitisation whose STS compliance it assesses.**

Attached

**4.6 You must give details below of the revenue from other non-STS assessment related services provided by the applicant firm, disaggregated to the revenue from non-securitisation-related services and the revenue from securitisation-related services, over each of the 3 annual reporting periods preceding the date of the submission of this application, or if not available since your incorporation.**

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**4.7 You must give details below of the projected proportion of revenue from providing STS assessment services compared with the total projected revenue for the forthcoming 3 years’ reference period.**

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**4.8 Where applicable, you must provide the following information on the concentration of revenue from a single undertaking or a group of undertakings (if not applicable, please write ‘N/A’ in the relevant box):**

**(a) Information identifying any undertaking or any group of economically connected undertakings that provided more than 10% of the applicant firm’s total revenue, over each of the 3 annual reporting periods preceding the date of the submission of this application, or if not available, since incorporation date.**

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**(b) A statement whether according to applicant firm’s budgets or projections, an undertaking or a group of economically connected undertakings is projected to provide at least 10% of the applicant firm’s projected revenue from providing STS assessment services over each of the next 3 years.**

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**4.9 Where applicable, you must attach an assessment of how a concentration of revenue from a single undertaking or a group of economically connected undertakings identified in Question 4.8 is compatible with the policies and procedures for threats to the independence of the STS assessment referred to in Question 4.2.**

Attached

N/A

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| 5 | Fee structure  Use this section to provide the information required under article 6 of the RTS.  As such, please refer to the RTS when completing this section and satisfy yourself that you have provided all the information specified. |

**5.1 You must attach information on the pricing policies for providing the STS assessment services. You must ensure that this includes the following:**

* pricing criteria and a fee structure or a fee schedule for the STS assessment services for each type of securitisation for which such services are offered (i.e. distinguishing between non ABCP securitisations and ABCP securitisations and programmes), 30 including any internal guidelines or procedures governing how the pricing criteria are used to determine or set individual fees
* details of the methods used to record the separate cost that the applicant may incur when providing STS assessment services, including the treatment of additional incidental expenses related to providing STS assessment services (such as transport and accommodation) and where the applicant intends to outsource parts of its STS assessment, a description as to how outsourcing is to be taken into account in the pricing criteria
* a detailed description of any procedures in place for changing the fees charged or for otherwise departing from the fee schedule, including under any frequent use programme
* a detailed description of any procedures or internal controls in place to ensure and monitor compliance with the pricing policies, including any procedures or internal controls related to the monitoring of the development of individual fees over time and across different customers
* a detailed description of any processes for reviewing and updating both the costing system and pricing policies
* a detailed description of any procedures and internal controls for maintaining records of information relating to fee schedules, individual fees applied, or changes to the applicant’s pricing policies

Attached

**5.2 You must provide information related to:**

* whether the fees are set in advance of the STS assessment;
* whether prepaid fees are non-refundable; and
* any operational safeguards aimed at ensuring that contractual agreements with an originator, sponsor or SSPE to provide STS assessment services do not include a contractual termination clause or provide for breach of the contract or non-performance of the contract where the result of the assessment of the securitisation is that it does not comply with the STS criteria.

Attached

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| 6 | Operational safeguards and internal processes to assess STS compliance  Use this section to provide the information required under article 7 of the RTS.  As such, please refer to the RTS when completing this section and satisfy yourself that you have provided all the information specified. |

**6.1 You must provide a detailed summary of any policies, procedures and manuals regarding the controls and operational safeguards to ensure the independence of the applicant firm’s assessment of STS compliance and the integrity of its assessment.**

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**6.2 You must provide below the number of employees at the applicant firm, calculated on a full-time equivalent basis, disaggregated to types of positions within the applicant company.**

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**6.3 You must attach the policies and procedures for the following:**

* the independence of individual staff members
* the ending of employment contracts including any measures to ensure the independence and integrity of the STS assessment process associated with the end of the employment (such as e.g. policies and procedures related to negotiating future employment contracts for staff directly involved in the STS assessment)
* the experience and qualification requirements for each position type, for which staff to be involved in STS assessment activities is employed by the applicant
* the training and development of employees directly involved in the provision of STS assessment services
* the performance evaluation and compensation of staff directly involved in STS assessment services

Attached

**6.4 You must describe the measures the applicant firm has put in place to mitigate the risk of overreliance on any individual employees for providing STS assessment services.**

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Outsourcing

**6.5 Does the applicant firm plan to outsource any STS assessment to an external expert?**

No⏵Continue to Question 6.10

Yes

**6.6 You must attach** **any policies and procedures with regards to the outsourcing of activities and the engagement of external experts**

Attached

**6.7 You must describe any outsourcing arrangements entered into or envisaged by the applicant, accompanied by a copy of the contracts governing outsourcing arrangements**

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**6.8 You must describe the services to be provided, including the scope of those services and the conditions under which those services should be rendered**

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**6.9 You must describe how the applicant firm intends to identify, manage and monitor any risks posed by outsourcing and a description of the safeguards put in place by the applicant firm to ensure independence of the STS assessment process.**

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Breach handling procedures

**6.10 You must describe any measures** **to be used in the event of a breach of any of the policies or procedures referred to in Question 6.3 and Question 6.6**

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**6.11 You must describe any measures to be used for reporting to the FCA any material breach of these policies or procedures or any other fact, event or circumstance which might reasonably be likely to amount to a breach of the conditions of any authorisation.**

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**6.12 You must describe any process used to ensure that the relevant persons are aware of the policies and procedures referred to in Question 6.3 and Question 6.6 and a description of any process of monitoring, reviewing and updating these policies and procedures.**

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**6.13 You must describe the STS assessment methodology to be used for each securitisation type that the applicant firm intends to provide STS assessment services.**

This must include any procedures and methodology for the quality assurance of the assessment

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**6.14 You must attach a template of the STS verification report to be provided to the originator, sponsor or the SSPE for each securitisation type that the applicant firm intends to provide STS assessment services.**

Attached

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| 7 | Supporting documents |

You must label each document attached to this application with a unique reference number and provide details of each attachment in the table below.

If any of the supporting documents requested throughout this form do not apply to your application you must state in this table and provide an explanation.

If you need more space please copy this page and attach to your application.

|  |  |  |  |
| --- | --- | --- | --- |
| **Question number** | **Reference number of the document** | **Title of the document** | **Chapter or section or page of the document where the information is provided or reason why the information is not provided.** |
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| 8 | Application fee and ongoing fees |

### Application fee

### Payment method

Payment is by cheque. The application fee is not refundable.

### How to pay

1 Make the cheque payable to the Financial Conduct Authority. We cannot accept post-dated cheques.

2 Write the name of the applicant on the back of the cheque.

3 Write 'Application for authorisation as a Third Party Verification Agent’ on the back of the cheque.

4 Send the cheque to us at Financial Conduct Authority, 12 Endeavour Square, London, E20 1JN

**6.1 You must confirm you have enclosed the fee for your application.**

**Category 4**

Please refer to FEES 3 Annex 13R and FEES 3 Annex 1A for the details of the amount chargeable for each category - <https://www.handbook.fca.org.uk/handbook/FEES/3/Annex13R.html> and

<https://www.handbook.fca.org.uk/handbook/FEES/3/Annex1A.html>

### Fees and levies

Declaration of ongoing FCA fees liability

You must confirm that the applicant firm understands that it is liable and remains liable to pay fees until such time as the FCA cancels its permission. This is irrespective of whether it is trading, or even if it has notified us of intention to cease trading or submitted an application to cancel.

Yes

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| 9 | Declaration and signatures |

Declaration

Knowingly or recklessly, giving the FCA information that is false or misleading in a material particular may be a criminal offence (see sections 398 and 400 of the Financial Services and Markets Act 2000). Even if you believe or know that information has been provided to the FCA before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the FCA will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and if the information is inaccurate, that may call into question whether the applicant meets the requirements of the Regulation (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA is reasonably likely to consider the information material).

I/We confirm that the information provided in this application is accurate and complete to the best of my/our knowledge and that I/we have read the notes to this Form. I/We will notify the FCA immediately if there is a material change to the information provided.

I/We authorise the FCA to make such enquiries and seek such further information as it thinks necessary to identify and verify information that it considers relevant to the assessment of this application.

These checks may include credit reference checks or information pertaining to fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the firm/employer/applicant.

Where the signatory to this application has provided an address, the signatory agrees that the FCA may use such address as the proper address for service as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

I/We understand that the FCA may require the applicant firm to provide further information or documents at any time.

I/We confirm that I am/We are authorised to sign this form on behalf of the applicant firm.

In addition to other regulatory responsibilities, firms and (where applicable) approved persons have a responsibility to disclose to the FCA matters of which it would reasonably expect to be notified. Failure to notify the FCA of such information may lead to the FCA taking disciplinary or other action against the firm and/or individuals.

I am/We are aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

**With this application, you must provide a letter signed by a responsible member of the management body stating that:**

**(a) the submitted information is accurate and complete to the best of their knowledge and belief, as of the date of the submission of the application; and**

**(b) the firm is neither a regulated entity as defined in point 4 of Article 2 of Directive 2002/87/EC10 nor a credit rating agency as defined in point (b) of Article 3(1) of Regulation (EC) No 1060/2009.**

**9.1 You must confirm you have attached this letter to application.**

Attached

**Name of signatory**

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|  |

**Signature**

|  |
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**Date (dd/mm/yyyy)**

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