



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Policy Statement      FCA PS15/32  
                                 PRA PS30/15

## Amendments to Various Forms

December 2015



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## Appendix 1 Forms amended under powers of direction or a requirement

### Part 1: Shared FCA/PRA Forms amended by direction or requirement

Long Form A – UK and Overseas Firms (not Incoming EEA)

Long Form A – Solvency II firms only

Long Form A – Incoming EEA only (version with effect from 16 December 2015 to 7 March 2016)

Application for Authorisation Controllers appendices – Individual

Notification for Change in Controller (Section 178 notice) – Partnership

Notification for Change in Controller (Section 178 notice) – Individual

Notification for Change in Controller (Section 178 notice) – Corporate

## Part 2: FCA Forms amended by direction or requirement

Short Form – Incoming EEA only

Long Form A – Incoming EEA only (version with effect from 7 March 2016)

Sole Trader Appendix

PSD Individual Form: Application Form for an individual responsible for the management of a Payment Institution

Application for a Payment Institution Qualifying Holding (Controller) – Individual Form

Notification for a 'Change in Qualifying Holding' Individual (Controller) Form for a Payment Institution

Add a PSD agent form: Application under regulation 29 of The Payment Services Regulations 2009

Application Form for an individual responsible for the management of an Electronic Money Institution

Application for Authorisation as an Authorised Electronic Money Institution Qualifying holding (Controller) Individual

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**Appendix 2** Made FCA and PRA rules (legal instrument)

FCA instrument amending Forms D and F

PRA Rulebook Instrument amending Forms D, F and M

PRA Handbook Instrument amending Form D

PRA Rulebook Instrument adding hyperlinks to NDF Forms A (long and short form), E, M and the scope of responsibilities form for large and small NDFs.

In this Policy Statement the Financial Conduct Authority reports on the main issues arising from Consultation Paper 15/29 Amendments to Various Forms and publishes the final rules.

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In this Policy Statement the Bank of England reports on the main issues arising from Consultation Paper 35/15: Amendments to Various Forms and publishes the final rules.

Please send any comments or enquiries to:

Prudential Policy Division  
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London EC2R 8AH

You can download this Policy Statement from [www.fca.org.uk](http://www.fca.org.uk), [www.bankofengland.co.uk](http://www.bankofengland.co.uk) or contact our order line for paper copies: 0845 608 2372.

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## Abbreviations in this document

<b>CLLS</b>	The City of London Law Society
<b>FCA</b>	The Financial Conduct Authority
<b>PRA</b>	The Prudential Regulatory Authority

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# 1. Overview

- 1.1** In September 2015 the Financial Conduct Authority (FCA) and the Prudential Regulation Authority (PRA), together 'the regulators', consulted on proposed amendments to a series of forms used by firms and individuals when seeking regulatory approval for certain roles and transactions. The proposed amendments were set out in a joint publication (FCA CP15/29 and PRA CP35/15).
- 1.2** The proposals responded to feedback received from firms to previous consultations issued as part of the implementation of the regulators' new accountability regimes. The proposed changes were intended to ensure that the forms only require necessary disclosures whilst ensuring that the regulators remain able to properly assess the fitness and propriety of those we are required to approve.
- 1.3** This Policy Statement summarises the feedback received during the consultation and confirms the final policy and forms.
- 1.4** The PRA also confirms in this Policy Statement the forms applicable to insurance firms outside the scope of the Solvency II Directive.

## **Who does this consultation affect?**

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- 1.5** This paper will be of interest to all FCA and PRA-authorized firms and individual candidates for approval as Approved Persons, Key Function Holders, Credit Union non-executive directors and notified non-executive directors.

## **Is this of interest to consumers?**

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- 1.6** This paper will primarily be of interest to firms and those working in or planning to work in the financial services industry.

## **Summary of feedback and our response**

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- 1.7** We received three responses. Two raised detailed points relating to the drafting of the forms. The third response concerned the regulators' method of consultation, specifically the combination of consulting on changes to certain forms, whilst at the same time making identical changes to other forms without consultation under powers of Direction.



## Next steps

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### What do you need to do next?

- 1.8** Firms should now only use the versions of the forms attached to this Policy Statement. We have also updated the versions of the forms where they appear in the regulators' respective websites and rulebooks. We will also amend any forms available to firms through the regulators' online systems but these changes may take some time to take effect.

### What will we do?

- 1.9** Respondents highlighted that the electronic versions of the forms available to firms and individuals on the regulators' websites and via their online systems do not, in all cases, match exactly the wording of the forms included in the consultation paper. We acknowledge this but do not believe the differences are substantive; they are simply differences in drafting style. Accordingly we will work to align all electronic forms with the relevant version in the regulators' rulebooks in due course.
- 1.10** We also intend to amend the guidance notes to the forms to reflect our changes. We will do this as soon as reasonably possible.
- 1.11** The amendments to Form A made by Direction and published in the consultation paper are also relevant to two other categories of firms. These are insurance firms outside the scope of the Solvency II Directive and branches of overseas banks and investment firms which will fall within the scope of the proposed Senior Managers Regime.
- 1.12** CP35/15 referenced the fact that the issues were also of relevance to insurance firms outside the scope of Solvency II (non-directive firms or 'NDFs'). However, when CP35/15 was published the NDF forms were still subject to open consultation, so NDFs were invited to respond to both consultations. The FCA has today published a further policy statement (PS15/31 Final Rules on Changes to the Approved Persons Regime for Insurers not Subject to Solvency II)<sup>1</sup> containing the new forms (Forms A, E and a Scope of Responsibilities form) that will apply under FCA rules to large and small NDFs with effect from 7 March 2016. The PRA also confirms that these forms will apply to these firms under the PRA's rules, following the PRA's consultation CP26/15. Therefore this Policy Statement updates the PRA's Senior Insurance Managers Regime rules with the relevant hyperlinks. In order to avoid duplication, these eight forms are not reproduced in full in this Policy Statement, but they have been published on the PRA's website and can also be accessed through the hyperlinks contained in the attached rules and by referring to the FCA's NDF policy statement, which contains the forms in full.
- 1.13** For branches of overseas banks and investment firms, we will, subject to the decisions of the regulators' respective Boards, publish amended versions of these forms when we publish a Policy Statement in relation to these branches.

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<sup>1</sup> [www.fca.org.uk/news/policy-statements/ps15-31-final-rules-on-changes-approved-persons-regime-insurers-not-subject-to-solvency-ii](http://www.fca.org.uk/news/policy-statements/ps15-31-final-rules-on-changes-approved-persons-regime-insurers-not-subject-to-solvency-ii)

## 2. Feedback from respondents

- 2.1** This chapter provides more detail on the feedback received during the consultation and the regulators' response.

### Detailed drafting issues

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- 2.2** Two respondents raised detailed points on the drafting of the forms. These points did not relate to the specific questions that were the focus of the consultation.
- 2.3** This included a response from the Irish League of Credit Unions who asked whether the omission of a reference in Forms D and F to the 'Rehabilitation of Offenders (Exception) Order (Northern Ireland) 1979 (as amended)' was intentional.
- 2.4** Other points raised sought clarity on the application of the forms to certain roles, and highlighted inconsistencies in the language and formatting of the forms.

#### Our response:

The FCA's guidance notes on disclosing spent convictions reference the Rehabilitation of Offenders (Exception) Order (Northern Ireland) 1979 and also to the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013. However, the regulators agree that it would be helpful in the interests of clarity to include these references in the forms themselves. Accordingly we have included references to the relevant legislation in the final versions of the forms published as part of this Policy Statement.

The regulators welcome the other feedback received from respondents on the drafting and formatting of the forms. As the points raised do not relate to the specific changes upon which we were consulting, we do not propose to make any amendments in response to the feedback at this stage. Our consultation indicated that the regulators are considering whether or not a broader review of forms is required. We will reflect on the feedback received as part of this consideration.

In addition, the PRA has proposed a further clarification to Form M to align one of the questions to the Rehabilitation of Offenders legislation, to ensure that details of spent convictions are not provided in respect of non-executive directors and Key Function Holders who are not approved persons.

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### The regulators' approach to consultation

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- 2.5** The City of London Law Society (CLLS) responded to the consultation. The response did not comment on the substance of the proposed changes, rather, it focussed on the regulators' approach to consultation.
- 2.6** The CLLS noted that the regulators consulted on changes to certain forms for a short period of time whilst at the same time making almost identical changes to other forms by Direction, with immediate effect. The CLLS acknowledged the particular circumstances outlined in the consultation paper, but noted that the CLLS would be concerned if the regulators felt this approach set a precedent for future consultations.

#### Our response:

The regulators are grateful to the CLLS for their response. Consultation with stakeholders is an important part of developing effective, proportionate policies. It is clearly important that the regulators consult on changes to forms where appropriate and where required. However, it is also important to recognise that there may be circumstances where consulting is neither required nor appropriate and there may also be circumstances where a short consultation is justified.

In this case, the approach to consultation was informed by a range of factors including:

- The fact that the regulators are not under a statutory obligation under the Financial Services & Markets Act (FSMA) to consult on changes made by Direction;
- The proposals responded to feedback already received to previous consultations;
- The proposed changes harmonise disclosure across firms and reduce the scope of the information required from firms; and
- The short period before banking sector firms will need to use some of these forms due to the commencement of the new accountability regimes in March 2016, and so the lead time required by firms to prepare for this.

The regulators acknowledged in the consultation paper that the changes on which they were consulting overlapped with the changes which had already been made to a number of other forms (by Direction). In view of that overlap, the regulators made clear that they would review the changes made by Direction in light of any feedback received. We comment on the outcome of that review in the next chapter.

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## 3. Review of changes made by direction

- 3.1** In this chapter we consider the relevance of the feedback received to the changes already made to some forms with immediate effect at the time of the September consultation.

### **Our response:**

As noted in Chapter 2, the regulators agree that it would be helpful in the interest of clarity to include references to the Rehabilitation of Offenders (Exception) Order (Northern Ireland) 1979 and also to the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 in all relevant forms. This includes a number of the forms amended by Direction at the same time as our September consultation. Accordingly we have appended to this Policy Statement revised versions of all relevant forms with these references included (see Appendix 2).

As mentioned in Chapter 2, we also received feedback in response to the consultation that did not relate to either the specific changes on which we were consulting, or to the legislative references noted above. This feedback will nonetheless assist us in our ongoing work on forms. As part of that work, we will consider whether we should make any further changes to the forms made by Direction in light of the feedback.

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## Annex 1: List of non-confidential respondents

The City of London Law Society

The League of Irish Credit Unions

# Appendix 1: Forms amended under powers of direction or a requirement

## **Part 1: Shared FCA/PRA Forms amended by direction or requirement**

Long Form A – UK and Overseas Firms (not Incoming EEA)

Long Form A – Solvency II firms only

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Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the candidate in answering the questions in this form. Please read these notes, which are available on both FCA and PRA websites at:

- <https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>
- <http://www.bankofengland.co.uk/PRA>

Both the applicant and the candidate will be treated by the FCA and PRA as having taken these notes into consideration when completing their answers to the questions in this form.

## Long Form A – UK and Overseas Firms (not Incoming EEA)

### Application to perform controlled functions under the approved persons regime

FCA Handbook Reference: SUP 10A Annex 4D

PRA Handbook Reference: SUP 10B Annex 4D

18 September 2015

Name of *candidate*<sup>†</sup>  
(to be completed by applicant firm)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

*Firm reference number*<sup>†</sup>  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

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Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

## Personal identification details

- 1.01 a** *Candidate* Individual Reference Number (IRN) †
- b** OR name of previous regulatory body †
- c** AND previous reference number (if applicable) †
- 1.02** Title (e.g. Mr, Mrs, Ms, etc) †
- 1.03** Surname †
- 1.04** ALL forenames †
- 1.05** Name commonly known by †
- 1.06** Date of birth (dd/mm/yyyy) †
- 1.07** National Insurance number †
- 1.08** Previous name †
- 1.09** Date of name change †
- 1.10 a** Nationality †
- b** Passport number (if National Insurance number not available) †
- 1.11** Place of birth †



I have supplied further information related to this page in Section 6 †

YES

NO



1.12 a Private address<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]

1.14 a Previous address 2<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16



2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	Firm Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Position	<input type="text"/>
c	Telephone	<input type="text"/>
d	Fax	<input type="text"/>
e	E-mail	<input type="text"/>



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

3.01	Nature of the arrangement between the candidate and the applicant.	a	Employee	<input type="checkbox"/>
		b	Group employee	<input type="checkbox"/>
			Name of group	
		c	Contract for services	<input type="checkbox"/>
		d	Partner/Sole trader	<input type="checkbox"/>
		e	Appointed representative/tied agent – customer function	<input type="checkbox"/>
			AR firm name and reference number	
		f	Appointed representative/tied agent – governing function	<input type="checkbox"/>
			AR firm name and reference number	
	g	Other	<input type="checkbox"/>	
		Give details		

3.02 For applications from a single firm, please tick the boxes that correspond to the controlled functions to be performed. If the controlled functions are to be performed for more than one firm, please go to question 3.05

a	<b>Significant influence functions</b>	CF 1	Director function	<input type="checkbox"/>
		CF 2	Non-executive director function	<input type="checkbox"/>
CF 3		Chief executive function	<input type="checkbox"/>	
CF 4		Partner function	<input type="checkbox"/>	
CF 5		Director of an unincorporated association function	<input type="checkbox"/>	
CF 6		Small friendly society function	<input type="checkbox"/>	
	<b>Significant influence functions</b>	CF 8	Apportionment and oversight function <i>(this function is not applicable to all firms please refer to Notes for Completing Form A)</i>	<input type="checkbox"/>
		CF 10	Compliance oversight function	<input type="checkbox"/>
		CF 10a	CASS operational oversight function	<input type="checkbox"/>
		CF 11	Money laundering reporting function	<input type="checkbox"/>
		CF 12	Actuarial function	<input type="checkbox"/>
		CF 12A	With-profits actuary function	<input type="checkbox"/>
		CF 12B	Lloyd's Actuary function	<input type="checkbox"/>
		CF 28	System and controls function	<input type="checkbox"/>
		CF 29	Significant management function	<input type="checkbox"/>
		CF 40	Benchmark submission function	<input type="checkbox"/>
	CF 50	Benchmark administration function	<input type="checkbox"/>	
b	<b>Customer function</b>	CF 30	Customer function	<input type="checkbox"/>

3.03 Effective date of controlled functions indicated above †

3.04 Job title (mandatory for controlled function 28 & 29) †  
Please refer to notes on the

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

requirements for submitting a CV

**Insurance mediation**

Will the candidate be responsible for Insurance mediation at the firm?

(Note: Yes can only be selected if the individual is applying for (CF1, 3-8 or 29)

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

3.05

**Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in 2.01) for which the candidate requires approval and the requested controlled function for that firm.<sup>†</sup>

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Controlled function</b>	<b>Job title</b> (mandatory for controlled function 28 & 29)	<b>Effective date</b>
a					
b					
c					
d					
e					



I have supplied further information related to this page in Section 6

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

N.B.: ALL gaps must be accounted for

**4.01 Employment details (1) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<b>a</b>	Employed	<input type="checkbox"/>	
		<b>b</b>	Self-employed	<input type="checkbox"/>	
		<b>c</b>	Not employed	<input type="checkbox"/>	
		<b>d</b>	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details	<input type="text"/>			
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	<input type="text"/>
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	<input type="text"/>
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<b>a</b>	Resignation	<input type="checkbox"/>	
		<b>b</b>	Redundancy	<input type="checkbox"/>	
		<b>c</b>	Retirement	<input type="checkbox"/>	
		<b>d</b>	Termination/dismissal	<input type="checkbox"/>	
		<b>e</b>	End of contract	<input type="checkbox"/>	
		<b>f</b>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

**4.02 Employment details (2) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details				
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
				<input type="text"/>	
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
				<input type="text"/>	
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<i>a</i>	Resignation	<input type="checkbox"/>	
		<i>b</i>	Redundancy	<input type="checkbox"/>	
		<i>c</i>	Retirement	<input type="checkbox"/>	
		<i>d</i>	Termination/dismissal	<input type="checkbox"/>	
		<i>e</i>	End of contract	<input type="checkbox"/>	
		<i>f</i>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			



I have supplied further information related to this page in Section 6†

YES

NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

## 5.01 Criminal Proceedings

When answering the questions in this section ~~you~~ the candidate should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the candidate is subject to the law of England and Wales, ~~you~~ the candidate must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the candidate is subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i> ): i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies</i> , insurance, banking or other financial services, insolvency, consumer credit or consumer protection, <i>money laundering</i> , market manipulations or <i>insider dealing</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.01.2</b>	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.01.3</b>	Is the <i>candidate</i> the subject of any ongoing criminal investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO



**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:

- |          |  |                              |                             |
|----------|--|------------------------------|-----------------------------|
| <b>a</b> | Been convicted of any criminal offence?<br>(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been the subject of any criminal proceeding which has not resulted in a conviction?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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## 5.02 Civil Proceedings

- 5.02.1** Has the candidate, **ever** been the subject of a judgement debt or award against the candidate? YES  NO
- Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.
- You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and
- i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and
- ii) the total number of all judgment debts, awards or CCJs ordered.
- 5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.) YES  NO
- 5.02.3** Is the candidate aware of:
- a** Any proceedings that have begun or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt? YES  NO
- b** More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt? YES  NO
- c** Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the candidate? YES  NO
- 5.02.4** Does the candidate have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part? YES  NO
- 5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made? YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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<b>5.02.6</b>	Has the <i>candidate</i> ever:		
<b>a</b>	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:		
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the candidate? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:		
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (You should include all CCJs made against the firm, whether satisfied or not.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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**5.02.11** Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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### 5.03 Business and Employment Matters

5.03.1 Has the *candidate* ever been:

**a** Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the candidate?

YES  NO

**e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)

YES  NO

5.03.2 Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

5.03.3 Does the *candidate* have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see section 5 guidance notes), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the candidate is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – UK and Overseas  
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**5.04.2** In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the candidate's association with the firm ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?                 | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?                      | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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6.00

- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
- If this application relates to a Significant influence controlled function then please provide full details of
  - why the candidate is competent and capable to carry out the controlled function(s) applied for;
  - why the appointment complements the firm's business strategy, activity and market in which it operates;
  - how the appointment was agreed including details of any discussions at governing body level (where applicable).
- Please also include here any additional information indicated in previous sections of the Form.
- Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)
- If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
- Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.

Question	Information

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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**Declaration of *Candidate***

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).

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.

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the *FCA* and *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

In signing the form below:

**a) I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application.**

**b) 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.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Statements of Principle and Code of Practice for Approved Persons**

**<https://handbook.fca.org.uk/handbook/APER>**

**<http://www.bankofengland.co.uk/PRA>**

Tick here to confirm you have read and understood this declaration:

**7.01** Candidate's full name<sup>†</sup>

**7.02** Signature\*

Date <sup>†</sup>

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7  
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## Declaration of Firm

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 the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R 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.

*APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*. 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.

**In making this application the *firm* believes on the basis of due and diligent enquiry that the candidate is a fit and proper person to perform the controlled function(s) listed in section 3. The firm also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfil the duties required in the performance of such function(s).**

**In signing this form on behalf of the firm:**

- a) 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.
- b) I confirm that I have authority to make this application, and sign this Form, on behalf of each *firm* identified in section 3.05. I also confirm that a copy of this Form, as submitting to the *FCA* and/or *PRA*, will be sent to each of those *firms* at the same time as submitting the Form to the *FCA* and/or *PRA*.
- c) I confirm the candidate has been made aware of the regulatory responsibilities of the proposed role as set out in the Statements of Principle and Code of Practice for Approved Persons

**(<https://handbook.fca.org.uk/handbook/APER>)**

**(<http://www.bankofengland.co.uk/PRA>)**

7.03	Name of the <i>firm</i> submitting the application <sup>†</sup>	<input type="text"/>
7.04	Name of <i>person</i> signing on behalf of the <i>firm</i> <sup>†</sup>	<input type="text"/>
7.05	Job title <sup>†</sup>	<input type="text"/>
7.06	Signature <sup>*</sup>	<input type="text"/>
	Date <sup>†</sup>	<input type="text"/>

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7  
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BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the *candidate* in answering the questions in this form. Please read these notes, which are available on both FCA and PRA websites at:

<https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>

<http://www.bankofengland.co.uk/PRA>

Both the applicant and the *candidate* will be treated by the FCA and PRA as having taken these notes into consideration when completing this form.

## Long Form A – Solvency II firms only<sup>1</sup>

### Application to perform controlled functions

FCA Handbook Reference: SUP 10A Annex 4D

PRA Rulebook Reference: Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications

Name of *candidate*<sup>†</sup>  
(to be completed by applicant firm)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

Firm reference number<sup>†</sup>  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>  
Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail PRA-  
[ApprovedPersons@bankofengland.co.uk](mailto:ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Registered as a Limited Company in England and Wales  
No 07854923. Registered Office: 8 Lothbury Road, London,  
EC2R 7HH

<sup>1</sup> Please see the FCA Handbook Glossary for the definition of Solvency II firm, and for the PRA see the firms included in PRA Rulebook: Solvency II firms: Insurance - Senior Insurance Management Functions Chapter 1 (Applications and Definitions)

1.01 a	<i>Candidate</i> Individual Reference Number (IRN) †	
b	OR name of previous regulatory body †	
c	AND previous reference number (if applicable) †	
1.02	Title (e.g. Mr, Mrs, Ms, etc) †	
1.03	Surname †	
1.04	ALL forenames †	
1.05	Name commonly known by †	
1.06	Date of birth (dd/mm/yyyy) †	
1.07	National Insurance number †	
1.08	Previous name †	
1.09	Date of name change †	
1.10 a	Nationality †	
b	Passport number (if National Insurance number not available) †	
1.11	Place of birth †	
1.12	Phone number	


**I have supplied further information related to this page in Section 6 †**
 YES  NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

1.12 a Private address<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]

1.14 a Previous address 2<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015



2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	<i>Firm</i> Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Position	<input type="text"/>
c	Telephone	<input type="text"/>
d	Fax	<input type="text"/>
e	E-mail	<input type="text"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015



3.01

Nature of the arrangement between the candidate and the applicant.

<i>a</i>	<i>Employee</i>	<input type="checkbox"/>
<hr/>		
<i>b</i>	<i>Group employee</i>	<input type="checkbox"/>
	Name of group	
<hr/>		
<i>c</i>	Contract for services	<input type="checkbox"/>
<hr/>		
<i>d</i>	<i>Partner</i>	<input type="checkbox"/>
<hr/>		
<i>e</i>	Other	<input type="checkbox"/>
	Give details	
<hr/>		

Proposed date of appointment

Length of appointment (if applicable)



**3.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed. If the *controlled functions* are to be performed for more than one *firm*, please go to question **3.04**

Function	Description of a <i>controlled function</i>	Tick (if applicable)	Effective Date
SIMF 1	Chief Executive officer		
SIMF 2	Chief Finance function		
SIMF 4	Chief Risk officer		
SIMF 5	Head of Internal Audit		
SIMF 7	Group Entity Senior Manager		
SIMF 9	Chairman		
SIMF 10	Chair of the Risk Committee		
SIMF 11	Chair of the Audit Committee		
SIMF 12	Chair of the Remuneration Committee		
SIMF 14	Senior Independent Director		
SIMF 19	Head of Third Country Branch function		
SIMF 20	Chief Actuary		
SIMF21	With-profits Actuary		
SIMF22	Underwriting function		
SIMF23	Underwriting Risk Oversight Officer (Lloyd's)		
CF 1	Director		
CF 2a	Chair of the Nominations Committee		
CF 2b	Chair of the With-Profits Committee		
CF 5	Director of unincorporated association function		
CF 10	Compliance Oversight		
CF 10a	CASS Operational Oversight		
CF 11	Money Laundering Reporting		
CF 28	Systems and Controls		
CF 29	Significant Management		
CF 30	Customer Function		
CF 51	Actuarial conduct function (third country)		

**3.03** Job title

**Insurance mediation**

Will the *candidate* be responsible for Insurance mediation at the *firm*?

YES  NO

(Note: Yes can only be selected if the individual is applying for a governing function (other than *controlled functions* CF2a and CF2b) (MIPRU 2.2.2))



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

3.04

**Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in 2.01) for which the candidate requires approval and the requested controlled function for that firm.<sup>†</sup>

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Controlled function</b>	<b>Job title</b>	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



I have supplied further information related to this page in Section 6

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

N.B.: ALL gaps must be accounted for

**4.01 Employment details (1) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<b>a</b>	Employed	<input type="checkbox"/>	
		<b>b</b>	Self-employed	<input type="checkbox"/>	
		<b>c</b>	Not employed	<input type="checkbox"/>	
		<b>d</b>	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details	<input type="text"/>			
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body and country	
		<input type="text"/>			
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
		<input type="text"/>			
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<b>a</b>	Resignation	<input type="checkbox"/>	
		<b>b</b>	Redundancy	<input type="checkbox"/>	
		<b>c</b>	Retirement	<input type="checkbox"/>	
		<b>d</b>	Termination/dismissal	<input type="checkbox"/>	
		<b>e</b>	End of contract	<input type="checkbox"/>	
		<b>f</b>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

**4.02 Employment details (2) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<b>a</b>	Employed	<input type="checkbox"/>	
		<b>b</b>	Self-employed	<input type="checkbox"/>	
		<b>c</b>	Not employed	<input type="checkbox"/>	
		<b>d</b>	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details				
	<input type="text"/>				
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body and country	
				<input type="text"/>	
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
				<input type="text"/>	
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<b>a</b>	Resignation	<input type="checkbox"/>	
		<b>b</b>	Redundancy	<input type="checkbox"/>	
		<b>c</b>	Retirement	<input type="checkbox"/>	
		<b>d</b>	Termination/dismissal	<input type="checkbox"/>	
		<b>e</b>	End of contract	<input type="checkbox"/>	
		<b>f</b>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			



I have supplied further information related to this page in Section 6† YES  NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

## 5.01 Criminal Proceedings

When answering the questions in this section you the candidate should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the candidate is subject to the law of England and Wales, you the candidate must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the candidate is subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i> ): i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing</i> ?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.3</b>	Is the candidate the subject of any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>

In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

**5.01.5** Has any *firm* at which the *candidate* holds or has held a position of influence ever:

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

- |          |  |                              |                             |
|----------|--|------------------------------|-----------------------------|
| <b>a</b> | Been convicted of any criminal offence?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been the subject of any criminal proceeding which has not resulted in a conviction?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

## 5.02 Civil Proceedings

<b>5.02.1</b>	Has the <i>candidate</i> , <b>ever</b> been the subject of a judgement debt or award against the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	Please give a full explanation of the events in questions		
	<i>Candidate</i> should include all County Court Judgement(s) (CCJs) made against the <i>candidate</i> , whether satisfied or not); and i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and ii) the total number of all judgment debts, awards or CCJs ordered.		
<b>5.02.2</b>	Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the <i>candidate</i> (other than a judgement debt or award referred to in 5.02.1 above)? ( <i>candidate</i> should include, for example, injunctions and employment tribunal proceedings.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.3</b>	Is the <i>candidate</i> aware of:		
<b>a</b>	Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>candidate</i> , for a CCJ or another judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.4</b>	Does the <i>candidate</i> have any <b>current</b> judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.5</b>	Has the <i>candidate</i> <b>ever</b> failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

<b>5.02.6</b>	Has the <i>candidate</i> ever:		
<b>a</b>	Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the <i>candidate</i> 's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:		
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? ( <i>candidate</i> should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.10</b>	Has any <i>firm</i> at which the <i>candidate</i> holds or has held a position of influence ever been:		
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the <i>firm</i> ? ( <i>candidate</i> should include all CCJs) made against the <i>firm</i> , whether satisfied or not.	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the <i>firm</i> other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015



**5.02.11** Is any *firm* at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

**5.03 Business and Employment Matters**

**5.03.1** Has the *candidate* ever been:

**a** Disqualified from acting as a director or similar position (one where the *candidate* acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)? YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)? YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings? YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the *candidate*? YES  NO

**e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised *firm*, as well as investigation by a regulatory body, at any time.) YES  NO

**5.03.2** Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated? YES  NO

**5.03.3** Does the *candidate* have any material written complaints made against the *candidate* by the *candidate*'s clients or former clients in the last five years which the *candidate* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme? YES  NO

**5.03.4** Has the *candidate* ever participated in an arbitration board? YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the <i>firm</i> or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>l</b>	Been on a board of directors in an operating undertaking that has not been granted a release from liability?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

**5.04.2**

In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *candidate* or any *firm* at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the *firm* ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Been found to have carried on activities for which authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body is required without the requisite authorisations?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been investigated for the possible carrying on of activities requiring authorisation or registration by the <i>FCA/PRA</i> or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the <i>candidate</i> ?                      | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been found to have performed a <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been investigated for the possible performance of a <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the <i>FCA/PRA</i> of the identity of a person acting in a position of influence over its electronic money or payment services business?              | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

## 5.05 Other Matters

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of:

any business interests, employment obligations, or any other circumstance which may conflict with the performance of the *controlled functions* for which approval is now being sought?

YES  NO

Does the candidate have, or know of, any:

**5.05.2**

**a** Qualifying ownership<sup>2</sup> or any other form of substantial influence in the *firm* or group, or any other companies

If yes, please provide:

1. Company name and registration number
2. Nature and scope of the operations
3. The registered office of the company
4. Possession in percentage

YES  NO

**b** Close relatives with ownership shares in the *firm* or group

YES  NO

**c** Close relatives with any other financial relations in the *firm* or group

YES  NO

**d** Any other commitments that may give rise to a conflict of interest

YES  NO

If 'yes' to any of the above, please provide explanations of the circumstances and how the individual intends to mitigate this

**5.05.3** Are the *candidate* or the *firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO

**5.05.4** Has the *firm* undertaken a criminal records check in accordance with the requirements of the *PRA*?

YES  NO

Please note that a *firm* is required to ~~obtain~~request the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the *UK* or any part of the *UK* before making the application. (~~Applications and Notifications in the *PRA Rulebook*~~PRA Rulebook: Insurance – Fitness and Propriety)

If yes, please enter date the check was undertaken

Date (dd/mm/yy):

*Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details why in section 6.*

**5.05.5** For *PRA* functions only: Has / Have a reference or references been

YES  NO

<sup>2</sup> As defined in Article 13(21) of the Solvency II Directive, qualifying ownership is 'direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking'.

obtained from current and previous employer(s) in accordance with the requirements of the *PRA* as set out in 2.5 in Insurance- Fitness and Propriety



I have supplied further information related to this page in Section 6†

YES

NO

If No, please provide details why the reference or references has/have not been obtained.

*Please note that for candidates for PRA controlled functions, a firm is required to take reasonable steps to obtain appropriate references from any current or previous employer of the candidate, or at any organisation at which the candidate is or was a non-executive director during the last 5 years (see Insurance - Fitness and Propriety 2.5 in the PRA Rulebook).*

6.00

- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
- Please provide full details of
  - why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for
  - why the appointment complements the *firm's* business strategy, activity and market in which it operates
  - how the appointment was agreed including details of any discussions at governing body level (where applicable)
- Provide a copy of the *candidate's*:-
  - Scope of Responsibilities with this form. This is not required for *candidates* for *controlled function* CF30 only.
  - Roles description
  - Curriculum Vitae (C.V)
  - Organisational chart
- Please also include here any additional information indicated in previous sections of the form.
- Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)
- If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
- Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.

Question	Information

**Declaration of *Candidate***

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act 2000). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* 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* and/or *PRA* will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising its powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

The *candidate* confirms that the information provided in this application is accurate and complete to the best of his/her knowledge and that he or she has read the notes to this form. The *candidate* will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

The *candidate* confirms that the attached Scope of Responsibilities<sup>3</sup> accurately reflects the aspects of the affairs of the firm which it is intended that the *candidate* will be responsible for managing. The *candidate* confirms that they have accepted all the responsibilities set out in this Scope of Responsibilities.

The *candidate* authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The *candidate* acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the employer/Applicant.

The *candidate* agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the firm submitting this application.

The *candidate* agrees that the *FCA* and/or *PRA* may use the address specified for the *candidate* in this form as the proper address for service in the United Kingdom as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this Form will be used by the *FCA* and *PRA* to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

The *candidate* confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA*'s *COCON* and/or *PRA Rulebook: Solvency II firms: Insurance: Conduct Standards* (as applicable).

The *candidate* is 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.

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

Tick here to confirm you have read and understood this declaration: ☐

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act 2000). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* 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* and/or *PRA* 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 it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

<sup>3</sup> This is not applicable for *candidates* for *controlled function* CF30 only.



The candidate confirms that the information provided in this application is accurate and complete to the best of his/her knowledge and that he or she has read the notes to this form. The candidate will notify the FCA and/or PRA immediately if there is a material change to the information provided.

The candidate confirms that the attached Scope of Responsibilities accurately reflects the aspects of the affairs of the firm which it is intended that the candidate will be responsible for managing. The candidate confirms that they have accepted all the responsibilities set out in this Scope of Responsibilities

The candidate authorises the FCA and/or PRA to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The candidate acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the employer/Applicant.

Where applicable, the candidate agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the firm submitting this application.

The candidate agrees that the FCA and/or PRA may use the address specified for the candidate in this form as the proper address for service in the United Kingdom (as defined in the Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420)) to serve any notices on the candidate.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the FCA and PRA to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the candidate.

The candidate confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA's COCON and/or the PRA Rulebook: Insurance – Conduct Standards.

The candidate is 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.

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

Tick here to confirm you have read and understood this declaration:

7.01 Candidate's full name Name of candidate /  
approved person (where applicable) †

7.02 Signature \*

Date †

## Declaration of Firm

It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act). Even if you believe or know that information has been provided to the FCA and/or PRA 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 and/or PRA will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may lead to the FCA and/or PRA exercising its powers (including but not limited to taking disciplinary/Enforcement action). You must notify the FCA and/or PRA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA and/or PRA is reasonably likely to consider the information material).

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

The applicant confirms that the information provided in this application is accurate and complete to the best of its knowledge and that it has read the notes to this form. The Applicant will notify the FCA and/or PRA immediately if there is a material change to the information provided.

The applicant authorises the FCA and/or PRA to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

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\* The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7.4R- 15.7.9G or in 'Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook Long Form A –Solvency II firms Application to perform controlled functions September 2015

~~Where required under Section 5, the applicant confirms that it has obtained the fullest information that it is lawfully able to obtain about the Individual under Part V of the Police Act 1997 and any related subordinated legislation of the UK or any part of the UK, and has given due consideration to that information in determining that Individual to be fit and proper.~~

~~In making this application the *firm* believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT that the *candidate* is a fit and proper person to perform the controlled function(s) listed in section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s).~~

~~The applicant confirms that it has complied with its obligations under Equality and Diversity legislation when selecting the Individual to perform the function(s) applied for.~~

~~The applicant confirms that it has made the *candidate* aware of their regulatory responsibilities as set out in the rules of conduct in the FCA's COCON and/or PRA Rulebook: Solvency II firms: Insurance Conduct Standards (as applicable).~~

~~The applicant confirms that the Scope of Responsibilities<sup>4</sup> submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the *candidate* will be responsible for managing.~~

~~The applicant is 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.~~

~~In signing this form on behalf of the *firm*:~~

~~**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.**~~

~~I confirm that I have authority to make this application and provide the declarations given by the firm, and sign this form, on behalf of the *firm* identified in section 2.01 and/or each *firm* identified in section 3.04. I also confirm that a copy of this form, as submitted to the FCA and/or PRA, will be sent to each of those *firms* at the same time as submitting the form to the FCA and/or PRA.~~

~~It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act). Even if you believe or know that information has been provided to the FCA and/or PRA 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 and/or PRA 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 it may call into question the suitability of the candidate and/or lead to the FCA and/or PRA exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA and/or PRA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA and/or PRA are reasonably likely to consider the information material).~~

~~In addition to other regulatory responsibilities, firms, and approved persons have a responsibility to disclose to the FCA and/or PRA, matters of which it would reasonably expect to be notified. Failure to notify the FCA and/or PRA of such information may lead to the FCA and/or PRA taking disciplinary or other action against the Applicant and/or the candidate.~~

~~The Applicant confirms that the information provided in this application is accurate and complete to the best of its knowledge and that it has read the notes to this form. The Applicant will notify the FCA and/or PRA immediately if there is a material change to the information provided.~~

~~The Applicant authorises the FCA and/or PRA to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.~~

~~Where applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the candidate under Part V of the Police Act 1997 and any related subordinate legislation of the UK or any part of the UK, and (where available) has given due consideration to that information in determining that candidate to be fit and proper.~~

~~In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT in the FCA handbook and/or the Fitness and Propriety sections in the PRA Rulebook that the candidate is a fit and proper person to perform the controlled function(s) listed in section 3.~~

~~The Applicant also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfil the duties required in the performance of such function(s).~~

~~The Applicant confirms that it has complied with its obligations under Equality and Diversity legislation when selecting the candidate to perform the function(s) applied for.~~

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<sup>4</sup>~~This is not applicable for candidates for controlled function CF30 only.~~

The Applicant confirms that it has made the candidate aware of their regulatory responsibilities as set out in the rules of conduct in the FCA's COCON and/or the PRA Rulebook : Insurance – Conduct Standards.

The Applicant confirms that the Scope of Responsibilities submitted with this form accurately reflects the aspects of the affairs of the Firm which it is intended that the candidate will be responsible for managing.

The Applicant is 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.

In signing this form on behalf of the Applicant:

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.

I confirm that I have authority to make this application and provide the declarations given by the Applicant, and sign this form, on behalf of the firm identified in section 2.01 and/or each firm identified in section 3.04. I also confirm that a copy of this form, as submitted to the FCA and/or PRA, will be sent to each of those firms at the same time as submitting the form to the FCA and/or PRA.

7.03 Name of the *firm* submitting the application<sup>†</sup>

7.04 Name of *person* signing on behalf of the ~~firm~~  
*Applicant*<sup>†</sup>

7.05 Job title<sup>†</sup>

7.06 Signature<sup>\*</sup>

Date<sup>†</sup>

---

<sup>\*</sup> The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.



Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the candidate in answering the questions in this form. Please read these notes, which are available on both FCA and PRA websites at:

- <https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>
- <http://www.bankofengland.co.uk/PRA>

Both the applicant and the candidate will be treated by the FCA and PRA as having taken these notes into consideration when completing their answers to the questions in this form.

## Long Form A – Incoming EEA only

### Application to perform controlled functions under the approved person regime

FCA Handbook Reference: SUP 10A Annex 4D

PRA Handbook Reference: SUP 10B Annex 4D

18 September 2015

Name of *candidate*  
(to be completed by applicant firm)

Name of *firm*  
(as entered in 2.01)

*Firm* reference number  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom

Prudential Regulation Authority  
20 Moorgate  
London  
United Kingdom  
EC2R 6DA

Telephone +44 (0) 300 500 0597  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

Telephone +44 (0) 203 461 7000  
E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN) †	
<b>b</b>	OR name of previous regulatory body †	
<b>c</b>	AND previous reference number (if applicable) †	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms, etc) †	
<b>1.03</b>	Surname †	
<b>1.04</b>	ALL forenames †	
<b>1.05</b>	Name commonly known by †	
<b>1.06</b>	Date of birth (dd/mm/yyyy) †	
<b>1.07</b>	National Insurance number †	
<b>1.08</b>	Previous name †	
<b>1.09</b>	Date of name change †	
<b>1.10 a</b>	Nationality †	
<b>b</b>	Passport number (if National Insurance number not available) †	
<b>1.11</b>	Place of birth †	


**I have supplied further information related to this page in Section 6 †**
YES 
NO

1.12 a Private address<sup>†</sup>

[Redacted address field]

b

Postcode<sup>†</sup>

c

Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1<sup>†</sup>

[Redacted address field]

b

Postcode

c

Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

[Redacted date field]

1.14 a Previous address 2<sup>†</sup>

[Redacted address field]

<sup>1</sup> b

Postcode<sup>†</sup>

c

Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

[Redacted date field]



I have supplied further information related to this page in Section 6

YES

NO



2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	Firm Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Business Address	<input type="text"/>
c	Position	<input type="text"/>
d	Telephone	<input type="text"/>
e	E-mail	<input type="text"/>



I have supplied further information related to this page in Section 6

YES

NO

3.01

Nature of the arrangement between the candidate and the applicant.

a	Employee	<input type="checkbox"/>
b	Group employee	<input type="checkbox"/>
	Name of group	
c	Contract for services	<input type="checkbox"/>
d	Partner/Sole trader	<input type="checkbox"/>
e	Appointed representative/tied agent – customer function	<input type="checkbox"/>
	AR firm name and reference number	
f	Appointed representative/tied agent – governing function	<input type="checkbox"/>
	AR firm name and reference number	
g	Other	<input type="checkbox"/>
	Give details	

3.02

For applications from a single firm, please tick the boxes that correspond to the controlled functions to be performed.

If the controlled functions are to be performed for more than one firm, please go to question 3.05

a	<b>Significant influence functions</b>	CF 11 Money laundering reporting function	<input type="checkbox"/>
		CF 12 Actuarial function	<input type="checkbox"/>
		CF 12A With-profits actuary function	<input type="checkbox"/>
		CF 12B Lloyd's Actuary function	<input type="checkbox"/>
		CF 29 Significant management function	<input type="checkbox"/>
c	<b>significant influence functions</b>	CF 40 Benchmark submission function	<input type="checkbox"/>
		CF 50 Benchmark administration function	<input type="checkbox"/>
b	<b>Customer function</b>	CF 30 Customer function	<input type="checkbox"/>



I have supplied further information related to this page in Section 6

YES

NO



**3.03** Effective date of *controlled functions* indicated above †

[Greyed out area]

**3.04** Job title (mandatory for *controlled function 28 & 29*) †

[Greyed out area]

Please refer to notes on the requirements for submitting a CV

**Insurance mediation**

Will the candidate be responsible for Insurance mediation at the firm?

YES  NO

(Note: Yes can only be selected if the individual is applying for (CF1, 3-8 or 29)



I have supplied further information related to this page in Section 6

YES  NO

**3.05**

**Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in 2.01) for which the candidate requires approval and the requested controlled function for that firm. †

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Controlled function</b>	<b>Job title</b> (mandatory for controlled function 29)	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



I have supplied further information related to this page in Section 6

**YES**

**NO**

N.B.: ALL gaps must be accounted for

4.01

**Employment details (1)†**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details	<input type="text"/>			
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	<input type="text"/>
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	<input type="text"/>
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<i>a</i>	Resignation	<input type="checkbox"/>	
		<i>b</i>	Redundancy	<input type="checkbox"/>	
		<i>c</i>	Retirement	<input type="checkbox"/>	
		<i>d</i>	Termination/dismissal	<input type="checkbox"/>	
		<i>e</i>	End of contract	<input type="checkbox"/>	
		<i>f</i>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			



I have supplied further information related to this page in Section 6

YES

NO

**4.02 Employment details (2) †**

<b>a</b>	Period (mm/yyyy)	From		To	
<b>b</b>	Nature of employment	<b>a</b>	Employed	<input type="checkbox"/>	
		<b>b</b>	Self-employed	<input type="checkbox"/>	
		<b>c</b>	Not employed	<input type="checkbox"/>	
		<b>d</b>	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details				
<b>c</b>	Name of employer				
<b>d</b>	Nature of business				
<b>e</b>	Previous / other names of employer				
<b>f</b>	Last known address of employer				
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
<b>i</b>	Position held				
<b>j</b>	Responsibilities				
<b>k</b>	Reason for leaving:	<b>a</b>	Resignation	<input type="checkbox"/>	
		<b>b</b>	Redundancy	<input type="checkbox"/>	
		<b>c</b>	Retirement	<input type="checkbox"/>	
		<b>d</b>	Termination/dismissal	<input type="checkbox"/>	
		<b>e</b>	End of contract	<input type="checkbox"/>	
		<b>f</b>	Other	<input type="checkbox"/>	
	Specify				

## 5.01 Criminal Proceedings

When answering the questions in this section you the candidate should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the candidate is subject to the law of England and Wales, you the candidate must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the candidate is subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i> ):	
	i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or	YES <input type="checkbox"/> NO <input type="checkbox"/>
	ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i>	
<b>b</b>	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.3</b>	Is the <i>candidate</i> the subject of any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>

In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:

**a** Been convicted of any criminal offence?

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

YES  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

YES  NO

**c** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

YES  NO

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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## 5.02 Civil Proceedings

<b>5.02.1</b>	Has the candidate, <b>ever</b> been the subject of a judgement debt or award against the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
	<p>Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.</p> <p>You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>	
<b>5.02.2</b>	Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.3</b>	Is the candidate aware of:	
<b>a</b>	Any proceedings that have begun, or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.4</b>	Does the candidate have any <b>current</b> judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.5</b>	Has the <i>candidate</i> <b>ever</b> failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?	YES <input type="checkbox"/> NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

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<b>5.02.6</b>	Has the <i>candidate</i> ever:	
<b>a</b>	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:	
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the candidate? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:	
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (You should include all CCJs made against the firm, whether satisfied or not.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/> NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

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**5.02.11** Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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### 5.03 Business and Employment Matters

5.03.1 Has the *candidate* ever been:

a Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

b The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

c The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

d Notified of any potential proceedings of a disciplinary nature against the candidate?

YES  NO

e The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)

YES  NO

5.03.2 Has the *candidate* ever been refused entry to , or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

5.03.3 Does the *candidate* have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see section 5 guidance notes), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the candidate is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

**5.04.2**

In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the candidate's association with the firm ever:

- a**      Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?      YES       NO
- b**      Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?      YES       NO
- c**      Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?      YES       NO
- d**      Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?      YES       NO
- e**      Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?      YES       NO
- f**      Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?      YES       NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES       NO

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**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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6.00

- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
- If this application relates to a Significant influence controlled function then please provide full details of
  - why the candidate is competent and capable to carry out the controlled function(s) applied for.
  - why the appointment complements the firm's business strategy, activity and market in which it operates.
  - how the appointment was agreed including details of any discussions at governing body level (where applicable).
- Please also include here any additional information indicated in previous sections of the Form.
- Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)
- If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
- Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.

Question	Information

**Declaration of *Candidate***

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).

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.

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

In signing the form below:

**a) I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application.**

**b) 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.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Statements of Principle and Code of Practice for Approved Persons**

**(<https://handbook.fca.org.uk/handbook/APER>)**

**(<http://www.bankofengland.co.uk/PRA>)**

7.01 *Candidate's* full name<sup>†</sup>

7.02 Signature<sup>\*</sup>

Date<sup>†</sup>

<sup>†</sup> The above question(s) appears on an electronic form submission and a paper form submission

<sup>\*</sup> The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – Incoming EEA

## Declaration of Firm

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 the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R 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.

*APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*. 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.

**In making this application the firm believes on the basis of due and diligent enquiry-that the candidate is a fit and proper person to perform the controlled function(s) listed in section 3. FOR FIRMS UNDERTAKING ANY NON MiFID BUSINESS PLEASE ALSO COMPLETE THE FOLLOWING**

**The firm also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfil the duties required in the performance of such function(s).**

YES  NO

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

**In signing this form on behalf of the firm:**

**a) 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.**

**b) I confirm that I have authority to make this application, and sign this Form, on behalf of each firm identified in section 3.05. I also confirm that a copy of this Form, as submitted to the *FCA* and/or *PRA*, will be sent to each of those firms at the same time as submitting the Form to the *FCA* and/or *PRA*.**

**c) I confirm the candidate has been made aware of the regulatory responsibilities of proposed role as set out in , the Statements of Principle and Code of Practice for Approved Persons**

(<https://handbook.fca.org.uk/handbook/APER>)

(<http://www.bankofengland.co.uk/PRA>)

7.03 Name of the firm submitting the application<sup>†</sup>

7.04 Name of person signing on behalf of the firm<sup>†</sup>

7.05 Job title<sup>†</sup>

7.06 Signature<sup>\*</sup>

Date<sup>†</sup>

<sup>†</sup> The above question(s) appears on an electronic form submission and a paper form submission

<sup>\*</sup> The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7 Long Form A – Incoming EEA





# Application for Authorisation

## Controllers appendices - Individual

### Full name of applicant firm

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

For the purposes of complying with the Data Protection Act, please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation and may be disclosed to third parties for those purposes.

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence, it may increase the time taken to assess your application and may call into question your suitability to be authorised.**

### **Terms in this form**

In this form we use the following terms:

- 'we', 'our', or 'us' refers to the appropriate regulator;
- 'the FCA' refers to the Financial Conduct Authority;
- 'the PRA' refers to the Prudential Regulation Authority;
- 'Applicant firm' refers to the firm applying for authorisation; and
- 'You' refers to the person(s) signing the form as controller.

### **Purpose of this form**

This appendix collects information about the controller of the applicant firm.

### **Filling in the form**

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
  - print out the completed form and sign the declaration in section 5.
- 2 If you are filling in the form by hand:
  - use black ink;
  - write clearly; and
  - sign the declaration in section 5.
- 3 If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.
- 4 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

# 1 Your details

**1.1 First names**

**1.2 Surname**

**1.3 Any previous surnames or first names. Please include details of when you changed them**

**1.4 Name you are commonly known by, if different**

**1.5 Date of birth (dd/mm/yy)**

 /  / 

**1.6 Place of birth**

**1.7 National insurance number**

**1.8 Passport number, if national insurance number is not applicable.**

**1.9 Your nationality**

**1.10 Have you ever had a different nationality? If yes, you must give your previous nationality.**

## 2 Your address

### 2.1 Current private address

If you live outside the UK and do not have an UK address you must provide your address outside the UK and tick the box below.

I live outside the UK and have no UK address.

Address	
Country	
Postcode	

### 2.2 When did you move into this address (mm/yy)?

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
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If you moved into this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses; please use a separate piece of paper if you need more space.

#### Previous address 1

Address	
Country	
Postcode	

#### Previous address 2

Address	
Country	
Postcode	

#### Previous address 3

Address	
Country	
Postcode	

Please indicate how many separate sheets of paper you have used

Number of additional sheets	<input type="text"/>
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### 3 Other directorships

#### 3.1 You must give details of any directorships you hold in the UK or outside the UK.

Name of undertaking	Nature of business	Place of business

## 4 About your fitness and propriety

For the purposes of this form, a regulatory body is any of the following:

- a self-regulatory organisation – including Investment Management Regulatory Organisation ('IMRO'), Securities and Futures Agency ('SFA'), Personal Investment Authority ('PIA'), Life Assurance and Unit Trust Regulatory Organisation ('LAUTRO'), Financial Intermediaries, Managers and Brokers Regulatory Association ('FIMBRA'), Association of Futures Brokers and Dealers Limited ('AFBD') and The Securities Association Limited ('TSA');
- a statutory body, including the FCA, the PRA, the Financial Services Authority (FSA), Securities and Investments Board ('SIB'), the Society of Lloyd's, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England, the Treasury – Insurance Directorate (formerly the DTI) and the recognised bodies;
- a designated professional body; or
- the equivalent of any of these regulators overseas.

By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 ~~as amended, the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979~~ you are required to give details of spent convictions (other than protected ones) in response to questions in this form.

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**4.1 Have you ever been convicted, in the UK or elsewhere, of any offence involving fraud, theft, false accounting or other dishonesty?**

No  Yes

**4.2 Have you ever been convicted, in the UK or elsewhere, of any offence related to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?**

No  Yes

**4.3 Have you ever been convicted, in the UK or elsewhere, of any offences other than those listed in 4.1 and 4.2 that are not spent?**

Do not include traffic offences unless these traffic offences resulted in a ban from driving or involved driving without insurance.

No  Yes

**4.4 Are you the subject, in the UK or elsewhere, of any current criminal investigation or proceedings?**

No  Yes

**4.5 Are you or have you ever been the subject, in the UK or elsewhere, of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (CCJ) or other judgement debts?**

No  Yes

**4.6 Are you aware of anybody's intention, in the UK or elsewhere, to take any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (CCJ) or other judgment debts against you?**

No  Yes

**4.7 Do you have any judgement debts (including CCJs), in the UK or elsewhere, made under a court order still outstanding, in full or in part?**

No  Yes

**4.8 Have you ever failed to satisfy any judgment debts (including CCJs), in the UK or elsewhere, within one year of the order being made?**

No  Yes

**4.9 Are you or have you ever been the subject in the UK or elsewhere of any bankruptcy proceedings, or proceedings for the sequestration of your estate?**

No  Yes

**4.10 Have you ever entered into a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed) or other agreement, in the UK or elsewhere, in favour of your creditors?**

No  Yes

**4.11 Do you or any undertaking under your management have any outstanding financial obligations arising from regulated activities, carried on in the past, in the UK or elsewhere?**

No  Yes

**4.12 Have you or any undertaking under your management ever been found guilty of carrying on any unauthorised regulated activities or been investigated for possible carrying on of unauthorised regulated activities?**

No  Yes

**4.13 Are you or have you ever been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?**

No  Yes

**4.14 Have you ever, in the UK or elsewhere, been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust, whether or not remunerated?**

No  Yes

**4.15 Have you ever, in the UK or elsewhere, been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?**

No  Yes

**4.16 Have you ever, in the UK or elsewhere, been disqualified by a court from acting as a director of a company or from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association?**

No  Yes

**4.17 Have you ever been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56A of the Financial Services and Markets Act 2000, or received a warning notice to make such a direction or order?**

No     Yes

**Activities regulated by us or other regulatory body****4.18 Have you or has any company, partnership or unincorporated association for which you are or were a controller, director, senior manager, partner or company secretary, during your association with that entity and for a period of three years after you ceased to be associated with it:**

4.18.1 been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by us or other regulatory body?

No  Yes

4.18.2 been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by us or other regulatory body?

No  Yes

4.18.3 resigned while under investigation by us, or been required to resign from us or other regulatory body?

No  Yes

4.18.4 applied to us or other regulatory body for any of the following and decided not to proceed with it:

- licence;
- authorisation;
- registration;
- notification;
- membership; or
- other permission?

No  Yes

4.18.5 had a finding against you in any civil action in relation to any activities regulated by us or other regulatory body?

No  Yes

**Your involvement in other organisations****4.19 Has any company, partnership, or unincorporated association of which you are or were a controller, director, senior manager, partner, or company secretary, in the UK or elsewhere, at any time during your involvement or within one year of your involvement:**

4.19.1 been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

No  Yes

4.19.2 been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?

No  Yes

4.19.3 been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?

No  Yes

4.19.4 been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (not mentioned in answer to question 4.18.2)?

No  Yes



**4.20 Do you have any personal or business interests, employment obligations, or any other situations that may conflict with your role as a controller of the applicant firm or your position at the controller?**

No  Yes

**4.21 Are you aware of any other information relevant to this application that we would reasonably expect you to give, including information that could have a material impact on this application?**

No  Yes

**4.22 If you have answered Yes to any of the questions 4.1 to 4.21, please give clear details on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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## 5 Declaration

It is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive. If necessary, appropriate professional advice should be sought before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete.

Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

With reference to the above, we may seek to verify the information in this form including answers pertaining to fitness and propriety.

- I understand it is a criminal offence knowingly or recklessly to give the FCA or PRA information that is materially false, misleading or deceptive.
- I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA or PRA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form. I also understand that the results of these checks may be disclosed to the applicant for authorisation.

Name		
Signature		
Date	dd/mm/yy	

### What to do next

You must give the form back to the person who is responsible for making the application for authorisation. They should send the form back to the appropriate regulator.



# Notification for Change in Controller

(Section 178 notice)

Partnership

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## Purpose of this form

This form should be completed by a partner of a partnership that wishes to acquire control or to increase control in a firm or in a parent undertaking of the firm. Please refer to the Handbook Glossary or section 422 of the Financial Services and Markets Act 2000 (FSMA) for the definition of control, controller, shares and voting power.

## Important information you should read before completing this form

To comply with the Data Protection Act 1998, any personal information provided to the FCA/PRA will be used to discharge our statutory functions under FSMA and other relevant legislation; it may be disclosed to third parties for those purposes.

**It is important that you disclose all relevant information and that it is accurate and complete. If you do not, you may be committing a criminal offence, it may increase time taken to assess your notification and may impact on your suitability as a controller.**

**If you leave a question blank, do not sign the declaration or do not attach the required supporting information and do not tell us why, the FCA/PRA will have to treat the notification as incomplete, which will result in delays. We may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.**

**Name of controller submitting this notification** (include the FCA/PRA Firm Reference Number, if applicable)

**Target firms** (include the FCA/PRA Firm Reference Number)

## Filling in the form

1 It is recommended you use your computer to complete the form:

- use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
- to add a new line in tables, press enter when in the cell;

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

## Contact details

A) Who should the FCA/PRA contact about this notification?

Title	
First names	
Surname	
Job title	
Company name	
Business address	
Postcode	
Phone number (including area code)	
Mobile number (optional)	
Fax number (including area code)	
Email address	

B) Please provide the following details for the service of any "relevant document" (including statutory notices) on the notice-giver in relation to this notice under the *Financial Services and Markets Act 2000* and in accordance with the *Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001*:

Title	
First names	
Surname	
Job title	
Company name	
Address	
Postcode	
What is the notice-giver's relationship with this address:	

**Definitions of terms can be found in the Handbook Glossary:**

**Controller:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G226>

**Control:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G221>

**Control function:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G224>

**Shares:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/S?definition=G1078>

**Voting power:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/V?definition=G1249>

**Aggregation of shares and acting in concert guidance:**  
<http://fshandbook.info/FS/html/handbook/SUP/11/Annex6G>

**Parent undertaking:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/P?definition=G832>

**Firm:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/F?definition=G430>

**Regulatory body:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/R?definition=G979>

# 1 About the notification

Please note that prior approval is required for proposed changes in control or increases in control to enter a higher control band. Even if the change in control or increase in control has already taken place without prior FCA/PRA approval, the FCA/PRA must still assess the suitability of new controllers that did not have prior approval. Therefore, a controller notification form should still be completed and submitted as soon as possible to allow a retrospective assessment of the change(s).

Has information been provided in another controller notification form?

- No ▶ Proceed to question 1.1  
 Yes ▶ Give details below and continue to section 2

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Do not leave any questions blank. If a question appears to be not applicable, state 'N/A' and explain why it is not applicable.

1.1 Has the change in control already taken place?

- No ▶ Give proposed date below and continue to question 1.2  
 Yes ▶ Give date below and continue to question 1.2

Date change in control took / is intended to take place.

Date	dd/mm/yy
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1.2 What prompted you to submit the notification at this time? If this notification is being submitted after the event, include details of why prior approval had not been sought for the change(s).

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1.3 Are you aware of other notifications that relate to this change in control?

(For example, another notification for a change in control, an approved person notification, a Variation of Permission, Waiver, etc.)

- No ▶ Continue to section 2  
 Yes ▶ Give details below

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## 2 About the target firm(s)

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 2.1
- Yes ▶ Give details below and proceed to Section 3

**2.1 Please list name(s) of the FCA/PRA-regulated firms undergoing the change in control (target firm(s)) and all the proposed controllers involved in this transaction.**

You may complete a notification for more than one target firm with the same new controller(s) or for more than one proposed controller for a single target firm. The relevant sections for each controller should be completed (make copies if necessary) and each controller (and target firm if this is a joint notification) must sign the declaration page in section 11.

Please list the names of all proposed controllers or existing controllers applying to increase their control of the named target firm(s). From now on, if the form refers to a controller, the FCA/PRA mean the proposed new controller or controller proposing to increase their control of the target firm(s) (unless otherwise stated). Give the current (before the change) and proposed (after the change) percentages of control for each controller for each relevant target firm in the table below.

In the column headed 'Description of control', please provide information on how the control is to be held (e.g. through shares, capital contribution, voting power, acting in concert, direct or via a parent, etc). Please refer to our Handbook Glossary for the definition of control, controller, shares and voting power.

You should consider, in line with the above definitions, persons acting in concert and significant influence when completing the table below.

Target firm FCA/PRA number	Target firm name(s)	Proposed controller name(s)	Proposed controller FCA/PRA number/ Registered no/ Date of birth	Proposed controller current control %	Proposed control % after the change	Description of how control is held (e.g. direct or via another entity; shares / voting power etc)

### 3 Partnership controller's details

3.1 Name of partnership controller:

3.2 Legal status of partnership controller:

3.3 Registration number of partnership controller.

If registered outside the UK, give equivalent reference number.

3.4 What is the head office address of the partnership controller?

Address			
County			
Country			
Postcode			

3.5 Is the partnership controller financially solvent?

- No ▶ **Please provide financial statements for the last three financial periods, approved, if possible, by an auditing firm; including balance sheet, profit and loss accounts/income statements, annual reports and financial annexes.**
- Yes ▶

(See 10.1.2 in the 'Supporting documents' section)

3.6 Give an overview of the partnership controller's entrepreneurial activities to date.

3.7 The questions that follow relate to information on:

- the partnership controller;
- any company under its control or in its group;
- any person with a position of influence over, or who effectively runs the business of, the partnership controller; and
- any other firm at which such a person, the partnership controller or any company under its control or in its group, holds or has ever held a position of influence (regarding matters arising during their association with the firm and up to one year after that association ceased).

In this section, all of the above will be referred to together as 'the controller and/or related persons / firms'.



### Criminal proceedings

In answering the questions in this part you should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if you are subject to the law of England and Wales, you must ~~also~~ disclose spent convictions and cautions (other than protected convictions and cautions). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if you are subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended

#### 3.7.1a Has the controller ever:

- (1) been convicted of any criminal offence? (Include any conviction of an offence for which an absolute or conditional discharge was received. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)  
 No       Yes
- (2) received a caution in relation to any criminal offence?  
 No       Yes
- (3) been arrested, summonsed or charged with any criminal offence, been otherwise prosecuted for any criminal offence or been the subject of any criminal proceeding or criminal investigation?  
 No       Yes
- (4) been ordered to produce documents related to any criminal investigation or been the subject of a search (with or without a warrant) related to any criminal investigation?  
 No       Yes

Include all matters even where the arrest, charge, prosecution or investigation did not result in a conviction and, in respect of 3.7.1a(4) even where the controller and/or related persons / firms themselves were not the subject of the investigation. However, in providing information in response to 3.7.1a you do not need to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

#### 3.7.1b

- (1) Has any person with a position of influence over, or who effectively runs the business of the controller ever been convicted of any criminal offence? (Include any conviction of an offence for which an absolute or conditional discharge was received. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)  
 No       Yes
- (2) Has any person with a position of influence over, or who effectively runs the business of the controller ever received a caution in relation to any criminal offence?  
 No       Yes
- (3) Is any person with a position of influence over, or who effectively runs the business of the controller the subject of any ongoing criminal proceedings or criminal investigation?  
 No       Yes
- (4) Has any person with a position of influence over, or who effectively runs the business of the controller been ordered to produce documents related to any ongoing criminal investigation or been the subject of a search (with or without a warrant) related to any ongoing criminal investigation?  
 No       Yes

Include all matters even where the controller and/or related persons / firms themselves were not the subject of the investigation.

**3.7.2 Is the controller currently the subject of any criminal proceedings or criminal investigations?**

No  Yes

If you have answered 'yes' to questions 3.7.1 or 3.7.2 above, please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details including reason(s), date(s) and duration(s) as appropriate:

**Civil proceedings**

In answering the questions in this part you should include matters whether in the UK or overseas.

**3.7.3 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been:**

(1) adjudged by a court civilly liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

No  Yes

(2) the subject of a judgement debt or award against them?

No  Yes

Include all County Court Judgement(s) (CCJs) made against the controller and/or related firms / persons, whether satisfied or not. Please include on a separate sheet of paper:

(a) the sum and date of all judgement debts, awards or CCJs (whether satisfied or not); and

(b) the total number of all judgement debts, awards or CCJs ordered.

(3) party to any other civil proceedings that resulted in any order against the controller and/or related persons / firms (other than a judgement debt or award referred to at 3.7.5 (2) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

No  Yes

**3.7.4 Is the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, currently:**

(1) a party to any civil proceedings?

No  Yes

(2) aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the controller and/or related persons / firms or the order of a judgement debt.)

No  Yes

**3.7.5 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

(1) filed for their own bankruptcy or had a bankruptcy petition served on them?

No  Yes

(2) been adjudged bankrupt?

No  Yes

(3) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?

No  Yes

(4) made any arrangements with their creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?

No  Yes

(5) had assets sequestrated?

No  Yes

(6) been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the person or result in any kind of agreement with the person?

No  Yes

**3.7.6 Is the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, currently involved in any proceedings in relation to any of the matters set out in 3.7.5(1)-(6) above (include where they are in the process of entering into any kind of agreement in favour of their creditors)?**

No  Yes

Please specify on a separate sheet of paper whether any bankruptcy orders made have been discharged.

**3.7.7 Does the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA/PRA or any other regulatory body), which they have carried on in the past?**

No  Yes

**3.7.8 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

(1) been put into liquidation?

No  Yes

(2) been wound up (whether compulsorily or voluntarily)?

No  Yes

(3) ceased trading?

No  Yes

(4) had a receiver or administrator appointed?

No  Yes

(5) entered into any voluntary arrangement with its creditors?

No  Yes

**If you have answered 'yes' to any of the questions in 3.7.3 to 3.7.8 above, please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details.**

### **Business and employment matters**

In answering the questions in this part you should include matters whether in the UK or overseas.

**3.7.9 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been:**

(1) dismissed;

(2) asked to resign or agreed to resign; or

(3) suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

No  Yes

**3.7.10 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been:**

- (1) disqualified from acting as a director or similar position?  
 No     Yes
- (2) the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against them)?  
 No     Yes
- (3) the subject of any investigation which might have led to disciplinary proceedings?  
 No     Yes
- (4) notified of any potential proceedings of a disciplinary nature against them?  
 No     Yes
- (5) the subject of any allegations of malpractice or misconduct in connection with any business activities?  
 No     Yes

**If you have answered 'yes' to questions in 3.7.9 or 3.7.10 above, please give full details on a separate sheet of paper. This at a minimum should include the reason(s), date(s) and duration. Tick this box to confirm that you have provided full details:**

### Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'firm' in the context of the questions below. All references to authorisation include any authorisation, licence, registration, approval, notification, membership or relevant permission required to carry on any activity. To avoid doubt, the definition of 'regulatory body', as set out in the guidance notes, includes HM Revenue and Customs for these purposes.

In answering the questions in this part you should include matters whether in the UK or overseas.

#### **3.7.11 In relation to activities regulated by the FCA/PRA or any other regulatory body, has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No     Yes
- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No     Yes
- (3) received a warning (whether public or private) that such disciplinary or intervention action may be taken against them?  
 No     Yes
- (4) been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding against them?  
 No     Yes
- (5) been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the controller and/or related person/firm or otherwise)?  
 No     Yes
- (6) resigned or ceased to act or operate whilst under investigation by any such body or been required to resign or cease acting / operating by any regulatory body?  
 No     Yes
- (7) decided, not to proceed with an application for authorisation to any regulatory body?  
 No     Yes
- (8) provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?  
 No     Yes

**3.7.12 In relation to activities regulated by the FCA/PRA or any other regulatory body, has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

- (1) been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisation?  
 No     Yes
- (2) been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against them?  
 No     Yes
- (3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?  
 No     Yes
- (4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against them?  
 No     Yes
- (5) been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a Private Warning?  
 No     Yes
- (6) been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?  
 No     Yes

**If you have answered 'yes' to questions 3.7.11 or 3.7.12 above, please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details:**

**If you have answered 'yes' to any of the questions under 3.7, please give clear details below and/or on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

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Please indicate how many separate sheets of paper you have used

Number of additional sheets	
-----------------------------	--

- 3.8 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, been subject to any material complaints made against them by their clients or former clients in the last five years, which are awaiting determination by, or have been upheld by, an ombudsman?**
- No ▶ Continue to question 3.9
- Yes ▶ Give details below

--

**3.9 Please provide a description of any financial and non-financial interests or relationships with:**

- any other current shareholders of the target firm(s);
- any person entitled to exercise voting rights;
- any member of the board or similar body, or of the senior management of the target firm(s);  
and
- the target firm(s) itself and its group.

**3.10 Has an assessment of reputation as a controller or as a director of a financial institution, already been conducted by another supervisory authority?**

- No ▶ Continue to question 3.11  
 Yes ▶ Give details below

**If yes, give the identity of authority below and attach evidence of the assessment and its outcome.**

(See 10.1.6 in the 'Supporting documents' section.)

**3.11 Has an assessment already been conducted by another authority from another, non-financial sector?**

- No ▶ Continue to section 4  
 Yes ▶ Give details below

**If yes, give the identity of authority below and attach evidence of the assessment and its outcome.**

(See 10.1.6 in the 'Supporting documents' section.)

## 4 Group and EEA information

In relation to consolidated financial supervision and financial conglomerates, please note the guidance in our Handbook under SUP11.5.4 and 11.5.4A.

### 4.1 Is the controller part of a group?

- No ▶ Continue to question 4.2  
 Yes ▶ Give information below about the current activities of the group

### 4.2 Is the controller or any firm in the group if the controller is part of a group, subject to regulation by another regulator?

- No ▶ Continue to section 5  
 Yes ▶ Please provide details below (if there is more than one, please use a separate sheet of paper to provide additional information.)

Name(s) of firm:

Description of the business

Country the firm is authorised in:

Regulator's name:

Regulator's contact details (including email address if known):

### 4.3 In relation to the activities of the controller, or the group the controller is part of, is the controller or any firm in the group (as defined in paragraph 5 of schedule 3 of FSMA) an EEA investment firm, an EEA credit institution, an EEA insurance undertaking, an EEA management company or the parent of any such firm?

- No ▶ Continue to question 4.4  
 Yes ▶ Please provide details below

Name(s) of firm:



**4.4 In relation to the activities of the group the controller is a part of, is the controller or any firm in the group a member of a financial conglomerate?**

In relation to consolidated financial supervision and financial conglomerates, please note the guidance in the Handbook under SUP 11.5.4 and 11.5.4A. The Handbook Glossary definition of a financial conglomerate refers to a decision tree in GENPRU 3 Annex 4: <http://fshandbook.info/FS/html/handbook/GENPRU/3/Annex4>.

- No ▶ Continue to question 4.5  
 Yes ▶ Please provide details below

**4.5 Is the controller or any firm in the group a member of a third-country financial conglomerate?**

- Third-country financial conglomerate – i.e. a financial conglomerate headed by a regulated entity or a mixed financial holding company that has its head office outside the EEA. The questionnaire in GENPRU 3 Annex 3 G and its explanatory notes will help you to assess this: <http://fshandbook.info/FS/html/handbook/GENPRU/3/Annex3>

- No ▶ Continue to question 4.6  
 Yes ▶ Please provide details below

**4.6 Is the controller or any firm in the group a member of a third-country banking and investment group?**

- Third-country banking and investment group – i.e. a group headed by a bank, asset management company, investment firm or financial holding company outside the EEA and not part of a wider EEA banking/investment group.

- No ▶ Continue to section 5  
 Yes ▶ Please provide details below

## 5 The partners of the controller

**For each partner that effectively runs the business, a complete curriculum vitae must be attached.**

(Please note if there is any outstanding information it will cause delays and the assessment period to issue a decision will not start until all required information has been received. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.) (See 10.1.1 in the 'Supporting documents' section)

### 5.1 You must give details of the controller's partners.

Full name	Date of birth	Status in partnership
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner
	dd/mm/yy	<input type="checkbox"/> equity <input type="checkbox"/> salaried <input type="checkbox"/> limited partner <input type="checkbox"/> general partner

## 6 The persons who effectively run the business of the partnership controller and its 'controllers'

**For each member or person that effectively runs the business, a complete curriculum vitae must be attached.**

(Please note if there is any outstanding information it will cause delays and the assessment period to issue a decision will not start until all required information has been received. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA) (See 10.1.1 in the 'Supporting documents' section.)

### 6.1 Please give details of all the persons who effectively run the business of the controller, if not already noted in section 5.

Full name	Date of birth	Position
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	

### Controllers of the controller

You must provide details of any and all persons with 10% or more of the shares or voting power in the partnership controller, either directly or through a parent undertaking (see the Handbook Glossary for the definition of a parent undertaking). Also list any person who holds shares or voting power in the partnership controller (or a parent undertaking) as a result of which it is able to exercise significant influence over the partnership controller. In the column headed 'Description of how control is held' provide information on how the control is held. Consider again issues such as voting power, right to share in profit, acting in concert and significant influence.

If the partnership controller is proposing to acquire 50% or more of the shares or voting power of a target firm then they may become a parent undertaking of the target firm. If the partnership controller is a parent undertaking, any person who is a controller of the partnership controller would also need to complete and submit an appropriate change in controller notification form.

Please note that the FCA/PRA considers parents of minority controllers to be controllers of authorised firms due to the extended definition of 'voting power' in s422 (5)(a)(v) FSMA.

Please refer to the Handbook Glossary for the definition of control, controller, shares and voting power.

**6.2 Are there any controllers of the controller?**

- No ▶ Continue to section 7
- Yes ▶ Please provide details below

Name	Percentage of control	Description of how control is held

**6.3 Please provide information about any shareholders agreements, in relation to the controllers noted in table 6.2.**

**6.4 Please provide the credit rating of the partnership controller and, if part of a group, the overall rating of the group.**

## 7 Controller structure charts

You must send the FCA/PRA control structure chart(s) that show the position of the target firm(s) undergoing the change in control and all controllers after the proposed change in control. These chart(s) should show all the firms and/or individuals within the structure and include:

- all entities in the group;
- parent undertakings;
- any undertaking(s)/subsidiaries other than the applicant firm;
- any other close links;
- anyone acting in concert;
- percentages of holdings;
- percentages of voting rights;
- percentages of control through right to share in capital, profits or liability for losses; and
- anyone with significant influence.

It would be helpful if you could also include a chart showing the position before the change.

It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.

(See 10.1.4 'Supporting documents' section.)

## 8 About the transaction

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 8.1  
 Yes ▶ Give details below and proceed to Section 9

**8.1 Is/are the target firm(s) aware of the proposed controllers' intent?**

- No  
 Yes

**8.2 Is the notification market sensitive?**

- No ▶ Continue to question 8.4  
 Yes ▶ Give details below and continue to question 8.3

**Please confirm why the notification is market sensitive.**

**8.3 What is the rationale behind the acquisition / what are the reasons for the change in control? Please provide a thorough explanation.**

**8.4 Does the proposed controller intend to make any changes to the target firm(s) regulated activities, business plan or strategy as a result of the change in control?**

- No ▶ Continue to question 8.6  
 Yes ▶ Give details below

**8.5 Does the proposed controller intend to restructure the legal form of the target firm(s) or their borrowings, capital structuring or financial arrangements?**

- No ▶ Continue to question 8.7  
 Yes ▶ Give details below for each target firm detailed in 2.1

Target Firm	Proposed changes

**8.6 Please provide full details of the cost of the acquisition including the price paid and any other related costs. Provide full details of how the entire cost is to be funded, with evidence of the origin of the funds. Also note details on access to capital and financial markets if applicable.**

Cost	Details of funding

**By way of evidence, please provide documentation (e.g. a loan agreement or bank statement) to support the information provided above.**

You must attach relevant supporting document as appropriate. (See 10.1.3 in the 'Supporting documents' section.)

**If you are not attaching supporting documentation you must explain why below.**

**8.7 Is there any involvement from/with other parties in the acquisition of control (e.g. contribution to financing, means of participation in financial or other current or future arrangements, etc)?**

- No ▶ Continue to question 8.9
- Yes ▶ Give details below

**8.8 Please provide details of any current or contemplated shareholders arrangements with other shareholders in relation to the target firm(s). (If none, state 'none'.)**

**8.9 Please provide information on assets (if any) of the controller or target firm(s) that are to be sold in the short term (conditions of sale, price and appraisal etc.) (If none, state 'none'.)**

**8.10 Does the proposed controller have any interests that may conflict with its role as a controller of the firm(s)?**

No ▶ Continue to question 8.12

Yes ▶ Give details below

**8.11 Please provide here any information relevant to this notification that we would reasonably expect you to give that you have not provided elsewhere. Provide supporting documentation and/or use additional sheets if required.**



## 9 Details of proposed control

Has information been provided in another controller notification form?

- No ▶ Proceed to question 9.1  
 Yes ▶ Give details below and proceed to Section 10

**9.1 Will the proposed controller become a parent undertaking (or a parent of a parent) of the target firm(s)? (See the Handbook Glossary or section 420 of FSMA for definition of 'parent undertaking'.)**

No ▶ Additional information may be requested once the information has been reviewed. Please note the assessment period for issuing a decision will not start until all the required information has been received. You will be notified as soon as possible if additional information is required and when the assessment period starts.

Yes ▶ **Please provide a business plan** (See 10.1.5 in the 'supporting documents' section for details of the minimum requirements for a business plan.)

For more detail on what is required, please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'. The website is:

[www.fca.org.uk](http://www.fca.org.uk)

**9.2 Do the proposed controller(s) intend to maintain, increase or reduce their level of control in the foreseeable future? Please provide details below.**

**9.3 If and after the proposed changes take place, how long do the proposed controller(s) intend to hold their control? Please provide details below.**

**9.4 Will control be actively exercised by any of the controllers and if so, what is the rationale for this? Please explain in full below. If the proposed controller will be a passive investor only, please also explain in full below.**

**9.5 Please provide information about the controller(s)' ability (financial position) and willingness to support the target firm(s) with additional own funds, if needed, for development of activities or in case of financial difficulties.**

If the proposed percentage of control is less than 20%, continue to section 10.  
If the proposed percentage of control is greater than 20%, continue below.

**9.6 What influence do the controller(s) propose to exercise on the target firm(s)' financial position, strategic development and allocation of resources?**

**9.7 Please describe intentions and expectations towards the target firm(s) in the medium-term, covering elements such as rationale, financial goals, synergies, reallocation of resources, integration, etc.**

## 10 Supporting documents

In addition to the documentation required with the main notification, please provide the following documentation. **Where this is not provided you must explain why.**

**The assessment period, which is 60 working days (before taking into account any interruption period) to assess a case, will start once you receive an acknowledgement of receipt for the purposes of section 189 of FSMA.**

**If the change in control has already taken place (i.e. this is a post notification) then the assessment period does not apply.**

Please note that any outstanding information will cause delays and the assessment period will not start until all required information has been received and acknowledged. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA. The FCA/PRA will notify you as soon as possible if there is any outstanding information and we will notify you when the assessment period starts and expires. Once the assessment period has started, it can be extended by up to 30 working days\* if further necessary information is required. You will be notified if the expiry date changes by virtue of any interruption period.

(\*For further information on this please refer to section 190 of FSMA.)

### 10.1 Indicate whether the required supporting documents will accompany this form. If not, you must explain why.

	<b>You are required to complete and send to us the following documents</b>	<b>Relevant part of form</b>	<b>Attached</b>	<b>If not attached, please explain why</b>
10.1.1	A curriculum vitae for each director/partner/member/person that effectively runs the business.  <i>Note: If an individual is currently an FCA/PRA approved person then a CV does not need to be provided</i>	Section 5 and 6	<input type="checkbox"/> Attached	
10.1.2	Financial statements for the proposed controller for the last three financial periods, approved if possible by an auditing firm, including balance sheet, profit and loss accounts/income statements, annual reports and financial annexes.  <i>Note: If a proposed corporate controller is currently an FCA/PRA authorised firm then accounts do not need to be provided,</i>	Question 3.5	<input type="checkbox"/> Attached	
10.1.3	Please submit the documentation as indicated, in support of information provided about the funding of the acquisition.	Question 8.6	<input type="checkbox"/> Attached	
10.1.4	Control structure charts that show the position of the firm(s) undergoing the change in control (the target firm(s)) after the proposed change in control. These charts should show all the firms and/or individuals within the control structure or group and must include: <ul style="list-style-type: none"> <li>all entities in the group;</li> </ul>	Section 7	<input type="checkbox"/> Attached	

	<ul style="list-style-type: none"> <li>• parent undertakings;</li> <li>• any undertaking(s) / subsidiaries other than the applicant firm;</li> <li>• any other close links;</li> <li>• anyone acting in concert;</li> <li>• percentages of holdings;</li> <li>• percentages of voting rights;</li> <li>• percentages of control through right to share in capital, profits or liability for losses; and</li> <li>• anyone with significant influence.</li> </ul> <p>It would be helpful if you could also include a chart showing the target firm(s)'s controller(s) before the change.</p> <p>It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.</p>			
10.1.5	<p>Please provide a business plan containing:</p> <p>(1) strategic developmental plan;</p> <p>(2) estimated financial statements for the target firm (solo and consolidated if applicable) for three years; and</p> <p>(3) information about the impact of the acquisition on the target firm including but not limited to its:</p> <p>i) Governance (including Board membership/composition, committee structure);</p> <p>ii) Systems and Controls; and</p> <p>iii) data security/financial crime.</p> <p>For more information please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'.</p>	Question 9.1	<input type="checkbox"/> Attached	
10.1.6	<p>If you have answered 'yes' to 3.10 or 3.11, attach evidence of the assessment and its outcome.</p>	3.10 and 3.11	<input type="checkbox"/> Attached	

**10.2 Other information (please specify).**

## 11 Declaration

If original declaration is not sent then it must be held on site for inspection if required.

### Who must sign the declaration?

Type of controller	Who must sign (authorised signatory)
A partnership	One partner
A limited partnership	A general partner

Authorised signatories for controller(s) (see above) and in the case of a joint notification, authorised signatories for target firm(s).

There will be a delay in processing the notification if any information is inaccurate or incomplete. Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the notification process.

- I understand it is a criminal offence knowingly or recklessly to give the FCA/PRA information that is false, misleading or deceptive.
- I confirm that the information in this form and any supporting documentation is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA/PRA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form and in any supporting documentation.
- The notice-giver(s) give their consent to receive communications from the FCA /PRA via email (including the serving of statutory-notices).

#### 11.1 I confirm that I am legally authorised to sign on behalf of the controller named below:

Name	
Signing on behalf of (controller)	
Position	
Signature	
Date	

#### 11.2 Are the proposed controllers making this notification in conjunction with the target firm(s), e.g. is this a joint notification?

- No (the target firm should notify the FCA/PRA separately, in writing)  
 Yes ▶ Complete the table below

#### I confirm that I am authorised to sign on behalf of the target firm(s) named below:

Name	
Signing on behalf of (target firm)	
Position	
Signature	
Date	

### What to do next - Submitting the form

In order to identify which of the options listed below apply, please go to the 'Firm Register' at [www.fca.org.uk](http://www.fca.org.uk) and check the 'Regulator section' which will state whether the firm is regulated by the FCA only or by both the FCA and PRA.

Please READ carefully:

- a) If there is only one target firm in the transaction, is it regulated by both the FCA and PRA?

- No  
 Yes  
 N/A ▶ if there is more than one target firm please go to question b

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA (you may wish to consider sending a notification marked 'COPY' to the FCA)**

- b) If there is more than one target firm in the transaction, are any of the target firm(s) regulated by both the FCA and PRA?

- No  
 Yes

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA and the FCA**

Please also CONFIRM the following:

- i) Are any of the proposed controller(s) regulated by both the FCA and PRA?

- No  
 Yes - please state which controller(s) (FRN number, if applicable)

- ii) Do any of the target firm(s) form part of a group that is regulated by both the FCA and PRA?

- No  
 Yes - please state which Group (FRN number, if applicable)

Contact details for both the FCA and PRA can be found below.

### By Email

1. The FCA/PRA recommend that you submit your notification via email.

2. Please send your notification to the FCA at **cic-notifications@fca.org.uk**
3. Please send your notification to the PRA at **PRA-ChangeinControl@bankofengland.co.uk**
4. Please note that emails containing attachments larger than **20mb** will get rejected by the server. In these cases, please submit your notification by post.
5. Accepted file types are: Microsoft Word, Microsoft Excel, Microsoft PowerPoint, Microsoft Project, PDF Adobe Acrobat files, BMP (image files created in paintbrush) TIFF files (fax), and Text files. Please note that emails with attachments that include file types that are not listed may result in your notification being acknowledged as incomplete.
6. Notifications received after 16:00 hours will be treated as being received on the following working day.
7. Unless requested, you do not need to submit the original documentation provided in your email. However we recommend that you retain a copy throughout the application process.
8. Section 11 declaration – The FCA/PRA will accept electronic signatures. Alternatively you should print this section, sign the declaration, scan it and then attach to your emailed notification.

### **By Post**

1. If you are submitting confidential/sensitive information, the FCA/PRA recommend that you send your notification via courier.
2. Please send your postal notification to the FCA at:

Change in Control Team  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

3. Please send your postal notification to the PRA at:

Assessment and Monitoring Team  
The Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA



# Notification for Change in Controller

(Section 178 notice)

Individual

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## Purpose of this form

This form should be completed by an individual who wishes to acquire control or to increase control in a firm or in a parent undertaking of the firm. Please refer to the Handbook Glossary or section 422 of the Financial Services and Markets Act 2000 (**FSMA**) for the definition of control, controller, shares and voting power.

## Important information you should read before completing this form

For the purposes of complying with the Data Protection Act 1988, please note that any personal information provided to us will be used to discharge our statutory functions under FSMA and other relevant legislation; it may be disclosed to third parties for those purposes.

**It is important that you disclose all relevant information and that it is accurate and complete. If you do not, you may be committing a criminal offence, it may increase time taken to assess your notification and may impact on your suitability as a controller.**

**If you leave a question blank, do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the notification as incomplete, which will result in delays. We may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.**

**Name of controller submitting this notification** (include the FCA/PRA Individual Reference Number, if applicable)

**Target firms** (include the FCA/PRA Firm Reference Number)

## Filling in the form

1 It is recommended you use your computer to complete the form:

- use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
- to add a new line in tables, press enter when in the cell;

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



## Contact details

A) Who should the FCA/PRA contact about this notification?

Title	
First names	
Surname	
Job title	
Company name	
Business address	
Postcode	
Phone number (including area code)	
Mobile number (optional)	
Fax number (including area code)	
Email address	

**B) Please provide the following details for the service of any "relevant document" (including statutory notices) on the notice-giver in relation to this notice under the *Financial Services and Markets Act 2000* and in accordance with the *Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001*:**

Title	
First names	
Surname	
Job title	
Company name	
Address	
Postcode	
What is the notice-giver's relationship with this address:	

**Definitions of terms can be found in the Handbook Glossary:**

**Controller:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G226>

**Control:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G221>

**Control function:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G224>

**Shares:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/S?definition=G1078>

**Voting power:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/V?definition=G1249>

**Aggregation of shares and acting in concert guidance:** <http://fshandbook.info/FS/html/handbook/SUP/11/Annex6G>

**Parent undertaking:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/P?definition=G832>

**Firm:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/F?definition=G430>

**Regulatory body:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/R?definition=G979>

## 1 About the notification

Please note that prior approval is required for proposed changes in control or increases in control to enter a higher control band. Even if the change in control or increase in control has already taken place without prior FCA/PRA approval, the FCA/PRA must still assess the suitability of new controllers that did not have prior approval. Therefore a controller notification form should still be completed and submitted as soon as possible to allow a retrospective assessment of the change(s).

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 1.1  
 Yes ▶ Give details below and continue to Section 2

--

**Do not leave any questions blank. If a question appears to be not applicable, state 'N/A' and explain why it is not applicable.**

**1.1 Has the change in control already taken place?**

- No ▶ Give proposed date below and continue to question 1.2  
 Yes ▶ Give date below and continue to question 1.2

**Date change in control took / is intended to take place.**

Date	dd/mm/yy
------	----------

**1.2 What prompted you to submit the notification at this time? If this notification is being submitted after the event, include details of why prior approval had not been sought for the change(s).**

--

**1.3 Are you aware of other notifications/notifications that relate to this change in control?**

(For example, another notification for a change in control, an approved person notification, a VOP or Waiver, etc.)

- No ▶ Continue to section 2  
 Yes ▶ Give details below

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## 2 About the target firm(s)

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 2.1
- Yes ▶ Give details below and proceed to Section 3

**2.1 Please list name(s) of the FCA/PRA-regulated firms undergoing the change in control (target firm(s)) and all the proposed controllers involved in this transaction.**

You may complete a notification for more than one target firm with the same new controller(s) or for more than one proposed controller for a single target firm. The relevant sections for each controller should be completed (make copies if necessary) and each controller (and target firm if this is a joint notification) must sign the declaration page in section 11.

From now on, if the form refers to **you, your or the controller**, the FCA/PRA mean the proposed new individual controller or individual controller proposing to increase their control of the target firm(s) (unless otherwise stated).

Please list names of all proposed controllers or existing controllers applying to increase their control of the named target firm(s). Note the current (before the change) and proposed (after the change) percentages of control for each controller in relation to each relevant target firm in the table below.

In the column headed 'Description of control' please provide information how the control is to be held (e.g. through shares, capital contribution, voting power, acting in concert, direct or via a parent, etc). Please refer to our Handbook Glossary for the definition of control, controller, shares and voting power.

You should consider, in line with the above definitions, persons acting in concert and significant influence when completing the table below.

Target firm FCA/PRA number	Target firm name(s)	Proposed controller name(s)	Proposed controller FCA/PRA number/ Registered no/ Date of birth	Proposed controller current control %	Proposed control % after the change	Description of how control is held (e.g. direct or via another entity; shares / voting power etc)

### 3 Your details

**A complete curriculum vitae detailing relevant education and training, previous professional experience and activities or additional functions currently performed will need to be attached for each individual controller.**

(See 10.1.1 in the 'Supporting documents' section).

If there is any outstanding information it will cause delays and the assessment period to issue a decision will not start until all required information has been received. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.

**3.1 Title:**

**3.2 Forenames:**

**3.3 Surname:**

**3.4 Have you ever been known by any other name?**

No ▶ Continue to question 3.5

Yes ▶ Give details below

**Give details of all previous names and the dates that these were changed.**

Title	Forename(s)	Surname	Date changed

**3.5 Name commonly known by:**

**3.6 Date of birth:**

**3.7 Place of birth:**

**3.8 National insurance number (if UK National):**

**3.9 Passport number, if national insurance number is not applicable:****3.10 Nationality****3.11 Have you ever had a different nationality?**

- No ▶ Continue to question 3.12  
 Yes ▶ Give details below

**Please state all your previous nationalities.**

**3.12 Please provide information about your financial position and strength: details concerning source(s) of revenue, assets and liabilities, pledges and guarantees etc.****3.13 Please provide a description of your current professional activities.****3.14 Please provide information about your ratings and public reports if available (if no ratings/reports are available, please state and explain why).****3.15 Please provide a description of any financial and non-financial interests or relationships with:**

- any other current shareholders of the target firm(s);
- any person entitled to exercise voting rights;
- any member of the board or similar body, or of the senior management of the target firm(s); and
- the target firm(s) itself or themselves.

## 4 Your address

### 4.1 Current private address

Please provide your address. If you live outside the UK, please give your residential address outside the UK and tick the box below.

The controller lives outside the UK and has no UK address.

Property			
Street			
Town			
County			
Country			
Postcode			

### 4.2 When did you move to this address?

--

If you moved to this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses. Please use a separate piece of paper if you need more space.

#### Previous address one:

Property			
Street			
Town			
County			
Country			
Postcode			

From	
To	

**Previous address two:**

Property			
Street			
Town			
County			
Country			
Postcode			

From	
To	

**Previous address three:**

Property			
Street			
Town			
County			
Country			
Postcode			

From	
To	



## 5 Other directorships and companies in which you hold control directly or indirectly

5.1 Do you hold any directorships within or outside the UK?

- No ▶ Continue to question 5.2
- Yes ▶ Give details below

Name of undertaking	Nature of business	Place of business

5.2 Do you hold directly or indirectly 10% or more of the shares or voting power in, or shares and voting power as a result of which you are able to exercise significant influence over, any other companies within or outside the UK?

- No ▶ Continue to question 5.3
- Yes ▶ Give details below

Name of undertaking	Nature of business	Place of business	Percentage of control held

5.3 Please provide information about the ratings and public reports of other companies under your control or directorships.

## 6 About your fitness and propriety

If you answer yes to any of the questions in section 6 below, please provide full details on a separate sheet of paper (see 6.6 below). If you are not certain of any of the questions, you must disclose the reasons for your uncertainty in connection with the relevant question, and explain your answer, on a separate sheet of paper.

### 6.1 Criminal proceedings

In answering the questions in this part you should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if you are subject to the law of England and Wales, you must ~~also~~ disclose spent convictions and cautions (other than protected convictions and cautions). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if you are subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

#### 6.1.1

- (1) Have you ever been convicted of any criminal offence? (You should include any conviction of an offence for which you received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)  
 No       Yes
- (2) Have you ever received a caution in relation to any criminal offence?  
 No       Yes
- (3) Are you the subject of any ongoing criminal investigation?  
 No       Yes
- (4) Have you been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?  
 No       Yes

(You should include all matters even where you yourself were not the subject of the investigation.)

#### 6.1.2 Are you currently the subject of any proceedings relating to any criminal offence?

No       Yes

Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.

#### 6.1.3 Has any firm at which you hold or have held a position of influence ever:

- (1) been convicted of any criminal offence?  
 No       Yes
- (2) been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?  
 No       Yes

(3) been the subject of any criminal proceeding which has not resulted in a conviction?

No  Yes

(4) been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

No  Yes

(You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm.) You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, for 6.1.3(4), even where the firm itself was not the subject of the investigation.) However, in providing information about the firm in response to 6.1.3, you do not need to disclose details of any specific individuals at the firm who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**6.1.4 Is any firm at which you hold or have held, within the last year, a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation?**

No  Yes

**If you have answered yes to any of the questions in Part 6.1 above, please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details including reason(s), date(s) and duration(s) as appropriate:**

## 6.2. Civil proceedings

In answering the questions in this part you should include matters whether in the UK or overseas.

### 6.2.1 Have you ever been:

(1) adjudged by a court civilly liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

No  Yes

(2) the subject of a judgement debt or award against you?

No  Yes

You should include all County Court Judgement(s) (CCJs) made against you, whether satisfied or not. Please include on a separate sheet of paper:

(a) the sum and date of all judgement debts, awards or CCJs (whether satisfied or not); and

(b) the total number of all judgement debts, awards or CCJs ordered.

(3) party to any other civil proceedings which resulted in any order against you (other than a judgement debt or award referred to at 6.2.1 (2) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

No  Yes

### 6.2.2 Are you currently:

(1) party to any civil proceedings?

No  Yes

- (2) aware of anybody's intention to begin civil proceedings against you? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against you.)

No       Yes

**6.2.3 Has any firm at which you hold or have held a position of influence ever been:**

- (1) adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?

No       Yes

- (2) the subject of a judgement debt or award against the firm? (You should include all CCJs) made against the firm, whether satisfied or not.)

No       Yes

- (3) party to any other civil proceedings which resulted in an order against the firm other than in relation to matters mentioned at 6.2.3(2) above?

No       Yes

(You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm.)

**6.2.4 Is any firm at which you hold or have held, within the last year, a position of influence currently:**

- (1) a party to civil proceedings?

No       Yes

- (2) aware of anyone's intention to begin civil proceedings against them?

No       Yes

**6.2.5 Have you ever (tick all that apply):**

- (1) filed for your own bankruptcy or had a bankruptcy petition served on you;

No       Yes

- (2) been adjudged bankrupt;

No       Yes

- (3) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;

No       Yes

- (4) made any arrangements with your creditors for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);

No       Yes

- (5) had assets sequestrated; or

No       Yes

- (6) been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against you or result in any kind of agreement with you?

No       Yes

**6.2.6 Are you currently involved in any proceedings in relation to any of the matters set out in 6.2.5(1) – (6) above (you should include where you are in the process of entering into any kind of agreement in favour of your creditors)?**

No  Yes

Please specify on a separate sheet of paper whether any bankruptcy orders made have been discharged.

**6.2.7 Do you have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA/PRA or any other regulatory body), which you have carried on in the past?**

No  Yes

**6.2.8 Has any firm at which you hold or have held a position of influence at any time during and within one year of your association with the firm ever:**

(1) been put into liquidation?

No  Yes

(2) been wound up (whether compulsorily or voluntarily)?

No  Yes

(3) ceased trading?

No  Yes

(4) had a receiver or administrator appointed?

No  Yes

(5) entered into any voluntary arrangement with its creditors?

No  Yes

**If you have answered yes to any of the questions in Part 6.2 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details.**

### **6.3. Business and employment matters**

In answering the questions in this part you should include matters whether in the UK or overseas.

**6.3.1 Have you ever been:**

- (1) dismissed;
- (2) asked to resign or agreed to resign; or
- (3) suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

No  Yes

**6.3.2 Have you ever been:**

- (1) disqualified from acting as a director or similar position?  
 No  Yes
- (2) the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against you)?  
 No  Yes
- (3) the subject of any investigation which has led or might lead to disciplinary proceedings?

- No       Yes
- (4) notified of any potential proceedings of a disciplinary nature against you?  
 No       Yes
- (5) the subject of any allegations of malpractice or misconduct in connection with any business activities?  
 No       Yes

**If you have answered yes to any of the questions in Part 6.3 above please give full details on a separate sheet of paper. This at a minimum should include the reason(s), date(s) and duration. Tick this box to confirm that you have provided full details:**

#### 6.4 Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'firm' in the context of the questions below. All references to authorisation include any authorisation, licence, registration, approval, notification, membership or relevant permission required to carry on any activity. To avoid doubt, the definition of 'regulatory body' as set out in the guidance notes includes HM Revenue and Customs for these purposes.

In answering the questions in this part you should include matters whether in the UK or overseas.

##### 6.4.1 In relation to activities regulated by the FCA/PRA or any other regulatory body have you ever:

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No       Yes
- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No       Yes
- (3) received a warning (whether public or private) that such disciplinary or intervention action may be taken against you?  
 No       Yes
- (4) been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding against you?  
 No       Yes
- (5) resigned or ceased to act whilst under investigation by any such body or been required to resign or cease acting by any regulatory body?  
 No       Yes
- (6) decided, not to proceed with an application for authorisation to any regulatory body?  
 No       Yes
- (7) provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?  
 No       Yes

##### 6.4.2 Has any firm at which you hold or have held a position of influence at any time during and within one year of your association with the firm ever:

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No       Yes

- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No       Yes
- (3) received a warning (whether public or private) that such disciplinary or intervention action may be taken against the firm?  
 No       Yes
- (4) been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding against the firm?  
 No       Yes
- (5) been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?  
 No       Yes
- (6) ceased operating whilst under investigation by any such body or been required to cease operating by any regulatory body?  
 No       Yes
- (7) decided, after making an application for any authorisation granted or required by any regulatory body, not to proceed with it?  
 No       Yes
- (8) provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?  
 No       Yes

**6.4.3 In relation to activities regulated by the FCA/PRA or any other regulatory body, have you ever:**

- (1) been found to have carried on activities for which authorisation by the FCA/PRA or any other regulatory body is required without the requisite authorisation?  
 No       Yes
- (2) been investigated for the possible carrying on of activities requiring authorisation by the FCA/PRA or any other regulatory body without the requisite authorisation, whether or not such investigation resulted in a finding against you?  
 No       Yes
- (3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?  
 No       Yes
- (4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against you?  
 No       Yes
- (5) been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a Private Warning?  
 No       Yes

**6.4.4 Has any firm at which you hold or have held a position of influence at any time during and within one year of your association with the firm ever:**

- (1) been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisation?  
 No       Yes
- (2) been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the firm?  
 No       Yes
- (3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?  
 No       Yes
- (4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the firm?  
 No       Yes
- (5) been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?  
 No       Yes

**If you have answered yes to any of the questions in Part 6.4 above, please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details:**

#### 6.5. Other matters

**6.5.1 Are you aware of any business interests, employment obligations, or any other circumstances that may cause a conflict of interest in respect of your control of the firm?**

No       Yes

**6.5.2 Are you aware of any other information relevant to this notification that we would reasonably expect you to give?**

No       Yes

**If you have answered 'yes' to any of the questions in Part 6.5 above, please give full details on a separate sheet of paper. This at a minimum should include the reason(s), date(s) and duration. Tick this box to confirm that you have provided full details:**



**6.6. If you have answered 'yes' to any of the questions in Section 6, please give clear details below and/or on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used.

Number of additional sheets	<input style="width: 100px; height: 20px;" type="text"/>
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## 7 Controller structure charts

**You must send the FCA/PRA control structure chart(s) that show the position of the target firm(s) undergoing the change in control and all controllers after the proposed change in control. These chart(s) should show all the firms and/or individuals within the structure and include:**

- all entities in the group;
- parent undertakings;
- any undertaking(s)/subsidiaries;
- any other close links;
- anyone acting in concert;
- percentages of holdings;
- percentages of voting rights;
- percentages of control through right-to-share in capital, profits or liability for losses; and
- anyone with significant influence.

**It would be helpful if you could also include a chart showing the position before the change.**

It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.

(See 10.1.3 in the 'Supporting documents' section.)

## 8 About the transaction

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 8.1  
 Yes ▶ Give details below and proceed to Section 9

**8.1 Is/are the target firm(s) aware of the proposed controllers' intent?**

- No  
 Yes

**8.2 Is the notification market sensitive?**

- No ▶ Continue to question 8.4  
 Yes ▶ Give details below and continue to question 8.3

**Please confirm why the notification is market sensitive.**

**8.3 What is the rationale behind the acquisition / what are the reasons for the change in control? Please provide a thorough explanation.**

**8.4 Does the proposed controller intend to make any changes to the target firm(s) regulated activities, business plan or strategy as a result of the change in control?**

- No ▶ Continue to question 8.5  
 Yes ▶ Give details below

**8.5 Does the proposed controller intend to restructure the legal form of the target firm(s) or their borrowings, capital structuring or financial arrangements?**

- No ▶ Continue to question 8.6  
 Yes ▶ Give details below for each target firm detailed in 2.1

Target Firm	Proposed changes

**8.6 Please provide full details of the cost of the acquisition including the price paid and any other related costs. Provide full details of how the entire cost is to be funded, with evidence of the origin of the funds. Also note details on access to capital and financial markets if applicable.**

Cost	Details of funding

**By way of evidence, please provide documentation (e.g. a loan agreement or bank statement) to support the information provided above.**

You must attach relevant supporting documents as appropriate. (See 10.1.2 in the 'Supporting documents' section.)

**If you are not attaching supporting documentation, you must explain why below.**

**8.7 Is there any involvement from/with other parties in the acquisition of control (e.g. contribution to financing, means of participation in financial or other current or future arrangements, etc)?**

- No ▶ Continue to question 8.8
- Yes ▶ Give details below

**8.8 Please provide details of any current or contemplated shareholders arrangements with other shareholders in relation to the target firm(s). (If none, state 'none'.)**

**8.9 Please provide information on assets (if any) of the controller or target firm(s) that are to be sold in the short term (conditions of sale, price and appraisal etc.) (If none, state 'none'.)**

**8.10 Does the proposed controller have any interests that may conflict with its role as a controller of the firm(s) that have not already been mentioned in 6.5.1?**

- No ▶ Continue to question 8.11
- Yes ▶ Give details below

**8.11 Please provide here any information you consider relevant to this notification that we would reasonably expect you to give and that you have not provided elsewhere. Provide supporting documentation and/or use additional sheets if required.**

## 9 Details of proposed control

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 9.1  
 Yes ▶ Give details below and proceed to Section 10

**9.1 Will the proposed controller become a parent undertaking (or a parent of a parent) of the target firm(s)? (See the Handbook Glossary or section 420 of FSMA for the definition of parent undertaking, which provides that a parent undertaking includes an individual who would be a parent undertaking if he were taken to be an undertaking).**

No ▶ Additional information may be requested once the information has been reviewed. Please note the assessment period for issuing a decision will not start until all the required information has been received. You will be notified as soon as possible if additional information is required and also when the assessment period starts.

Yes ▶ **Please provide a business plan** (See 10.1.4 in the 'supporting documents' section for details of the minimum requirements for a business plan.)

For more detail on what is required please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'. The website is:

[www.fca.org.uk](http://www.fca.org.uk)

**9.2 Do the proposed controller(s) intend to maintain, increase or reduce their level of control in the foreseeable future? Please provide details below.**

**9.3 If and after the proposed changes take place, how long do the controller(s) intend to hold their control? Please provide details below.**

**9.4 Will control be actively exercised by any of the controllers and, if so, what is the rationale for this? Please explain in full below. If the proposed controller will be a passive investor only, please also explain in full below.**

**9.5 Please provide information about the controller(s)' ability (financial position) and willingness to support the target firm(s) with additional own funds, if needed for development of activities or in case of financial difficulties.**

If the proposed percentage of control is less than 20%, continue to section 10.  
If the proposed percentage of control is greater than 20%, continue below.

**9.6 What influence do the controller(s) propose to exercise over the target firm(s)' financial position, strategic development and allocation of resources?**

**9.7 Please describe intentions and expectations towards the target firm(s) in the medium term, covering elements such as rationale, financial goals, synergies, reallocation of resources, integration, etc.**

## 10 Supporting documents

In addition to the documentation required with the main notification, please provide the following documentation. **Where this is not provided you must explain why.**

**The assessment period, which is 60 working days (before taking into account any interruption period) to assess a case, will start once you receive an acknowledgement of receipt for the purposes of section 189 of FSMA.**

**If the change in control has already taken place (i.e. this is a post notification) then the assessment period does not apply.**

Please note that any outstanding information will cause delays and the assessment period will not start until all required information has been received and acknowledged. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA. The FCA/PRA will notify you as soon as possible if there is any outstanding information and the FCA/PRA will notify you when the assessment period starts and expires. Once the assessment period has started, it can be extended by up to 30 working days\* if further necessary information is required. You will be notified if the expiry date changes by virtue of any interruption period.

(\*For further information on this please refer to section 190 of FSMA.)

### 10.1 Indicate whether the required supporting documents will accompany this form. If not, you must explain why.

	<b>You are required to complete and send to us the following documents</b>	<b>Relevant part of form</b>	<b>Attached</b>	<b>If not attached, please explain why</b>
10.1.1	Please submit a curriculum vitae detailing relevant education and training, previous professional experience, and activities or additional functions currently performed.  <i>Note: If you are currently an FCA/PRA approved person then a CV does not need to be provided.</i>	Section 3	<input type="checkbox"/> Attached	
10.1.2	Please submit the documentation as indicated, in support of information provided about the funding of the acquisition.	Question 8.6	<input type="checkbox"/> Attached	
10.1.3	You must send control structure charts that show the position of the firm(s) undergoing the change in control (the target firm(s)) after the proposed change in control. These charts should show all the firms and/or individuals within the structure and include, among others: <ul style="list-style-type: none"> <li>• all entities in the group;</li> <li>• parent undertakings;</li> <li>• any undertaking(s) / subsidiaries;</li> <li>• any other close links;</li> <li>• anyone acting in concert;</li> <li>• percentages of holdings;</li> <li>• percentages of voting rights;</li> <li>• percentages of control through right to share in capital, profits or liability</li> </ul>	Section 7	<input type="checkbox"/> Attached	



	<p>for losses; and</p> <ul style="list-style-type: none"> <li>• anyone with significant influence.</li> </ul> <p>It would be helpful if you could also include a chart showing the target firm(s)'s controller(s) before the change.</p> <p>It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.</p>			
10.1.4	<p>Please provide a business plan containing:</p> <p>(1) strategic developmental plan;</p> <p>(2) estimated financial statements for the target firm (solo and consolidated if applicable) for three years; and</p> <p>(3) information about the impact of the acquisition on the target firm including but not limited to its:</p> <p>i) Governance (including Board membership/composition, committee structure);</p> <p>ii) Systems and Controls;</p> <p>iii) data security/financial crime.</p> <p>For more information please refer to Appendix II, Part II of the 'guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'.</p>	Question 9.1	<input type="checkbox"/>	Attached
10.1.6	<p>If you have answered 'yes' to any of the questions about your fitness and propriety, you should provide documentation to support the details given in each case. Please give clear details below of the supporting documentation you will provide.</p>	Section 6	<input type="checkbox"/>	Attached

**10.2 Other information (please specify).**

# 11 Declaration

If original declaration is not sent then it must be held on site for inspection if required.

## Who must sign the declaration?

Type of controller	Who must sign (authorised signatory)
An individual	The individual

Authorised signatories for controller(s) (see above) and in the case of a joint notification, authorised signatories for target firm(s).

There will be a delay in processing the notification if any information is inaccurate or incomplete. Failure to notify the FCA/PRA immediately of any significant change to the information provided may result in a serious delay in the notification process.

- I understand it is a criminal offence knowingly or recklessly to give the FCA/PRA information that is false, misleading or deceptive.
- I confirm that the information in this form and any supporting documentation is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA/PRA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form or in any supporting documentation. I understand that individual applicants may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to the FCA/PRA.
- The notice-giver(s) give their consent to receive communications from the FCA/PRA via email (including the serving of statutory-notices).

### 11.1 I confirm that I am the individual controller:

Name		
Signature		
Date		

### 11.2 Are the proposed controllers making this notification in conjunction with the target firm(s), e.g. is this a joint notification?

- No (the target firm should notify the FCA/PRA separately, in writing)  
 Yes ▶ Complete the table below

I confirm that I am authorised to sign on behalf of the target firm(s) named below:

Name		
Signing on behalf of (target firm)		
Position		
Signature		
Date		

## What to do next - Submitting the form

In order to identify which of the options listed below apply, please go to the 'Firm Register' at [www.fca.org.uk](http://www.fca.org.uk) and check the 'Regulator section' which will state whether the firm is regulated by the FCA only or by both the FCA and PRA.

Please READ carefully:

- a) If there is only one target firm in the transaction, is it regulated by both the FCA and PRA?

- No  
 Yes  
 N/A ▶ if there is more than one target firm please go to question b

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA (you may wish to consider sending a notification marked 'COPY' to the FCA)**

- b) If there is more than one target firm in the transaction, are any of the target firm(s) regulated by both the FCA and PRA?

- No  
 Yes

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA and the FCA**

Please also CONFIRM the following:

- i) Are any of the proposed controller(s) regulated by both the FCA and PRA?

- No  
 Yes - please state which controller(s) (FRN number, if applicable)

- ii) Do any of the target firm(s) form part of a group that is regulated by both the FCA and PRA?

- No  
 Yes - please state which Group (FRN number, if applicable)

Contact details for both the FCA and PRA can be found below.

### By Email

1. The FCA/PRA recommend that you submit your notification via email.
2. Please send your notification to the FCA at **cic-notifications@fca.org.uk**
3. Please send your notification to the PRA at PRA-ChangeinControl@bankofengland.co.uk
4. Please note that emails containing attachments larger than **20mb** will get rejected by the server. In these cases, please submit your notification by post.
5. Accepted file types are: Microsoft Word, Microsoft Excel, Microsoft PowerPoint, Microsoft Project, PDF Adobe Acrobat files, BMP (image files created in paintbrush) TIFF files (fax), and Text files. Please note that emails with attachments that include file types that are not listed may result in your notification being acknowledged as incomplete.
6. Notifications received after 16:00 hours will be treated as being received on the following working day.
7. Unless requested, you do not need to submit the original documentation provided in your email. However we recommend that you retain a copy throughout the application process.
8. Section 11 declaration – The FCA/PRA will accept electronic signatures. Alternatively you should print this section, sign the declaration, scan it and then attach to your emailed notification.

### By Post

1. If you are submitting confidential/sensitive information, the FCA/PRA recommend that you send your notification via courier.
2. Please send your postal notification to the FCA at:

Change in Control Team  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

3. Please send your postal notification to the PRA at:

Assessment and Monitoring Team  
The Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA



## Notification for a Change in Controller (Section 178 notice) Corporate

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### Purpose of this form

This form should be completed by a director of a corporate entity that wishes to acquire control or to increase control in a firm or in a parent undertaking of the firm. Please refer to the Handbook Glossary or section 422 of the Financial Services and Markets Act 2000 (“**FSMA**”) for the definition of control, controller, shares and voting power.

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

To comply with the Data Protection Act 1998, any personal information provided to the FCA/PRA will be used to discharge our statutory functions under FSMA and other relevant legislation; it may be disclosed to third parties for those purposes.

**It is important that you disclose all relevant information and that it is accurate and complete. If you do not, you may be committing a criminal offence, it may increase time taken to assess your notification and may impact on your suitability as a controller.**

**If you leave a question blank, do not sign the declaration or do not attach the required supporting information and do not tell us why, the FCA/PRA will have to treat the notification as incomplete, which will result in delays. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.**

**Name of controller submitting this notification (include the FCA/ PRA Firm Reference Number, if applicable)**

**Target firms (include the FCA/ PRA Firm Reference Number)**

### Filling in the form

1 It is recommended you use your computer to complete the form:

- use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
- to add a new line in tables, press enter when in the cell;

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

## Contact details

A) Who should the FCA/PRA contact about this notification?

Title	
First names	
Surname	
Job title	
Company name	
Business address	
Postcode	
Phone number (including area code)	
Mobile number (optional)	
Fax number (including area code)	
Email address	

**B) Please provide the following details for the service of any "relevant document" (including statutory notices) on the notice-giver in relation to this notice under the *Financial Services and Markets Act 2000* and in accordance with the *Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001*:**

Title	
First names	
Surname	
Job title	
Company name	
Address	
Postcode	
What is the notice-giver's relationship with this address:	

**Definitions of terms can be found in the Handbook Glossary:**

**Controller:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G226>

**Control:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G221>

**Control function:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/C?definition=G224>

**Shares:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/S?definition=G1078>

**Voting power:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/V?definition=G1249>

**Aggregation of shares and acting in concert guidance:**

<http://fshandbook.info/FS/html/handbook/SUP/11/Annex6G>

**Parent undertaking:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/P?definition=G832>

**Firm:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/F?definition=G430>

**Regulatory body:** <http://fshandbook.info/FS/glossary-html/handbook/Glossary/R?definition=G979>

## 1 About the notification

Please note that prior approval is required for proposed changes in control or increases in control to enter the higher control band. Even if the change in control or increase in control has already taken place without prior FCA/PRA approval, the FCA/PRA must still assess the suitability of new controllers that did not have prior approval. Therefore a controller notification form should still be completed and submitted as soon as possible to allow a retrospective assessment of the change(s).

Do not leave any questions blank. If a question appears to be not applicable, state 'N/A' and explain why it is not applicable.

Has information been provided in another controller notification form?

- No ▶ Proceed to question 1.1
- Yes ▶ Give details below and continue to section 2

1.1 Has the change in control already taken place?

- No ▶ Give proposed date below and continue to question 1.2
- Yes ▶ Give date below and continue to question 1.2

Date change in control took / is intended to take place.

Date	dd/mm/yy
------	----------

1.2 What prompted you to submit the notification at this time? If this notification is being submitted after the event, include details of why prior approval had not been sought for the change(s).

1.3 Are you aware of other notifications/applications that relate to this change in control?

(For example, another notification for a change in control, an approved person application, a Variation of Permission or Waiver, etc.)

- No ▶ Continue to section 2
- Yes ▶ Give details below

## 2 About the target firm(s)

Has information been provided in another controller notification form?



- No ▶ Proceed to question 2.1
- Yes ▶ Give details below and proceed to Section 3

**2.1 Please list name(s) of the FCA/PRA-regulated firms undergoing the change in control (target firm(s)) and all the proposed controllers involved in this transaction.**

You may complete a notification for more than one target firm with the same new controller(s) or for more than one proposed controller for a single target firm. The relevant sections for each controller should be completed (make copies if necessary) and each controller (and target firm if this is a joint notification) must sign the declaration page in section 11.

Please list the names of all proposed controllers or existing controllers applying to increase their control of the named target firm(s). From now on, if the form refers to a controller, the FCA/PRA mean the proposed new controller or controller proposing to increase their control of the target firm(s) (unless otherwise stated). Give the current (before the change) and proposed (after the change) percentages of control for each controller for each relevant target firm in the table below.

In the column headed 'Description of control' please provide information on how the control is to be held (e.g. through shares, capital contribution, voting power, acting in concert, direct or via a parent, etc). Please refer to the Handbook Glossary for the definition of control, controller, shares and voting power.

You should consider, in line with the above definitions, persons acting in concert and significant influence when completing the table below.

Target firm FCA/PRA number	Target firm name(s)	Proposed controller name(s)	Proposed controller FCA/PRA number/ Registered no/ Date of Birth	Proposed controller current control %	Proposed control % after the change	Description of how control is held (e.g. direct or via another entity; shares / voting power etc)

### 3 Corporate controller's details

3.1 Name of corporate controller:

--

3.2 Legal status of corporate controller:

--

3.3 Please give registration number of corporate controller. If registered outside the UK, give equivalent reference number:

--

3.4 Country of incorporation or formation of the corporate controller:

--

3.5 Registered office address of the corporate controller:

Address			
County			
Country			
Postcode			

3.6 Is the head office address the same as your registered office address?

- No ▶ Give details below  
 Yes ▶ Continue to question 3.7

Address			
County			
Country			
Postcode			

3.7 Is the corporate controller financially solvent?

- No ▶ **Please provide financial statements for the last three financial periods, approved if possible by an auditing firm, including balance sheet, profit and loss accounts/income statements, annual reports and financial annexes.**  
 Yes ▶ (See 10.1.2 in the 'Supporting documents' section.)

**3.8 Please give an overview of the corporate controller's entrepreneurial activities to date.**

**3.9 The questions that follow relate to information on:**

- **the corporate controller;**
- **any company under its control or in its group;**
- **any person with a position of influence over, or who effectively runs the business of, the corporate controller; and**
- **any other firm at which such a person, the corporate controller or any company under its control or in its group, holds or has ever held a position of influence (regarding matters arising during their association with the firm and up to one year after that association ceased).**

**In this section, all of the above will be referred to together as 'the controller and/or related persons / firms'.**

**Criminal proceedings**

In answering the questions in this part you should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if you are subject to the law of England and Wales, you must ~~also~~ disclose spent convictions and cautions (other than protected convictions and cautions). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if you are subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**3.9.1a Has the controller ever (where applicable):**

- (1) been convicted of any criminal offence? (Include any conviction of an offence for which an absolute or conditional discharge was received. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)  
 No       Yes
- (2) received a caution in relation to any criminal offence?  
 No       Yes
- (3) been arrested, summonsed or charged with any criminal offence, been otherwise prosecuted for any criminal offence or been the subject of any criminal proceeding or criminal investigation?  
 No       Yes
- (4) been ordered to produce documents related to any criminal investigation or been the subject of a search (with or without a warrant) related to any criminal investigation?  
 No       Yes

(Include all matters even where the arrest, charge, prosecution or investigation did not result in a conviction and, in respect of 3.9.1(4), even where the controller and/or related persons / firms themselves were not the subject of the investigation.) However, in providing information in response to 3.9.1a, you do not need to disclose details of any specific individuals at the firm who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**3.9.1b**

- (1) Has any person with a position of influence over, or who effectively runs the business of the controller ever been convicted of any criminal offence? (Include any conviction of an offence for which an absolute or conditional discharge was received. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)
- No       Yes
- (2) Has any person with a position of influence over, or who effectively runs the business of the controller ever received a caution in relation to any criminal offence?
- No       Yes
- (3) Is any person with a position of influence over, or who effectively runs the business of the controller the subject of any ongoing criminal proceedings or ongoing criminal investigation?
- No       Yes
- (4) Has any person with a position of influence over, or who effectively runs the business of the controller been ordered to produce documents related to any ongoing criminal investigation or been the subject of a search (with or without a warrant) related to any ongoing criminal investigation?
- No       Yes

(Include all matters even where the controller and/or related persons / firms themselves were not the subject of the investigation.)

**3.9.2 Is the controller currently the subject of any criminal proceedings or criminal investigation?**

No       Yes

**If you have answered yes to questions 3.9.1 or 3.9.2 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details including reason(s), date(s) and duration(s) as appropriate:**

**Civil proceedings**

In answering the questions in this part you should include matters whether in the UK or overseas.

**3.9.3 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been:**

- (1) adjudged by a court civilly liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?
- No       Yes

- (2) the subject of a judgement debt or award against them?

No       Yes

You should include all County Court Judgement(s) ('CCJs') made against the controller and/or related firms / persons, whether satisfied or not. Please include on a separate sheet of paper:

- (a) the sum and date of all judgement debts, awards or CCJs (whether satisfied or not); and
- (b) the total number of all judgement debts, awards or CCJs ordered.

- (3) party to any other civil proceedings that resulted in any order against the controller and/or related persons / firms (other than a judgement debt or award referred to at 3.9.3 (2) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

No       Yes

**3.9.4 Is the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, currently:**

- (1) party to any civil proceedings?

No       Yes

- (2) aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the controller and/or related persons / firms.)

No  Yes

**3.9.5 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

- (1) filed for their own bankruptcy or had a bankruptcy petition served on them?  
 No  Yes
- (2) been adjudged bankrupt;  
 No  Yes
- (3) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?  
 No  Yes
- (4) made any arrangements with their creditors for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?  
 No  Yes
- (5) had assets sequestrated?  
 No  Yes
- (6) been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against them or result in any kind of agreement with them?  
 No  Yes

**3.9.6 Is the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller currently involved in any proceedings in relation to any of the matters set out in 3.9.5(1) - (6) above (include where they are in the process of entering into any kind of agreement in favour of their creditors)?**

No  Yes

Please specify on a separate sheet of paper whether any bankruptcy orders made have been discharged.

**3.9.7 Does the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA/PRA or any other regulatory body), which they have carried on in the past?**

No  Yes

**3.9.8 Has (a) any company under the control or in the group of the controller or (b) any persons with a position of influence over, or who effectively runs the business of the controller, ever:**

- (1) been put into liquidation?  
 No  Yes
- (2) been wound up (whether compulsorily or voluntarily)?  
 No  Yes
- (3) ceased trading?  
 No  Yes
- (4) had a receiver or administrator appointed?  
 No  Yes
- (5) entered into any voluntary arrangement with its creditors?  
 No  Yes

If you have answered yes to any of the questions in 3.9.3 to 3.9.8 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details.

### Business and employment matters

In answering the questions in this part you should include matters whether in the UK or overseas.

**3.9.9 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller ever been:**

- (1) dismissed;
- (2) asked to resign or agreed to resign; or
- (3) suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

No  Yes

**3.9.10 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been:**

- (1) disqualified from acting as a director or similar position?  
 No  Yes
- (2) the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against them)?  
 No  Yes
- (3) the subject of any investigation which might have led to disciplinary proceedings?  
 No  Yes
- (4) notified of any potential proceedings of a disciplinary nature against them?  
 No  Yes
- (5) the subject of any allegations of malpractice or misconduct in connection with any business activities?  
 No  Yes

If you have answered yes to questions in 3.9.9 or 3.9.10 above please give full details on a separate sheet of paper. This at a minimum should include the reason(s), date(s) and duration. Tick this box to confirm that you have provided full details:

### Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'firm' in the context of the questions below. All references to authorisation include any authorisation, licence, registration, approval, notification, membership or relevant permission required to carry on any activity. To avoid doubt, the definition of regulatory body as set out in the guidance notes includes HM Revenue and Customs for these purposes.

In answering the questions in this part you should include matters whether in the UK or overseas.

**3.9.11 In relation to activities regulated by the FCA/PRA or any other regulatory body has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller ever:**

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No  Yes
- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No  Yes
- (3) received a warning (whether public or private) that such disciplinary or intervention action may be taken against them?

No       Yes

- (4) been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding against them?

No       Yes

- (5) been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the controller and/or related person/firm or otherwise)?

No       Yes

- (6) resigned or ceased to act or operate whilst under investigation by any such body or been required to resign or cease acting / operating by any regulatory body?

No       Yes

- (7) decided, not to proceed with an application for authorisation to any regulatory body?

No       Yes

- (8) provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?

No       Yes

**3.9.12 In relation to activities regulated by the FCA/PRA or any other regulatory body has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller ever:**

- (1) been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisation?

No       Yes

- (2) been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation, whether or not such investigation resulted in a finding against them?

No       Yes

- (3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?

No       Yes

- (4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against them?

No       Yes

- (5) been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a Private Warning?

No       Yes

- (6) been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?

No       Yes

**If you have answered yes to questions 3.9.11 or 3.9.12 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details:**

**If you have answered 'yes' to any of the questions under 3.9, please give clear details below and/or on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;

- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
-----------------------------	--

**3.10 Has the controller and/or any persons with a position of influence over, or who effectively runs the business of the controller, ever been subject to any material complaints made against them by clients or former clients in the last five years, which are awaiting determination by or have been upheld by an ombudsman?**

- No ▶ Continue to question 3.11
- Yes ▶ Give details below

**3.11 Please provide a description of any financial and non-financial interests or relationships with:**

- any other current shareholders of the target firm(s);
- any person entitled to exercise voting rights;
- any member of the board or similar body, or of the senior management of the target firm(s); and
- the target firm(s) itself and its group.

**3.12 Has an assessment of reputation as a controller or as a director of a financial institution, already been conducted by another supervisory authority?**

- No ▶ Continue to question 3.14
- Yes ▶ Give details below



**If yes, give the identity of authority below and attach evidence of the assessment and its outcome.**

(See 10.1.6 in the 'Supporting documents' section.)

**3.13 Has an assessment already been conducted by another authority from another, non-financial sector?**

- No ▶ Continue to section 4
- Yes ▶ Give details below

**If yes, give the identity of authority below and attach evidence of the assessment and its outcome.**

(See 10.1.6 in the 'Supporting documents' section.).

## 4 Group and EEA Information

In relation to consolidated financial supervision and financial conglomerates, please note the guidance in the Handbook under SUP 11.5.4 and 11.5.4A.

### 4.1 Is the controller part of a group?

- No ▶ Continue to question 4.2  
 Yes ▶ Give information below about the current activities of the group

### 4.2 Is the controller or any firm in the group subject to regulation by another regulator?

- No ▶ Continue to section 5  
 Yes ▶ Please provide details below (if there is more than one, please use a separate sheet of paper to provide additional information)

Name(s) of firm:

Description of the business:

Country the firm is authorised in:

Regulator's name:

Regulator's contact details (including email address if known):

### 4.3 In relation to the activities of the controller, or the group the controller is part of, is the controller or any firm in the group (as defined in paragraph 5 of schedule 3 of FSMA) an EEA investment firm, an EEA credit institution, an EEA insurance undertaking, an EEA management company or the parent of any such firm?

- No ▶ Continue to question 4.4  
 Yes ▶ Please provide details below

Name(s) of firm:

### 4.4 In relation to the activities of the group the controller is a part of, is the controller or any firm in the group a member of a financial conglomerate?

In relation to consolidated financial supervision and financial conglomerates, please note the guidance in the Handbook under SUP 11.5.4 and 11.5.4A. The Handbook Glossary definition of a financial conglomerate refers to a decision tree in GENPRU 3 Annex 4: <http://fshandbook.info/FS/html/handbook/GENPRU/3/Annex4>.

- No ▶ Continue to question 4.5  
 Yes ▶ Please provide details below

**4.5 Is the controller or any firm in the group a member of a third-country financial conglomerate?**

- Third-country financial conglomerate – i.e. a financial conglomerate headed by a regulated entity or a mixed financial holding company that has its head office outside the EEA. The questionnaire in GENPRU 3 Annex 3 G and its explanatory notes will help you to assess this: <http://fshandbook.info/FS/html/handbook/GENPRU/3/Annex3>

- No ▶ Continue to question 4.6  
 Yes ▶ Please provide details below

**4.6 Is the controller or any firm in the group a member of a third-country banking and investment group?**

- Third-country banking and investment group – i.e. a group headed by a bank, asset management company, investment firm or financial holding company outside the EEA and not part of a wider EEA banking/investment group.

- No ▶ Continue to section 5  
 Yes ▶ Please provide details below

## 5 The corporate controller's directors/members

**For each director/member, a complete curriculum vitae must be attached.**

(Please note if there is any outstanding information it will cause delays and the assessment period to issue a decision will not start until all required information has been received. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.) (See 10.1.1 in the 'Supporting documents' section.)

**5.1 Please give details of all the corporate controller's directors or, in the case of a limited liability partnership controller, its members.**

Full name	Date of birth	Position
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	

## 6 The persons who effectively run the business of the corporate controller and its 'controllers'

**For each person that effectively runs the business, a complete curriculum vitae must be attached.** (Please note if there is any outstanding information it will cause delays and the assessment period to issue a decision will not start until all required information has been received. The FCA/PRA may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA.) (See 10.1.1 in the 'Supporting documents' section.)

### 6.1 Please give details of all the persons who effectively run the business of the controller, if not already noted in section 5.

Full name	Date of birth	Position
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	
	dd/mm/yy	

### Controllers of the controller

You must provide details of any and all persons with 10% or more of the shares or voting power in the corporate controller, either directly or through a parent undertaking (see the Handbook Glossary for the definition of a parent undertaking). Also list any person who holds shares or voting power in the corporate controller (or a parent undertaking) as a result of which it is able to exercise significant influence over the corporate controller. In the column headed 'Description of how control is held' provide information on how the control is held. Consider again issues such as voting power, right to share in profit, acting in concert and significant influence.

If the corporate controller is proposing to acquire 50% or more of the shares or voting power of a target firm then they may become a parent undertaking of the target firm. If the corporate controller is a parent undertaking, any person who is a controller of the corporate controller would also need to complete and submit an appropriate change in controller notification form.

Please note that the FCA/PRA considers parents of minority controllers to be controllers of firms due to the extended definition of 'voting power' in section 422 (5)(a)(v) of FSMA.

Please refer to our Handbook Glossary for the definition of control, controller, shares and voting power.

**6.2 Are there any controllers of the controller?**

- No ▶ Continue to section 7
- Yes ▶ Please provide details below

Name	Percentage of control	Description of how control is held

**6.3 Please provide information about any shareholders agreements, in relation to the controllers noted in the table in 6.2.**

**6.4 Please provide the credit rating of the corporate controller and, if part of a group, the overall rating of the group.**

## 7 Controller structure charts

You must send the FCA/PRA control structure chart(s) that show the position of the target firm(s) undergoing the change in control and all controllers after the proposed change in control. These chart(s) should show all the firms and/or individuals within the structure and include:

- all entities in the group;
- parent undertakings;
- any undertaking(s)/subsidiaries other than the applicant firm;
- any other close links;
- anyone acting in concert;
- percentages of holdings;
- percentages of voting rights;
- percentages of control through right to share in capital, profits or liability for losses; and
- anyone with significant influence.

It would be helpful if you could include a chart showing the position before the change.

It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.

(See 10.1.4 in the 'supporting documents' section.)

## 8 About the transaction

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 8.1  
 Yes ▶ Give details below and proceed to Section 9

**8.1 Is/are the target firm(s) aware of the proposed controllers' intent?**

- No  
 Yes

**8.2 Is the notification market sensitive?**

- No ▶ Continue to question 8.3  
 Yes ▶ Give details below and continue to question 8.3

**Please confirm why the notification is market sensitive.**

**8.3 What is the rationale behind the acquisition / what are the reasons for the change in control? Please provide a thorough explanation.**

**8.4 Does the proposed controller intend to make any changes to the target firm(s) regulated activities, business plan or strategy as a result of the change in control?**

- No ▶ Continue to question 8.5  
 Yes ▶ Give details below

**8.5 Does the proposed controller intend to restructure the legal form of the target firm(s) or their borrowings, capital structuring or financial arrangements?**

- No ▶ Continue to question 8.6  
 Yes ▶ Give details below for each target firm detailed in 2.1



Target Firm	Proposed changes

**8.6 Please provide full details of the cost of the acquisition including the price paid and any other related costs. Provide full details of how the entire cost is to be funded with evidence of the origin of the funds. Also note details on access to capital and financial markets if applicable.**

Cost	Details of funding

**By way of evidence, please provide documentation (e.g. a loan agreement or bank statement) to support the information provided above.**

You must attach relevant supporting documents as appropriate. (See 10.1.3 in the 'supporting documents' section.)

**If you are not attaching supporting documentation you must explain why below.**

**8.7 Is there any involvement from/with other parties in the acquisition of control (e.g. contribution to financing, means of participation in financial or other current or future arrangements, etc)?**

No ▶ Continue to question 8.8

Yes ▶ Give details below

**8.8 Please provide details of any current or contemplated shareholders arrangements with other shareholders in relation to the target firm(s). (If none, state 'none'.)**

**8.9 Please provide information on assets (if any) of the controller or target firm(s) that are to be sold in the short term (conditions of sale, price and appraisal etc.) (If none, state 'none'.)**

**8.10 Does the proposed controller have any interests that may conflict with its role as a controller of the firm(s)?**

- No ▶ Continue to question 8.11
- Yes ▶ Give details below

**8.11 Please provide here any information you consider relevant to this notification that we would reasonably expect you to give which you have not provided elsewhere. Provide supporting documentation and/or use additional sheets if required.**

## 9 Details of proposed control

**Has information been provided in another controller notification form?**

- No ▶ Proceed to question 9.1  
 Yes ▶ Give details below and proceed to Section 10

**9.1 Will the proposed controller become a parent undertaking (or a parent of a parent) of the target firm(s)? (See the Handbook Glossary or section 420 of FSMA for definition of parent undertaking.)**

No ▶ Additional information may be requested once the information has been reviewed. Please note the assessment period for issuing a decision will not start until all the required information has been received. You will be notified as soon as possible if additional information is required and also when the assessment period starts.

Yes ▶ **Please provide a business plan** (See 10.1.5 in the 'supporting documents' section for details of the minimum requirements for a business plan.)

For more detail on what is required please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'. The website is:

[www.fca.org.uk](http://www.fca.org.uk)

**9.2 Do the proposed controller(s) intend to maintain, increase or reduce their level of control in the foreseeable future? Please provide details below.**

**9.3 If and after the proposed changes take place, how long do the controller(s) intend to hold their control? Please provide details below.**

**9.4 Will control be actively exercised by any of the controllers and if so what is the rationale for this? Please explain in full below. If the proposed controller will be a passive investor only, please also explain in full below.**

**9.5 Please provide information about the controller(s)' ability (financial position) and willingness to support the target firm(s) with additional own funds, if needed for development of activities or in case of financial difficulties.**

If the proposed percentage of control is less than 20%, continue to section 10.  
If the proposed percentage of control is greater than 20%, continue below.

**9.6 What influence do the controller(s) propose to exercise over the target firm(s)' financial position, strategic development and allocation of resources?**

**9.7 Please describe intentions and expectations towards the target firm(s) in the medium-term, covering elements such as rationale, financial goals, synergies, reallocation of resources, integration, etc.**

## 10 Supporting documents

In addition to the documentation required with the main notification, please provide the following documentation. **Where this is not provided you must explain why.**

**The assessment period, which is 60 working days (before taking into account any interruption period) to assess a case, will start once you receive an acknowledgement of receipt for the purposes of section 189 of FSMA.**

**If the change in control has already taken place (i.e. this is a post notification) then the assessment period does not apply.**

Please note that any outstanding information will cause delays and the assessment period will not start until all required information has been received and acknowledged. We may object to a notification if the information provided is incomplete. Please refer to section 185(3)(b) of FSMA. The FCAPRA will notify you as soon as possible if there is any outstanding information and the FCA/PRA will notify you when the assessment period starts and expires. Once the assessment period has started, it can be extended by up to 30 working days\* if further necessary information is required. You will be notified if the expiry date changes by virtue of any interruption period.

(\*For further information on this please refer to section 190 of FSMA.)

### 10.1 Indicate whether the required supporting documents will accompany this form. If not, you must explain why.

	<b>You are required to complete and send to the FCA/PRA the following documents</b>	<b>Relevant part of form</b>	<b>Attached</b>	<b>If not attached, please explain why</b>
10.1.1	A curriculum vitae detailing relevant education and training, previous professional experience, and activities or additional functions currently performed.  <i>Note: If an individual is currently an FCA/PRA approved person then a CV does not need to be provided</i>	Section 5 & 6	<input type="checkbox"/> Attached	
10.1.2	Financial statements for the proposed corporate controller for the last three financial periods, approved if possible by an auditing firm, including balance sheet, profit and loss accounts/income statements, annual reports and financial annexes.  <i>Note: If a proposed corporate controller is currently an FCA/PRA authorised firm then accounts do not need to be provided,</i>	Question 3.7	<input type="checkbox"/> Attached	
10.1.3	Please submit the documentation as indicated, in support of information provided about the funding of the acquisition.	Question 8.6	<input type="checkbox"/> Attached	
10.1.4	Control structure charts that show the position of the firm(s) undergoing the change in control (the target firm(s)) after the proposed change in control. These charts should show all the firms and/or individuals within the structure and include: <ul style="list-style-type: none"> <li>all entities in the group;</li> </ul>	Section 7	<input type="checkbox"/> Attached	

	<ul style="list-style-type: none"> <li>• parent undertakings;</li> <li>• any undertaking(s) / subsidiaries;</li> <li>• any other close links;</li> <li>• anyone acting in concert;</li> <li>• percentages of holdings;</li> <li>• percentages of voting rights;</li> <li>• percentages of control through right to share in capital, profits or liability for losses; and</li> <li>• anyone with significant influence.</li> </ul> <p>It would be helpful if you could also include a chart showing the target firm(s)'s controller(s) before the change.</p> <p>It is recommended that you read section 422 of FSMA for the definition of controller and to clarify the terms used above.</p>			
10.1.5	<p>Business plan containing:</p> <p>(1) strategic developmental plan;</p> <p>(2) estimated financial statements for the target firm (solo and consolidated if applicable) for three years; and</p> <p>(3) information about the impact of the acquisition on the target firm including but not limited to it's:</p> <p>i) Governance (including Board membership/composition, committee structure);</p> <p>ii) Systems and Controls; and</p> <p>iii) data security/financial crime</p> <p>For more information please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'.</p>	Question 9.1	<input type="checkbox"/>	Attached
10.1.6	<p>If you have answered yes to any of the following questions; 3.9, 3.10, 3.12 or 3.13, you should provide documentation to support the details given in each case. Please give clear details below of the supporting documentation you will provide.</p>	Section 3 (questions; 3.9,3.10,3.12 and 3.13)	<input type="checkbox"/>	Attached

**10.2 Other information (please specify).**

## 11 Declaration

If original declaration is not sent then it must be held on site for inspection if required.

### Who must sign the declaration?

Type of controller	Who must sign (authorised signatory)
A sole trader who employs one or more	The sole trader
A company with one director	The director
A company with more than one director	One director

Authorised signatories for controller(s) (see above) and in the case of a joint notification, authorised signatories for target firm(s).

There will be a delay in processing the notification if any information is inaccurate or incomplete. Failure to notify the FCA/PRA immediately of any significant change to the information provided may result in a serious delay in the notification process

- I understand it is a criminal offence knowingly or recklessly to give the FCA/PRA information that is false, misleading or deceptive.
- I confirm that the information in this form and any supporting documentation is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA/PRA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form or in any supporting documentation.
- The notice-giver(s) give their consent to receive communications from the FCA/PRA via email (including the serving of statutory-notices).

#### 11.1 I confirm that I am legally authorised to sign on behalf of the controller named below:

Name	
Signing on behalf of (controller)	
Position	
Signature	
Date	

#### 11.2 Is/are the proposed controller(s) making this notification in conjunction with the target firm(s), e.g. is this a joint notification?

- No  
 Yes ▶ Complete the table below

#### I confirm that I am authorised to sign on behalf of the target firm(s) named below:

Name	
Signing on behalf of (target firm)	
Position	
Signature	
Date	

## What to do next - Submitting the form

In order to identify which of the options listed below apply, please go to the 'Firm Register' at [www.fca.org.uk](http://www.fca.org.uk) and check the 'Regulator section' which will state whether the firm is regulated by the FCA only or by both the FCA and PRA.

Please READ carefully:

- a) If there is only one target firm in the transaction, is it regulated by both the FCA and PRA?

- No  
 Yes  
 N/A ▶ if there is more than one target firm please go to question b

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA (you may wish to consider sending a notification marked 'COPY' to the FCA)**

- b) If there is more than one target firm in the transaction, are any of the target firm(s) regulated by both the FCA and PRA?

- No  
 Yes

**If the answer is:**

**No ▶ please send your notification to the FCA**

**Yes ▶ please send your notification to the PRA and the FCA**

Please also CONFIRM the following:

- i) Are any of the proposed controller(s) regulated by both the FCA and PRA?

- No  
 Yes - please state which controller(s) (FRN number, if applicable)

- ii) Do any of the target firm(s) form part of a group that is regulated by both the FCA and PRA?

- No  
 Yes - please state which Group (FRN number, if applicable)



Contact details for both the FCA and PRA can be found below.

### By Email

1. The FCA/PRA recommend that you submit your notification via email.
2. Please send your notification to the FCA at **cic-notifications@fca.org.uk**
3. Please send your notification to the PRA at PRA-ChangeinControl@bankofengland.co.uk
4. Please note that emails containing attachments larger than **20mb** will get rejected by the server. In these cases, please submit your notification by post.
5. Accepted file types are: Microsoft Word, Microsoft Excel, Microsoft PowerPoint, Microsoft Project, PDF Adobe Acrobat files, BMP (image files created in paintbrush) TIFF files (fax), and Text files. Please note that emails with attachments that include file types that are not listed may result in your notification being acknowledged as incomplete.
6. Notifications received after 16:00 hours will be treated as being received on the following working day.
7. Unless requested, you do not need to submit the original documentation provided in your email. However we recommend that you retain a copy throughout the application process.
8. Section 11 declaration – The FCA/PRA will accept electronic signatures. Alternatively you should print this section, sign the declaration, scan it and then attach to your emailed notification.

### By Post

1. If you are submitting confidential/sensitive information, the FCA/PRA recommend that you send your notification via courier.
2. Please send your postal notification to the FCA at:

Change in Control Team  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS

3. Please send your postal notification to the PRA at:

Assessment and Monitoring Team  
The Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA

**Part 2: FCA Forms amended by direction or requirement**

Short Form – Incoming EEA only

Long Form A – Incoming EEA only (version with effect from 7 March 2016)

Sole Trader Appendix

PSD Individual Form: Application Form for an individual responsible for the management of a Payment Institution

Application for a Payment Institution Qualifying Holding (Controller) – Individual Form

Notification for a 'Change in Qualifying Holding' Individual (Controller) Form for a Payment Institution

Add a PSD agent form: Application under regulation 29 of The Payment Services Regulations 2009

Application Form for an individual responsible for the management of an Electronic Money Institution

Application for Authorisation as an Authorised Electronic Money Institution Qualifying holding (Controller) Individual

Add an EMD Agent Form: Application under regulation 34 of the Electronic Money Regulations 2011

Application for Registration as a Small Electronic Money Institution (SEMI) form

Application number  
(for FCA/PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the candidate in answering the questions in this form. Please read these notes, which are available on both the *FCA* and *PRA* websites at:

[http://media.fshandbook.info/Forms/notes/imap\\_forma\\_notes.doc](http://media.fshandbook.info/Forms/notes/imap_forma_notes.doc)

<https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>

<http://www.bankofengland.co.uk/PRA>

Both the applicant and the candidate will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

## Short Form A - Incoming EEA Only Application to perform controlled functions under the approved persons regime

*FCA Handbook* Reference: SUP 10A Annex 4D

*PRA Handbook* Reference: SUP 10B Annex 4D

1 April 2013

7 March 2016

Name of *candidate*<sup>†</sup>  
(to be completed by applicant firm)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

*Firm* reference number<sup>†</sup>  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 845 606 9966  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org](mailto:iva@fca.org)  
Website <http://www.fca.org>

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

1.01 a	<i>Candidate</i> Individual Reference Number (IRN)	
b	OR name of previous regulatory body	
c	AND previous reference number (if applicable)	
1.02	Title (e.g. Mr, Mrs, Ms, etc)	
1.03	Surname	
1.04	ALL forenames	
1.05	Name commonly known by	
1.06	Date of birth (dd/mm/yyyy)	/ /
1.07	National Insurance number	
1.08	Previous name	
1.09	Date of name change	/ /
1.10 a	Nationality	
b	Passport number (if National Insurance number not available)	
1.11	Place of birth	



I have supplied further information related to this page in Section 6 YES  NO

~~Version 6~~

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

1.12 a Private address

[Redacted address field]

b

Postcode

c

Dates resident at this address (mm/yyyy)

From

/

To

PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1

[Redacted address field]

b

Postcode

c

Dates resident at this address (mm/yyyy)

From

/

To

/

1.14 a Previous address 2

[Redacted address field]

b

Postcode

c

Dates resident at this address (mm/yyyy)

From

/

To

/



I have supplied further information related to this page in Section 6

YES

NO

~~Version 6~~

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

2.01	Name of <i>firm</i> making the application	
2.02	Firm Reference Number (FRN)	
2.03 a	Who should the <del>FCA/PPA</del> contact at the <i>firm</i> in relation to this application?	
b	Position	
c	Telephone	
d	Fax	
e	E-mail	



I have supplied further information related to this page in Section 6 YES  NO

~~Version 6~~

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

**3.01** Nature of the arrangement between the candidate and the applicant.

<i>a</i>	<i>Employee</i>	<input type="checkbox"/>
<hr/>		
<i>b</i>	<i>Group employee</i>	<input type="checkbox"/>
	Name of group	<div style="background-color: #cccccc; width: 100%; height: 15px;"></div>
<hr/>		
<i>c</i>	<i>Contract for services</i>	<input type="checkbox"/>
<hr/>		
<i>d</i>	<i>Partner/Sole trader</i>	<input type="checkbox"/>
<hr/>		
<i>e</i>	<i>Appointed representative/tied agent – customer function</i>	<input type="checkbox"/>
	AR firm name and reference number	<div style="background-color: #cccccc; width: 100%; height: 15px;"></div>
<hr/>		
<i>f</i>	<i>Appointed representative/tied agent – governing function</i>	<input type="checkbox"/>
	AR firm name and reference number	<div style="background-color: #cccccc; width: 100%; height: 15px;"></div>
<hr/>		
<i>g</i>	<i>Other</i>	<input type="checkbox"/>
	Give details	<div style="background-color: #cccccc; width: 100%; height: 60px;"></div>

**3.02** For applications from a single firm, please tick the boxes that correspond to the controlled functions to be performed.

If the controlled functions are to be performed for more than one firm, please go to question 3.05

<b>a</b>	<b>Significant influence functions</b>	CF 11 Money laundering reporting function	<input type="checkbox"/>
		CF 12 Actuarial function	<input type="checkbox"/>
		CF 12A With profits actuary function	<input type="checkbox"/>
		CF 12B Lloyd's Actuary function	<input type="checkbox"/>
<hr/>		CF 29 Significant management function	<input type="checkbox"/>
<b>b</b>	<b>significant influence functions continued</b>	CF 40 Benchmark submission function	<input type="checkbox"/>
		CF 50 Benchmark administration function	<input type="checkbox"/>
<hr/>		CF 30 Customer function	<input type="checkbox"/>
<b>c</b>	<b>Customer function</b>		



I have supplied further information related to this page in Section 6

YES  NO

**Version 6**

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

**Short Form A – Incoming EEA**

**Application to perform controlled function under the approved persons regime**

**3.03** Effective date of *controlled functions* indicated above

/ /

**3.04** Job title (mandatory for *controlled functions* 29)

Please refer to notes on the requirements for submitting a CV

**Insurance mediation**

Will the candidate be responsible for Insurance mediation at the firm? †

(Note: Yes can only be selected if the individual is applying for (CF1, 3-8 or 29)

YES  NO



I have supplied further information related to this page in Section 6

YES  NO

~~Version 6~~

~~† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7~~

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~



**3.05**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.

	<b>Firm Reference Number</b>	<b>Name of <i>firm</i></b>	<b><i>Controlled function</i></b>	<b>Job title</b> (mandatory for <i>controlled function</i> 29)	<b>Effective date</b>
<b>a</b>					//
<b>b</b>					//
<b>c</b>					//
<b>d</b>					//
<b>e</b>					//



I have supplied further information related to this page in Section 6

YES

NO

~~Version 6~~

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

This section has been removed. However if there has been a change to the detail in this section since your last approval, you must submit a Long Form A as opposed to a Short Form A informing the *FCA and/or PRA* of the revised detail.

This section has been removed. However if there has been a change to the detail in this section since your last approval, you must submit a Long Form A as opposed to a Short Form A informing the *FCA and/or PRA* of the revised detail.

- 6.00
- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
  - If this application relates to a Significant influence controlled function then please provide full details of
    - why the candidate is competent and capable to carry out the controlled function(s) applied for.
    - why the appointment complements the firm's business strategy, activity and market in which it operates.
    - how the appointment was agreed including details of any discussions at governing body level (where applicable).
  - **If this application relates to a Significant influence controlled function for a Solvency II firm please provide a copy of the scope of responsibilities document.**
  - Please also include here any additional information indicated in previous sections of the Form.
  - **Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)**
  - If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Question	Information

~~Version 6~~

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

**Declaration of Candidate**

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 the Financial Services and Markets Act 2000).

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.~~

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the ~~FCA and/or PRA~~ to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the ~~applicant~~ candidate.

With reference to the above, the ~~FCA and/or PRA~~ may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

**In signing this form on behalf of the firm:**

a) I authorise the ~~FCA and/or PRA~~ to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application'

b) 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.

c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Statements of Principle and Code of Practice or Code of Conduct (COCON) for Approved Persons

(<http://fshandbook.info/fs/html/handbook/APER>)

(<https://handbook.fca.org.uk/handbook/COCON>)

(<http://www.bankofengland.co.uk/PRA>)

7.01 Candidate's full name<sup>†</sup>

7.02 Signature<sup>\*</sup>

Date<sup>†</sup> / /

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

<sup>\*</sup> The above question(s) should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if submission of this form is online.

~~Version 6~~

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

## Declaration of Firm

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 the Financial Services and Markets Act 2000). SUP 15.6.1R and SUP 15.6.4R 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.

~~APER 4.4.7 E provides that, where an approved person is responsible for reporting matters to the FCA and/or PRA, failure to inform the FCA and/or PRA of materially significant information of which he is aware is a breach of Statement of Principle 4. Where an approved person is responsible for reporting matters to the FCA and/or PRA, failure to inform the FCA and/or PRA of materially significant information of which he is aware is a breach of APER or COCON.~~ Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the ~~FCA and/or PRA~~. 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.~~

In making this application the *firm* believes on the basis of due and diligent enquiry that the *candidate* is a fit and proper *person* to perform the *controlled function(s)* listed in section 3.

**FOR FIRMS UNDERTAKING ANY NON MIFID BUSINESS PLEASE ALSO COMPLETE THE FOLLOWING**

The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such *function(s)*.

YES  NO

With reference to the above, the ~~FCA and/or PRA~~ may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

In signing this form on behalf of the firm:

a) 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.

b) I confirm that I have authority to make this application, and sign this Form, on behalf of each *firm* identified in section 3.05. I also confirm that a copy of this Form, as submitted to the ~~FCA and/or PRA~~, will be sent to each of those *firms* at the same time as submitting the Form to the ~~FCA and/or PRA~~.

c) I confirm the candidate has been made aware of the regulatory responsibilities of proposed role as set out in, the Statements of Principle and Code of Practice or Code of Conduct (COCON) for Approved Persons.

[\(<http://fshandbook.info/fs/html/handbook/APER>\)](http://fshandbook.info/fs/html/handbook/APER)

[\(<http://www.bankofengland.co.uk/PRA>\)](http://www.bankofengland.co.uk/PRA)

[\(<https://handbook.fca.org.uk/handbook/COCON>\)](https://handbook.fca.org.uk/handbook/COCON)

Tick here to confirm you have read and understood this declaration: <sup>∞</sup>

7.03 Name of the *firm* submitting the application<sup>†</sup>

7.04 Name of *person* signing on behalf of the *firm*<sup>†</sup>

7.05 Job title<sup>†</sup>

7.06 Signature<sup>\*</sup>

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

<sup>\*</sup> The above question(s) should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if submission of this form is online.

### Version 6

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

Short Form A – Incoming EEA

Application to perform controlled function under the approved persons regime

Date<sup>†</sup>

/ /

~~Version 6~~

~~† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7~~

~~Short Form A – Incoming EEA~~

~~Application to perform controlled function under the approved persons regime~~

Application number  
(for ~~FCA/PRA~~ use only)

The ~~FCA and PRA~~ have produced notes which will assist both the applicant and the candidate in answering the questions in this form. Please read these notes, which are available on the both FCA and PRA websites at:

- <https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>
- <http://www.bankofengland.co.uk/PRA>

Both the applicant and the candidate will be treated by the ~~FCA and PRA~~ as having taken these notes into consideration when completing their answers to the questions in this form.

## Long Form A – Incoming EEA only

### Application to perform controlled functions under the approved person regime

*FCA Handbook Reference: SUP 10A Annex 4D*

*PRA Handbook Reference: SUP 10B Annex 4D*

16 December 2015

7 March 2016

Name of *candidate*  
(to be completed by applicant firm)

Name of *firm*  
(as entered in 2.01)

*Firm* reference number  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom

~~Prudential Regulation Authority~~  
~~20 Moorgate~~  
~~London~~  
~~United Kingdom~~  
~~EC2R 6DA~~

Telephone +44 (0) 300 500 0597  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

~~Telephone +44 (0) 203 461 7000~~  
~~E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)~~  
~~Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)~~

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

~~Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH~~

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN) †	
<b>b</b>	OR name of previous regulatory body †	
<b>c</b>	AND previous reference number (if applicable) †	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms, etc) †	
<b>1.03</b>	Surname †	
<b>1.04</b>	ALL forenames †	
<b>1.05</b>	Name commonly known by †	
<b>1.06</b>	Date of birth (dd/mm/yyyy) †	
<b>1.07</b>	National Insurance number †	
<b>1.08</b>	Previous name †	
<b>1.09</b>	Date of name change †	
<b>1.10 a</b>	Nationality †	
<b>b</b>	Passport number (if National Insurance number not available) †	
<b>1.11</b>	Place of birth †	

**➔** I have supplied further information related to this page in Section 6 † **YES**  **NO**



1.12 a Private address<sup>†</sup>

[Redacted address field]

b

Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1<sup>†</sup>

[Redacted address field]

b

Postcode

c Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

[Redacted date field]

1.14 a Previous address 2<sup>†</sup>

[Redacted address field]

<sup>1</sup> b

Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup>

From

[Redacted date field]

To

[Redacted date field]



I have supplied further information related to this page in Section 6

YES

NO

2.01	Name of <i>firm</i> making the application	<input type="text"/>
2.02	Firm Reference Number (FRN)	<input type="text"/>
2.03 a	Who should the <del>FCA/PRA</del> contact at the <i>firm</i> in relation to this application?	<input type="text"/>
b	Business Address	<input type="text"/>
c	Position	<input type="text"/>
d	Telephone	<input type="text"/>
e	E-mail	<input type="text"/>



I have supplied further information related to this page in Section 6

YES

NO

**3.01** Nature of the arrangement between the candidate and the applicant.

a *Employee*

---

b *Group employee*

Name of group

---

c *Contract for services*

---

d *Partner/Sole trader*

---

e *Appointed representative/tied agent – customer function*

AR firm name and reference number

---

f *Appointed representative/tied agent – governing function*

AR firm name and reference number

---

g *Other*

Give details

**3.02** For applications from a single firm, please tick the boxes that correspond to the *controlled functions* to be performed.

If the *controlled functions* are to be performed for more than one firm, please go to question **3.05**

<b>a</b>	<b>Significant influence functions</b>	CF 11 <i>Money laundering reporting function</i>	<input type="checkbox"/>
		CF 12 <i>Actuarial function</i>	<input type="checkbox"/>
		CF 12A <i>With profits actuary function</i>	<input type="checkbox"/>
		CF 12B <i>Lloyd's Actuary function</i>	<input type="checkbox"/>
		CF 29 <i>Significant management function</i>	<input type="checkbox"/>
<b>c</b>	<b>significant influence functions</b>	CF 40 <i>Benchmark submission function</i>	<input type="checkbox"/>
		CF 50 <i>Benchmark administration function</i>	<input type="checkbox"/>
<b>b</b>	<b>Customer function</b>	CF 30 <i>Customer function</i>	<input type="checkbox"/>



I have supplied further information related to this page in Section 6

YES

NO

**3.03** Effective date of *controlled functions* indicated above †

[Greyed out area]

**3.04** Job title (mandatory for *controlled function 28 & 29*) †

[Greyed out area]

Please refer to notes on the requirements for submitting a CV

**Insurance mediation**

Will the candidate be responsible for Insurance mediation at the firm?

YES  NO

(Note: Yes can only be selected if the individual is applying for (CF1, 3-8 or 29))



I have supplied further information related to this page in Section 6

YES  NO

**3.05**

**Complete this section only if the application is on behalf of more than one firm.**

List all firms within the group (including the firm entered in 2.01) for which the candidate requires approval and the requested controlled function for that firm. †

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Controlled function</b>	<b>Job title</b> (mandatory for controlled function 29)	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



I have supplied further information related to this page in Section 6

**YES**

**NO**

N.B.: ALL gaps must be accounted for

4.01

**Employment details (1) †**

<b>a</b>	Period (mm/yyyy)	From		To	
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details				
<b>c</b>	Name of employer				
<b>d</b>	Nature of business				
<b>e</b>	Previous / other names of employer				
<b>f</b>	Last known address of employer				
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
<b>i</b>	Position held				
<b>j</b>	Responsibilities				
<b>k</b>	Reason for leaving:	<i>a</i>	Resignation	<input type="checkbox"/>	
		<i>b</i>	Redundancy	<input type="checkbox"/>	
		<i>c</i>	Retirement	<input type="checkbox"/>	
		<i>d</i>	Termination/dismissal	<input type="checkbox"/>	
		<i>e</i>	End of contract	<input type="checkbox"/>	
		<i>f</i>	Other	<input type="checkbox"/>	
	Specify				



I have supplied further information related to this page in Section 6

YES

NO

**4.02 Employment details (2) †**

<b>a</b>	Period (mm/yyyy)	From		To	
<b>b</b>	Nature of employment	<b>a</b>	Employed	<input type="checkbox"/>	
		<b>b</b>	Self-employed	<input type="checkbox"/>	
		<b>c</b>	Not employed	<input type="checkbox"/>	
		<b>d</b>	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details				
<b>c</b>	Name of employer				
<b>d</b>	Nature of business				
<b>e</b>	Previous / other names of employer				
<b>f</b>	Last known address of employer				
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
<b>i</b>	Position held				
<b>j</b>	Responsibilities				
<b>k</b>	Reason for leaving:	<b>a</b>	Resignation	<input type="checkbox"/>	
		<b>b</b>	Redundancy	<input type="checkbox"/>	
		<b>c</b>	Retirement	<input type="checkbox"/>	
		<b>d</b>	Termination/dismissal	<input type="checkbox"/>	
		<b>e</b>	End of contract	<input type="checkbox"/>	
		<b>f</b>	Other	<input type="checkbox"/>	
	Specify				

**5.01 Criminal Proceedings**

When answering the questions in this section ~~you~~ the candidate should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, ~~you~~ the candidate must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the candidate is subject to the law of Scotland or Northern Ireland, the candidate must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

<p><b>5.01.1a</b></p> <p>Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>):</p> <p style="margin-left: 40px;">i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or</p> <p style="margin-left: 40px;">ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i></p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>b</b></p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>c</b></p> <p>Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.2</b></p> <p>Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.3</b></p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.4</b></p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>

In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO



**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:

**a** Been convicted of any criminal offence?

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

YES  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

YES  NO

**c** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

YES  NO

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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## 5.02 Civil Proceedings

<b>5.02.1</b>	Has the candidate, <b>ever</b> been the subject of a judgement debt or award against the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	<p>Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.</p> <p>You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>		
<b>5.02.2</b>	Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.3</b>	Is the candidate aware of:		
<b>a</b>	Any proceedings that have begun, or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.4</b>	Does the candidate have any <b>current</b> judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.5</b>	Has the <i>candidate</i> <b>ever</b> failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<b>5.02.6</b>	Has the <i>candidate</i> ever:	
<b>a</b>	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:	
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the candidate? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:	
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (You should include all CCJs made against the firm, whether satisfied or not.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/> NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

**5.02.11** Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

---

### 5.03 Business and Employment Matters

5.03.1 Has the *candidate* ever been:

a Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

b The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

c The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

d Notified of any potential proceedings of a disciplinary nature against the candidate?

YES  NO

e The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)

YES  NO

5.03.2 Has the *candidate* ever been refused entry to , or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

5.03.3 Does the *candidate* have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

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## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see section 5 guidance notes), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the candidate is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

**5.04.2**

In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the candidate's association with the firm ever:

- a**      Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?      YES       NO
- b**      Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?      YES       NO
- c**      Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?      YES       NO
- d**      Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?      YES       NO
- e**      Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?      YES       NO
- f**      Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?      YES       NO



I have supplied further information related to this page in Section 6<sup>†</sup>      YES       NO

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**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

---



- 6.00
- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
  - If this application relates to a Significant influence controlled function then please provide full details of
    - why the candidate is competent and capable to carry out the controlled function(s) applied for.
    - why the appointment complements the firm's business strategy, activity and market in which it operates.
    - how the appointment was agreed including details of any discussions at governing body level (where applicable).
  - **If this application relates to a Significant influence controlled function for a Solvency II firm please provide a copy of the scope of responsibilities document.**
  - Please also include here any additional information indicated in previous sections of the Form.
  - **Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)**
  - If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
  - **Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.**

Question	Information

**Declaration of *Candidate***

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).

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.~~

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the *FCA and/or PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

With reference to the above, the *FCA and/or PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

In signing the form below:

**a) I authorise the *FCA and/or PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application.**

**b) 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.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Statements of Principle and Code of Practice or Code of Conduct (*COCOM*) for Approved Persons**

[\(<https://handbook.fca.org.uk/handbook/APER>\)](https://handbook.fca.org.uk/handbook/APER)

[\(<http://www.bankofengland.co.uk/PRA>\)](http://www.bankofengland.co.uk/PRA)

[\(<https://handbook.fca.org.uk/handbook/COCOM>\)](https://handbook.fca.org.uk/handbook/COCOM)

7.01 *Candidate's* full name<sup>†</sup>

7.02 Signature<sup>\*</sup>

Date<sup>†</sup>

<sup>†</sup> The above question(s) appears on an electronic form submission and a paper form submission

<sup>\*</sup> The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – Incoming EEA

**Declaration of Firm**

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 the Financial Services and Markets Act 2000). SUP 15.6.1R and SUP 15.6.4R 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.

~~APER 4.4.7 E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle 4*. Where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *APER* or *COCON*. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*. 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.~~

**In making this application the *firm* believes on the basis of due and diligent enquiry that the *candidate* is a fit and proper *person* to perform the *controlled function(s)* listed in section 3. FOR FIRMS UNDERTAKING ANY NON MiFID BUSINESS PLEASE ALSO COMPLETE THE FOLLOWING**

**The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such *function(s)*.**

YES  NO

With reference to the above, the *FCA and/or PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

**In signing this form on behalf of the firm:**

- a) 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.
- b) I confirm that I have authority to make this application, and sign this Form, on behalf of each *firm* identified in section 3.05. I also confirm that a copy of this Form, as submitted to the *FCA and/or PRA*, will be sent to each of those *firms* at the same time as submitting the Form to the *FCA and/or PRA*.
- c) I confirm the candidate has been made aware of the regulatory responsibilities of proposed role as set out in , the Statements of Principle and Code of Practice or Code of Conduct (COCON) for Approved Persons

<https://handbook.fca.org.uk/handbook/APER>

~~<http://www.bankofengland.co.uk/PRA>~~

<https://handbook.fca.org.uk/handbook/COCON>

7.03	Name of the <i>firm</i> submitting the application <sup>†</sup>	
7.04	Name of <i>person</i> signing on behalf of the <i>firm</i> <sup>†</sup>	
7.05	Job title <sup>†</sup>	
7.06	Signature <sup>*</sup>	
	Date <sup>†</sup>	

<sup>†</sup> The above question(s) appears on an electronic form submission and a paper form submission

<sup>\*</sup> The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 Long Form A – Incoming EEA



# Application for Authorisation

## Sole trader appendix

Full name of applicant firm

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

**This form should be completed only by sole traders intending to conduct mortgage and /or non-investment insurance business.**

The notes that accompany this form will help you complete the questions and they also explain why we require the information we ask you for.

### **Purpose of this form**

This appendix collects information about the individual intending to carry on business as a sole trader.

### **Contents of this form**

1 Your details	2
2 Your address	3
3 Disclosure	4
4 Declaration	11

# 1 Your details

1.1 First name(s)

1.2 Surname

1.3 Any previous surnames or first names. Please include details of when you changed them.

1.4 Name commonly known by, if different

1.5 Date of birth (dd/mm/yyyy)

 /  / 

1.6 Place of birth

1.7 National insurance number

1.8 Passport number, if national insurance number is not applicable.

1.9 Your nationality

1.10 Have you ever had a different nationality? If yes, please give your previous nationality.

## 2 Your address

### 2.1 Current private address

I do not have a UK address ▶ Please provide your address outside the UK

Address	
Country	
Postcode	

### 2.2 When did you move into this address (mm/yyyy)?

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------	----------------------

If you moved into this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses; please use a separate sheet of paper if you need more space.

#### Previous address 1

Address	
Country	
Postcode	

#### Previous address 2

Address	
Country	
Postcode	

#### Previous address 3

Address	
Country	
Postcode	

Please indicate how many separate sheets of paper you have used

Number of additional sheets	<input type="text"/>
-----------------------------	----------------------

## 3 Disclosure

In answering the questions in this section, you should include matters whether in the United Kingdom or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 ~~and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 as amended~~, if the individual is subject to the law of England and Wales ~~or Northern Ireland~~, they must disclose spent convictions and spent cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the individual is subject to the law of Scotland or Northern Ireland, they must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

- 3.1a Have you ever been convicted of any offence (whether spent or not and whether or not in the United Kingdom):**
- i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty; or**
  - ii relating to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking, mortgages or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?**
- No  Yes
- b Are you the subject of any current criminal proceedings?**
- No  Yes
- c Have you ever been given a caution in relation to any criminal offence?**
- No  Yes
- 3.2 Do you have any convictions for any offences other than those listed in 3.1a above which are not spent, whether or not in the United Kingdom (excluding traffic offences, unless these traffic offences resulted in a ban from driving or involved driving without insurance)?**
- No  Yes
- 3.3 Are you the subject of any ongoing criminal investigations?**
- No  Yes
- a Are you, or have you ever been, the subject of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (CCJ) or other judgment debts, in the United Kingdom or elsewhere?**
- No  Yes
- If yes, is or was the total of judgment debts more than £1,000?**
- No  Yes
- Have you had more than two CCJs or judgment debts?**
- No  Yes

**b Are you aware of any intention to begin such proceedings against you in future?**

**If yes, is more than one proceeding threatened?**

No  Yes

**Do the amounts claimed total more than £1,000?**

No  Yes

**3.4 Have you entered into any material settlements in the last five years, whether or not on an ex gratia basis, to avoid legal action being brought against you or to avoid publicity?**

No  Yes

**3.5 Do you have any judgment debts (including CCJs) made under a court order still outstanding, in full or in part?**

No  Yes

**3.6 Have you ever failed to satisfy any such judgment debts within one year of the order being made?**

No  Yes

**3.7 Do you have any material written complaints made against you by your clients or former clients in the last five years which you have accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?**

No  Yes

**3.8 Are you or have you ever been, the subject of any bankruptcy proceedings, or proceedings for the sequestration of your estate?**

No  Yes

**3.9 Have you ever entered into a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed) or other agreement in favour of your creditors, or are you doing so?**

No  Yes

**3.10 Do you have any outstanding financial obligations arising from regulated activities, which you have conducted in the past, in the United Kingdom or overseas  
(For advisers, this will include any outstanding liabilities arising from commissions paid for the sale of packaged products that have lapsed.)**

No  Yes

**3.11 Have you ever been found guilty of conducting any unauthorised regulated activities or been investigated for possible conduct of unauthorised regulated activities?**

No  Yes

**3.12 Are you, or have you ever been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? This question covers internal investigation by an authorised firm, as well as investigations by a regulatory body, at any time.**

No  Yes

**3.13 Have you ever, either in the United Kingdom, or elsewhere:**

**a been refused entry to – or been dismissed or asked to resign from – any profession, vocation, office or employment, or**



**from any fiduciary office or position of trust, whether or not it was remunerated?**

No  Yes

- b** been refused, restricted in or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?  
 No  Yes
- c** been disqualified by a court from acting as a director of a company, from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association?  
 No  Yes
- d** been the subject of a disqualification direction under section 59 of the Financial Services Act 1986; a prohibition order, under section 56 of the Financial Services and Markets Act 2000; or received a warning notice to make such a direction or order?  
 No  Yes

**3.14** Regarding activities regulated by us or any other regulatory body, have you – or has any company, partnership or unincorporated association of which you are or have been a controller, director, senior manager, partner or company secretary, during your association with that entity and for a period of three years after you ceased to be associated with it – ever:

- a** been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by any such body?  
 No  Yes
- b** been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any such body?  
 No  Yes
- c** resigned while under investigation by, or been required to resign from, any such body?  
 No  Yes
- d** decided – after making an application for any licence, authorisation, registration, notification, membership or other permission granted by any such body – not to proceed with it?  
 No  Yes
- e** been the subject of any civil action which has resulted in a finding against you by a court?  
 No  Yes

**3.15** Has any company, partnership, or unincorporated association of which you are – or have been – a controller, director, senior manager, partner, or company secretary, in the United Kingdom or elsewhere, at any time during your involvement or within one year of such an involvement:

- a** been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?  
 No  Yes

- b** been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?  
 No  Yes
  
- c** been investigated or been involved in an investigation by an inspector appointed under the companies act or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?  
 No  Yes
  
- d** been convicted of any criminal offence, censured, disciplined or publicly criticised, by: any inquiry, the Takeover Panel, any governmental or statutory authority or any other regulatory body (other than as already indicated under 3.15(b) above)?  
 No  Yes

In answering 3.15d, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**3.16 Are there any other significant events relating to you which we have not asked about in questions 3.1 to 3.15 that have happened – or are taking place – that are relevant to your application for authorisation?**

Use this to disclose any additional information which is not the subject of a specific question but is relevant to the consideration of fitness and propriety.

- No  Yes

**Explanations**

**3.17 If the answer to any of questions 3.1 to 3.16 is Yes, please give a full explanation of the events in question on a separate sheet of paper.**

Make sure this includes:

- the question number the event refers to;
- the date of the event;
- any amounts involved;
- the outcome; and
- an explanation of the circumstances.

Relevant documents must also be provided, such as evidence of the settlements of County Court Judgments.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
-----------------------------	--

**3.18 Are you conducting mortgage business?**

- No ▶ Continue to question 3.19
- Yes ▶ Please specify which examinations you have passed, the date passed, awarding body and place of study.

Examination	Date passed	Awarding body

### Employment history for the past five years

**3.19 Please provide details of your employment history for the past five years. Start with your current position and work back.**

Current position	
Period	From <input type="text" value="dd/mm/yy"/> To <input type="text" value="dd/mm/yy"/>
Employment status	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Unemployed <input type="checkbox"/> In full-time education
Employer/educational establishment name and address	<input style="width: 100%; height: 40px;" type="text"/>
Previous/other names of employer (if known)	<input style="width: 100%; height: 30px;" type="text"/>
Nature of business or course	<input style="width: 100%; height: 25px;" type="text"/>
Is the employer a regulated financial services provider?	<input type="checkbox"/> No <input type="checkbox"/> Yes ▶ Please give the name of the regulatory body <input style="width: 100%; height: 25px;" type="text"/>
Is/was the employer an appointed representative?	<input type="checkbox"/> No <input type="checkbox"/> Yes ▶ Please give the name of the firm <input style="width: 100%; height: 25px;" type="text"/>
Job title	<input style="width: 100%; height: 25px;" type="text"/> If your job title includes the word director but your responsibilities do not include those associated with the title of director please tick here. <input type="checkbox"/>

We may contact your current employer.

**Previous Position**

Period From  To

Employment status  Employed  
 Self-employed  
 Unemployed  
 In full-time education

Employer/educational establishment name and address

Previous/other names of employer (if known)

Nature of business or course

Was the employer a regulated financial services provider?  No  
 Yes ▶ Please give the name of the regulatory body

Was the employer an appointed representative?  No  
 Yes ▶ Please give the name of the firm

Job title   
 If your job title included the word director but your responsibilities did not include those associated with the title of director, please tick here.

Reason for leaving  Resignation  
 Redundancy  
 Retirement  
 Termination by mutual consent  
 Dismissal  
 End of contract  
 Other ▶ please give details

We may contact your previous employers.  
 To give information about other relevant employment, please answer the questions in this section on a separate sheet of paper.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	<input type="text"/>
-----------------------------	----------------------

**3.20 Directorships**

Include a list of all directorships currently or previously held by you in the past ten years (where director has the meaning given in the Glossary). Please use an additional sheet if necessary.

Name of undertaking	Nature of business	Place of business	Please tick current directorships
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
-----------------------------	--

**3.21 You must attach the following:**

- Statement of personal assets and liabilities (see notes)  Attached
- Statement of business assets and liabilities (see notes)  Attached

## 4 Declaration

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 398A of the Financial Services and Markets Act 2000).

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.

**I authorise the FCA and/or PRA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I understand that Individual candidates may be required to apply to the Criminal Records Bureau for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to the FCA-and/or PRA.**

**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.**

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the FCA and/or PRA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

With reference to the above, the FCA and/or PRA may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

### Signature

Name	
Signature	
Date	dd/mm/yy

**End of Appendix**

## PSD Individual Form

### Application Form for an individual responsible for the management of a Payment Institution

Name of individual (the PSD Individual for whom approval is being requested)

Payment Services Regulations 2009, as amended by the Payment Services Regulations 2012.

Full name of applicant firm (as entered in 2.1)

Firm reference number (as entered in 2.2)

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

Please keep a copy of the forms you complete and any supporting documents you include with this application for your future reference.

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under The Payment Services Regulations 2009 and other relevant legislation; it may be disclosed to third parties for those purposes and/or where there is an applicable gateway permitting disclosure (i.e. specific circumstances in which the FCA is permitted to disclose confidential information to a third party).

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing a criminal offence and it may increase the time taken to assess your application.**

The FCA has produced notes which will assist both the applicant and the individual in answering the questions in this form. Please read these notes, which are available on the FCA's website at [www.fca.org.uk](http://www.fca.org.uk). Both the applicant and the individual will be treated by the FCA as having taken these notes into consideration when completing their answers to the questions in this form.

#### **Contents of this form**

1	Personal identification details	3
2	Firm identification details	5
3	Arrangements	6
4	Employment history	7
5	Fitness and propriety	10
6	Supplementary information	18
7	Declarations and signatures	19



## Filling in the form

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question.
- 2 If you are filling in the form by hand:
  - use black ink; and
  - write clearly.
- 3 If you think a Question is not relevant to you, write 'not applicable' and explain why.
- 4 If you leave a Question blank without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 5 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 6 If the PSD Individual Form is not part of a new application for registration as a Payment Institution, please email a PDF copy of the completed form to:  
[Paymentservices-individuals@fca.org.uk](mailto:Paymentservices-individuals@fca.org.uk)

If the PSD Individual Form is part of a new application for registration or authorisation as a Payment Institution and you are filling in the form to accompany an application made through Connect, print the completed form, sign the declaration in section 7 and attach it to the firm's application as a PDF document.

If the PSD Individual Form is part of a new application for registration or authorisation as a Payment Institution and you are filling in the form to accompany a paper application, complete the form, sign the declaration in section 7 and post the completed form along with the PSD application form to us at:

**Permissions Department**  
**The Financial Conduct Authority**  
**25 The North Colonnade**  
**Canary Wharf**  
**London**  
**E14 5HS**

## 1

## Personal identification details

1.1a FCA Individual Reference Number (IRN) (if individual is already registered with the FCA)

b OR name of previous regulatory body

c AND previous reference number (if applicable)

1.2 Title (e.g. Mr, Mrs, Ms, etc)

1.3 Surname

1.4 ALL forenames

1.5 Name commonly known by

1.6 Date of birth (dd/mm/yyyy)

 /  / 

1.7 National Insurance number

1.8 Previous name

1.9 Date of name change (dd/mm/yyyy)

 /  / 

1.10 Nationality

**1.11 Passport number** (if National Insurance number not available)

--

**1.12 Place of birth**

--

**1.13 Private address**

Private address	
Postcode	

**Date resident at this address (mm/yyyy)**

**From**

		/				
--	--	---	--	--	--	--

If address has changed in the last three years, please provide addresses for the previous three years.

**1.14 Previous address 1**

Private address	
Postcode	

**Dates resident at this address (mm/yyyy)**

		/				
--	--	---	--	--	--	--

**To**

		/				
--	--	---	--	--	--	--

**Previous address 2**

Private address	
Postcode	

**Dates resident at this address (mm/yyyy)**

		/				
--	--	---	--	--	--	--

**To**

		/				
--	--	---	--	--	--	--

# 2 Firm identification details

**2.1 Name of applicant firm (or individual if sole trader) making the application**

**2.2 FCA Firm Reference Number (FRN)**

**2.3 Who should the FCA contact at the applicant firm in relation to this application?**

Name	
Position	
Telephone	
Fax	
Email	

**2.4 Complete this section only if the application is on behalf of more than one Payment Institution**

FRN	Name of Payment Institution	Job title	Requested date of commencement
			/ /
			/ /
			/ /
			/ /

# 3 Arrangements

## 3.1 Nature of the arrangement between the PSD Individual and Payment Institution

- Director / Partner or other member of the management board
- Manager of the Payment Institution
- Manager of the Payment Services of the Payment Institution (for firms that carry out activities other than just payment services)
- Other (give details below)

## 4

## Employment history

N.B. A full five-year employment history must be provided & ALL gaps must be accounted for. Failing to provide this may delay the processing of the application (refer to the relevant notes in section 4)

## Employment details (1)

4.1

## Current position

Period From  To

Nature of employment  a) Employed  
 b) Self-employed  
 c) Unemployed  
 d) In full-time education  
 If c or d is ticked, please give details

Name of employer

Last known address of employer

Previous/other names of employer

Nature of business

Is/was employer regulated by a regulatory body?  No  
 Yes ▶ Please give the name of the regulatory body

Position held

Responsibilities

## Employment details (2)

4.2

### Previous position

Period From  To

Nature of employment  a) Employed  
 b) Self-employed  
 c) Unemployed  
 d) In full-time education  
 If c or d is ticked, please give details

Name of employer

Last known address of employer

Previous/other names of employer

Nature of business

Is/was employer regulated by a regulatory body?  No  
 Yes ▶ Please give the name of the regulatory body

Position held

Responsibilities

Reason for leaving  a) Resignation  
 b) Redundancy  
 c) Retirement  
 d) Termination/dismissal  
 e) End of contract  
 f) Other ▶ Please specify

### Employment details (3)

#### Previous position

Period From  To

Nature of employment  a) Employed  
 b) Self-employed  
 c) Unemployed  
 d) In full-time education  
 If c or d is ticked, please give details

Name of employer

Last known address of employer

Previous/other names of employer

Nature of business

Is/was employer regulated by a regulatory body?  No  
 Yes ▶ Please give the name of the regulatory body

Position held

Responsibilities

Reason for leaving  a) Resignation  
 b) Redundancy  
 c) Retirement  
 d) Termination/dismissal  
 e) End of contract  
 f) Other ▶ Please specify



## 5

## Fitness and Propriety

In answering these questions, the individual and applicant/firm are expected to give the words (in the questions) the widest possible interpretation. **Remember, the FCA treats non-disclosure very seriously.**

### Part A - Criminal proceedings

In answering the questions in Part A, you should include matters whether in the United Kingdom or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 as amended, if the individual is subject to the law of England, ~~and Wales or Northern Ireland~~, they must disclose spent convictions and spent cautions (other than protected convictions and cautions). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the individual is subject to the law of Scotland or Northern Ireland, they must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

#### 5.1

- i **Has the PSD Individual ever been convicted of any criminal offence? (You should include any conviction of an offence for which the PSD Individual received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance).**  
 No  Yes
- ii **Has the PSD Individual ever received a caution in relation to any criminal offence?**  
 No  Yes
- iii **Is the PSD Individual currently the subject of any criminal investigation?**  
 No  Yes
- iv **Has the PSD Individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?**  
 No  Yes

(You should include all matters in respect of 5.1 (iv), even where the PSD Individual themselves was not the subject of the investigation)

- 5.2 **Is the PSD Individual currently the subject of any proceedings relating to any criminal offence?**  
 No  Yes

Please revert to the guidance notes for the meaning of 'position of influence' in the context of the questions in this form.

**5.3 Has any firm at which the PSD Individual holds or has held a position of influence ever:**

- i been convicted of any criminal offence?**  
 No  Yes
- ii been summonsed, charged with or otherwise prosecuted for any criminal offence?**  
 No  Yes
- iii been the subject of any criminal investigation which has not resulted in a conviction?**  
 No  Yes
- iv been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) pursuant to any criminal investigation?**  
 No  Yes

You should include all matters arising during the PSD Individual's association with that firm and for a period of one year after the PSD Individual ceased to be associated with the firm. (You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 5.3(iv), even where the firm itself was not the subject of the investigation). However, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**5.4 Is any firm at which the PSD Individual holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during the PSD Individual's association with that firm and for a period of one year after the PSD Individual ceased to be associated with the firm.)**

No  Yes

**5.5 If you have answered yes to any of the questions in Part A above, please give full details in section 6. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

Yes

### Part B - Civil proceedings

In answering the questions in Part B you should include matters in the United Kingdom or overseas.

**5.6 Has the PSD Individual ever been:**

- i adjudged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?**  
 No  Yes
- ii the subject of a judgment debt or award?**  
 No  Yes
- iii party to any other civil proceedings which resulted in a finding against the PSD Individual (other than a judgment debt or award referred to at 5.6 (ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)**  
 No  Yes

(You should include all County Court Judgment(s) ('CCJs') made against the PSD Individual, whether satisfied or not. Please include in section 6:

- the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- the total number of all CCJs ordered.)

**5.7 Is the PSD Individual currently:**

**i a party to any civil proceedings?**

No  Yes

**ii aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against the PSD Individual or the order of a judgement debt.)**

No  Yes

**5.8 Has any firm at which the PSD Individual holds or has held a position of influence ever been:**

**i adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?**

No  Yes

**ii party to any other civil proceedings which resulted in a finding against the firm?**

No  Yes

**iii the subject of a judgement debt or award other than in relation to matters mentioned at 5.8(i) and 5.8(ii) above? (You should include all CCJs made against the firm, whether satisfied or not.)**

No  Yes

(You should include all matters arising during the PSD Individual's association with that firm and for a period of one year after the PSD Individual ceased to be associated with the firm.)

**5.9 Is any firm at which the PSD Individual holds or has held a position of influence currently:**

**i a party to civil proceedings?**

No  Yes

**ii aware of anyone's intention to begin civil proceedings against them?**

No  Yes

(You should include all matters arising during the PSD Individual's association with that firm and for a period of one year after the PSD Individual ceased to be associated with the firm.)

**5.10 Has the PSD Individual ever (tick all that apply)**

**i) filed for bankruptcy or had a bankruptcy petition served on him /her;**

No  Yes

**ii) been adjudged bankrupt;**

No  Yes

**iii) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;**

No  Yes

**iv) made any arrangements with creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);**

No  Yes

v) had assets sequestered; or

No  Yes

vi) been involved in any proceeding relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?

No  Yes

**5.11 Is the PSD Individual currently involved in any proceedings in relation to any of the matters set out in 5.10(i) – (vi) above (you should include where the PSD Individual is in the process of entering into any kind of agreement in favour of the PSD Individual's creditors)?**

No  Yes

Please specify in section 6 whether any bankruptcy orders made have been discharged.

**5.12 Does the PSD Individual have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA or any other regulatory body), which the PSD Individual has carried on in the past?**

No  Yes

**5.13 Has any firm at which the PSD Individual holds or has held a position of influence at any time during and within one year of the PSD Individual's involvement:**

**i been put into liquidation?**

No  Yes

**ii been wound up (whether compulsorily or voluntarily)?**

No  Yes

**iii ceased trading?**

No  Yes

**iv had a receiver or administrator appointed? or**

No  Yes

**v entered into any voluntary arrangement with its creditor?**

No  Yes

**5.14 If you have answered yes to any of the questions in Part B above please give full details in section 6. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

Yes

## Part B – Business and employment matters

In answering the questions in Part C you should include matters in the United Kingdom or overseas.

### 5.15 Has the PSD Individual ever been:

**i dismissed;**

No  Yes

**ii asked to resign or agreed to resign; or**

No  Yes

**iii suspended**

No  Yes

**from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar, whether or not remunerated?**

### 5.16 Has the PSD Individual ever been:

**i disqualified from acting as a director or similar position?**

No  Yes

**ii the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?**

No  Yes

**iii the subject of any investigation which might lead to or might have led to disciplinary proceedings?**

No  Yes

**iv notified of any potential proceedings of a disciplinary nature?**

No  Yes

**v the subject of any allegations of malpractice or misconduct in connection with any business activities?**

No  Yes

**5.17 If you have answered yes to any of the questions in Part C above, please give full details in section 6. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**

Yes

## Part D – Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the question below.

In answering the questions in Part D you should include matters whether in the United Kingdom or overseas.

### 5.18 In relation to activities regulated by the FCA or any other regulatory body, has the PSD Individual ever:

**i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**

No  Yes

**ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**

No  Yes

- iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?  
 No  Yes
- iv been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?  
 No  Yes
- v resigned or ceased to act whilst under investigation by any such body or been required to resign or cease acting by any regulatory body?  
 No  Yes
- vi decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?  
 No  Yes
- vii provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?  
 No  Yes
- 5.19 Has any firm of which the PSD Individual held a position of influence during the PSD Individual's association with that firm as well as for a period of one year after the PSD Individual ceased to be associated with it ever:
- i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No  Yes
- ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No  Yes
- iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?  
 No  Yes
- iv been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?  
 No  Yes
- v been required or requested to produce documents or any other information to any regulatory body?  
 No  Yes
- vi ceased operating whilst under investigation by any such body or been required to cease operating by any regulatory body?  
 No  Yes
- vii decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?  
 No  Yes
- viii provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?  
 No  Yes

**5.20 In relation to activities regulated by the FCA or any other regulatory body has the PSD individual ever:**

- i been found to have carried on activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration?**  
 No  Yes
- ii been investigated for the possible carrying on of activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**  
 No  Yes
- iii been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**  
 No  Yes
- iv been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**  
 No  Yes
- v been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56A of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?**  
 No  Yes

**5.21 Has any firm of which the PSD Individual is or has held, a position of influence during the PSD Individual's association with that firm as well as for a period of one year after the PSD Individual ceased to be associated with it ever:**

- i been found to have carried on activities for which authorisation by or registration with the FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation/registration?**  
 No  Yes
- ii been investigated for the possible carrying on of activities requiring authorisation by or registration with the FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**  
 No  Yes
- iii been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**  
 No  Yes
- iv been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**  
 No  Yes

- v **been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its electronic money or payment services business?**  
 No  Yes

- 5.22 **If you have answered yes to any of the questions in Part D above, please give full details in section 6. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**  
 Yes

### Part D - Other matters

- 5.23 **Is the PSD individual aware of any business interests, employment obligations, or any other circumstances which may affect the performance of the role at the firm?**  
 No  Yes

- 5.24 **The PSD Individual needs to demonstrate that they possess the appropriate knowledge and experience to perform payment services. You must therefore include in section 6 a description of the PSD Individual's relevant:**

**i training;**

Yes

**ii knowledge; and/or**

Yes

**iii experience**

Yes

**including dates and time periods**

- 5.25 **Have you submitted the PSD individual's CV to support the information supplied in 5.24?**  
 No  Yes

- 5.26 **If you have answered yes to 5.23 please give full details in section 6. Tick this box to confirm that you have provided full details.**  
 No  Yes



## 6

## Supplementary information

**6.1** If there is any other information the individual or the firm considers may be relevant to the application, it must be included here.

Please also include here any additional information indicated in previous sections of the Form.

If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Question	Information

Please indicate how many additional sheets are being submitted

# 7 Declarations and signatures

## Declaration of Individual

Knowingly or recklessly giving the FCA (or providing to another person to give to the FCA) information which is false or misleading in a material particular, is a criminal offence (regulation 114 of the Payment Services Regulations 2009) and may lead to disciplinary sanctions or other enforcement action by the FCA.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided to us will be used to discharge our functions under the Payment Services Regulations 2009 as amended and other relevant legislation; it may be disclosed to third parties for those purposes and/or where there is an applicable gateway permitting disclosure (i.e. specific circumstances in which the FCA is permitted to disclose confidential information to a third party).

**With reference to the above, the FCA may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check and/or a Disclosure and Barring Service (DBS) check.**

**I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I understand I may be selected to undergo a DBS search to determine whether any criminal records are held in relation to me and that the FCA may wish to disclose the results of that search to the firm submitting this application.**

**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.**

**7.1 Individual's full name**

**7.2 Signature**

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

 /  /

**Declaration of Applicant Firm/ Payment Institution**

It is a criminal offence (under Regulation 114) to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.

All information that the FCA might reasonably consider relevant to this notification should be supplied to the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included.

**In making this application the applicant firm / PI believes on the basis of due and diligent enquiry that the individual is a fit and proper person. The firm also believes, on the basis of due and diligent enquiry, that the individual is competent to fulfil the duties required.**

**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.**

**I confirm that I have authority to make this application, and sign this Form, on behalf of each PI identified in section 2. I also confirm that a copy of this Form, as submitted to the FCA, will be sent to each of those PIs at the same time as submitting the Form to the FCA.**

**7.3 Name of the applicant firm /PI submitting the application**

**7.4 Name of person signing on behalf of the applicant firm / PI**

**7.5 Job title**

**7.6 Signature**

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

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## Application for a Payment Institution

### Qualifying Holding (Controller) - Individual Form

Full name of applicant firm

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

Any personal information provided to us in an application will be processed in accordance with the Data Protection Act 1998. We may disclose the information to third parties for the purpose of discharging our statutory functions under the Payment Services Regulations 2009 and other legislation. We may also disclose the information to third parties for other purposes in accordance with the Financial Services and Markets Act 2000 (Disclosure and Confidential Information) Regulations 2001.

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence and it may increase the time taken to assess your application.**

#### **Terms in this form**

In this form the FCA uses the following terms:

**'Applicant', or 'applicant firm'** refers to the business or entity applying for authorisation or registration;

**'Controller'** means a person with a qualifying holding;

**'FCA', 'we', 'our', or 'us'** refers to the Financial Conduct Authority;

**The 'Regulations'** refers to The Payment Services Regulations 2009 & The Payment Services Regulations 2012; and

**'You'** refers to the individual signing the form who has a qualifying holding (i.e. the controller) of the applicant

#### **Purpose of this form**

This form collects information about the individual controller who has a qualifying holding in the applicant.

### **Filling in the form**

- 1** If you are using your computer to complete the form:
  - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous question; and
  - print the completed form, sign the declaration in section 6 and attach it to the firm's application as a PDF document.
- 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 without telling us why, we will 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 need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 5** Ensure you attach this form, together with the relevant supporting documents to the PSD application on Connect.

# 1 Individual controller's details

1.1 First name(s)

1.2 Surname

1.3 Any previous surnames or first names. Please include details of when you changed them

1.4 Name you are commonly known by, if different

1.5 Date of birth (dd/mm/yy)

 /  / 

1.6 Place of birth

1.7 National insurance number

1.8 Passport number, if national insurance number is not applicable.

1.9 Your nationality

1.10 Have you ever had a different nationality? If yes, you must give your previous nationality.

## 2 Your address

### 2.1 Current private address

If you live outside the UK and do not have an UK address you must provide your address outside the UK and tick the box below.

I live outside the UK and have no UK address.

Address	
Country	
Postcode	

### 2.2 When did you move into this address (mm/yy)?

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
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If you moved into this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses; please use a separate piece of paper if you need more space.

#### Previous address 1

Address	
Country	
Postcode	

#### Previous address 2

Address	
Country	
Postcode	

#### Previous address 3

Address	
Country	
Postcode	

Please indicate how many separate sheets of paper you have used (if applicable):

Number of additional sheets	<input type="text"/>
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### 3 Other directorship(s)

3.1 You must give details of any directorship(s) you hold in the UK or outside the UK.

Name of undertaking	Nature of business	Place of business



## 4 About your fitness and propriety

For the purposes of this form, a regulatory body is any of the following:

- a self-regulatory organisation – including Investment Management Regulatory Organisation ('IMRO'), Securities and Futures Agency ('SFA'), Personal Investment Authority ('PIA'), Life Assurance and Unit Trust Regulatory Organisation ('LAUTRO'), Financial Intermediaries, Managers and Brokers Regulatory Association ('FIMBRA'), Association of Futures Brokers and Dealers Limited ('AFBD') and The Securities Association Limited ('TSA');
- a statutory body, including the FCA, Financial Services Authority (FSA), Securities and Investments Board ('SIB'), the Society of Lloyd's, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England, HMRC, the Treasury – Insurance Directorate (formerly the DTI) and the recognised bodies;
- a designated professional body (A professional body designated by the Treasury under section 326A of the Financial Services and Markets Act 2000); or
- the equivalent of any of these regulators overseas.

A condition for authorisation and registration under Regulation 6(6)(a) and 13(4A) of the Regulations is that the applicant must satisfy us that any persons having a qualifying holding in it are fit and proper persons having regard to the need to ensure the sound and prudent conduct of the affairs of the Payment Institution. Please respond to the following questions.

In answering these questions, the individual and applicant/firm are expected to give words the widest possible interpretation. Remember, the FCA treats non-disclosure very seriously.

### Criminal proceedings

In answering the questions in this section, you should include matters whether in the United Kingdom or overseas. ~~By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 as amended, if the individual is subject to the law of England and Wales or Northern Ireland, they must disclose spent convictions and spent cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the individual is subject to the law of Scotland or Northern Ireland, they must disclose spent convictions (other than a protected conviction).~~

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

#### 4.1

- i Have you ever been convicted of any criminal offence? (You should include any conviction of an offence for which you received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance).**

No       Yes

**ii Have you ever received a caution in relation to any criminal offence?**

No  Yes

**iii Are you currently the subject of any criminal investigation?**

No  Yes

**iv Have you been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?**

No  Yes

(You should include all matters in respect of 4.1 (iv), even where you were not the subject of the investigation)

**4.2 Are you currently the subject of any proceedings relating to any criminal offence?**

No  Yes

**4.3 Has any firm at which you hold or have held a position of influence ever:**

(Please revert to the guidance notes for the meaning of 'position of influence' in the context of the questions in this form).

**i been convicted of any criminal offence?**

No  Yes

**ii been summonsed, charged with or otherwise prosecuted for any criminal offence?**

No  Yes

**iii been the subject of any criminal investigation which has not resulted in a conviction?**

No  Yes

**iv been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) pursuant to any criminal investigation?**

No  Yes

You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm. (You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 4.3(iv), even where the firm itself was not the subject of the investigation.) However, in answering this question you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**4.4 Is any firm at which you hold or have held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm.)**

No  Yes

**4.5 If you have answered yes to any of the questions in the Criminal proceedings section above, please give full details in section 5. Tick this box to confirm that you have provided**

full details, including reason(s), date(s) and duration as applicable.

No       Yes

### Civil proceedings

In answering the questions you should include matters whether in the United Kingdom or overseas.

#### 4.6 Have you ever been

**i adjudged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?**

No  Yes

**ii the subject of a judgment debt or award?**

No  Yes

**iii party to any other civil proceedings which resulted in a finding against you (other than a judgment debt or award referred to at 4.6(ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)**

No  Yes

(You should include all County Court Judgment(s) ('CCJs') made against you, whether satisfied or not. Please include in section 5:

- the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- the total number of all CCJs ordered.)

#### 4.7 Are you currently:

**i a party to any civil proceedings?**

No  Yes

**ii aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against you or the order of a judgement debt.)**

No  Yes

#### 4.8 Has any firm at which you hold or have held a position of influence ever been:

**i adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?**

No  Yes

**ii party to any other civil proceedings which resulted in a finding against the firm?**

No  Yes

**iii the subject of a judgement debt or award other than in relation to matters mentioned at 5.8(i) and 5.8(ii) above? (You should include all CCJs made the subject against the firm, whether satisfied or not.)**

No  Yes

(You should include all matters arising during the **your** association with that firm and for a period of one year after the **you** ceased to be associated with the firm.)

**4.9 Is any firm at which you hold or have held a position of influence currently:**

**i a party to civil proceedings?**

No  Yes

**ii aware of anyone's intention to begin civil proceedings against them?**

No  Yes

(You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm)

**4.10 Have you ever (tick all that apply):**

**i filed for bankruptcy or had a bankruptcy petition served on him/her;**

No  Yes

**ii been adjudged bankrupt;**

No  Yes

**iii been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;**

No  Yes

**iv made any arrangements with creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);**

No  Yes

**v had assets sequestered; or**

No  Yes

**vi been involved in any proceeding relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?**

No  Yes

**4.11 Are you currently involved in any proceedings in relation to any of the matters set out in 4.10(i) – (vi) above (you should include where you are in the process of entering into any kind of agreement in favour your creditors)?**

No  Yes

Please specify in section 5 whether any bankruptcy orders made have been discharged.

**4.12 Do you have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA or any other regulatory body), which you have carried on in the past?**

No  Yes

**4.13 Has any firm at which you hold or have held a position of influence at any time during and within one year of your involvement:**

**i been put into liquidation;**

No  Yes

**ii been wound up (whether compulsorily or voluntarily);**

No  Yes

**iii ceased trading;**

No  Yes

**iv had a receiver or administrator appointed; or**

No  Yes

**v entered into any voluntary arrangement with its creditor?**

No  Yes

**4.14 If you have answered yes to any of the questions above please give full details in section 5. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

No  Yes

**Business and employment matters**

In answering the questions you should include matters whether in the United Kingdom or overseas.

**4.15 Have you ever been:**

**i dismissed;**

No  Yes

**ii asked to resign or agreed to resign; or**

No  Yes

**iii suspended**

No  Yes

**from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar, whether or not remunerated?**

**4.16 Have you ever been:**

**i disqualified from acting as a director or similar position?**

No  Yes

**ii the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?**

No  Yes

**iii the subject of any investigation which might lead to or might have led to disciplinary proceedings?**

No  Yes

**iv notified of any potential proceedings of a disciplinary nature?**

No  Yes

**v the subject of any allegations of malpractice or misconduct in connection with any business activities?**

No  Yes

**4.17 If you have answered yes to any of the questions above, please give full details in section 5. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**

No  Yes

### **Regulatory matters**

Please revert to the guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the question below.

In answering the questions in Part D you should include matters whether in the United Kingdom or overseas.

**4.18 In relation to activities regulated by the FCA or any other regulatory body, have you ever:**

**i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**

No  Yes

**ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**

No  Yes

**iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?**

No  Yes

**iv been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?**

No  Yes

**v resigned or ceased to act whilst under investigation by any such body or been required to resign or cease acting by any regulatory body?**

No  Yes

**vi decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?**

No  Yes

**vii provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?**

No  Yes

**4.19 Has any firm at which you held a position of influence during the association with that firm as well as for a period of one year after you ceased to be associated with it ever:**

**i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**

No  Yes

**ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**

No  Yes

**iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?**

No  Yes

**vi been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?**

No  Yes

- v **been required or requested to produce documents or any other information to any regulatory body?**  
 No       Yes
- vi **ceased operating whilst under investigation by any such body or been required to cease operating by any regulatory body?**  
 No       Yes
- vii **decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?**  
 No       Yes
- viii **provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?**  
 No       Yes
- 4.20 In relation to activities regulated by the FCA or any other regulatory body have you ever:**
- i **been found to have carried on activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration?**  
 No       Yes
- ii **been investigated for the possible carrying on of activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**  
 No       Yes
- iii **been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**  
 No       Yes
- vi **been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**  
 No       Yes
- v **been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56A of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?**  
 No       Yes
- 4.21 Has any you hold or have held, a position of influence during the your association with that firm as well as for a period of one year after you ceased to be associated with it ever:**
- i **been found to have carried on activities for which authorisation by or registration with the FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation/registration?**  
 No       Yes



ii **been investigated for the possible carrying on of activities requiring authorisation by or registration with the FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**

No  Yes

iii **been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**

No  Yes

vi **been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**

No  Yes

v **been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its electronic money or payment services business?**

No  Yes

4.22 **If you have answered yes to any of the questions above, please give full details in section 5. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**

No  Yes

#### **Other matters**

4.23 **Do you have any personal or business interests, employment obligations, or any other situations that may conflict with your role as a controller of the applicant firm or your position at the controller?**

No  Yes

4.24 **Are you aware of any other information relevant to this application that we would reasonably expect you to give, including information that could have a material impact on any of the requirements described in the Regulations?**

No  Yes

4.25 **If you have answered 'Yes' to any of the questions 4.23 to 4.24, please give clear details on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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## 5 Supplementary information

If there is any other information the individual or the applicant considers may be relevant to the application, it must be included here.

Please also include here any additional information indicated in previous sections of the form.

If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4.

Question	Information

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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## 6 Declaration

- It is a criminal offence (under Regulation 114) to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.
- All information that the FCA might reasonably consider relevant to this application should be supplied to the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included
- You must notify us immediately of any material change to the information provided (see Regulation 16). Failure to notify us immediately of any significant change to the information provided may result in a delay in the application process. Failure to provide information may also call into question whether the applicant meets the conditions for registration in Regulation 13.
- There may be a delay in processing the application if any information is inaccurate or incomplete.

### In signing the declaration below I confirm that:

- I am authorised to make this application for registration on behalf of the applicant named on the front of this form.
- I understand it is a criminal offence to knowingly or recklessly give the FCA information which is false or misleading in a material particular. The information in this application is accurate and complete to the best of my knowledge and belief, and I have taken all reasonable steps to ensure that the information in this application is accurate and complete.
- I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
- I understand that I may be selected to undergo a Criminal Records Bureau search to determine whether any criminal records are held in relation to me and that the FCA may wish to disclose the results of that search to the firm submitting this application.
- I am aware of the Regulations, in particular the Conditions in section four of the application form. See Regulations:

[http://www.opsi.gov.uk/si/si2009/uksi\\_20090209\\_en\\_1](http://www.opsi.gov.uk/si/si2009/uksi_20090209_en_1)

Name	
Signature	
Date	dd/mm/yy

# PAYMENT SERVICES

## Notification for a 'Change in Qualifying Holding' Individual (Controller) Form for a Payment Institution

Name of Controller submitting this notification

Registered name of Payment Institution & FRN

### Terms in this form

In this form the FCA uses the following terms:

'**Controller**', or '**Qualifying Holding**' means a person with a stake or shareholding in the Payments Institution (PI); '**FCA**', '**we**', '**our**', or '**us**' refers to the Financial Conduct Authority; '**Regulations**' refers to the Payment Services Regulations 2009 & The Payment Services Regulations 2012; and '**You**' refers to the individual signing the form who has a qualifying holding (i.e. the controller) in the applicant.

### Purpose of this form

This form should be completed if an individual wishes to acquire a qualifying holding in a payment institution or in a parent undertaking of a payment institution. Please refer to our Approach Document for the definition of qualifying holding and controllers.

### Ceasing to be a controller

To inform us that a controller is ceasing to be a controller by reducing its qualifying holding to below 10% in a PI, or in a parent undertaking of a PI, please confirm the date this took place by sending an email to the Change in Control team.

The Financial Conduct Authority

**Change in Control Team**

**Permissions Department**

**Authorisations Division**

25 The North Colonnade

Canary Wharf

London E14 5HS

United Kingdom

Telephone: +44 (0) 845 606 9966

Facsimile: +44 (0) 207 066 0017

E-mail: [cic-notifications@fca.org.uk](mailto:cic-notifications@fca.org.uk)

Website: [www.fca.org.uk](http://www.fca.org.uk)

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

For the purposes of complying with the Data Protection Act 1998, any personal information provided to us will be used to discharge our functions under the Payment Services Regulations 2009 as amended and other relevant legislation; it may be disclosed to third parties for those purposes and/or where there is an applicable gateway permitting disclosure (i.e. specific circumstances in which the FCA is permitted to disclose confidential information to a third party).

**We attach considerable importance to the completeness and accuracy of the 'Qualifying Holding' form. If the applicant is in any doubt as to whether or not any information is relevant, it should be included.**

## **Filling in the form**

1. If you are using your computer to complete the form:
2. use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
3. print out the completed form and sign the declaration in section 5.
4. If you are filling in the form by hand:
  1. use black ink;
  2. write clearly; and
  3. sign the declaration in section 5.
  4. If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.

## Contact details

Who should we contact about this notification?

Title	
First name(s)	
Surname	
Job title	
Company name	
Business address	
Postcode	
Phone number (including area code)	
Mobile number (optional)	
Fax number (including area code)	
Email address	

You may find it useful to refer to the following publications which can be found in the Payment Services section of the FCA website when completing this form:

- The FCA's Approach Document
- The Payment Services Regulations 2009 (PSRs)

A 'qualifying holding' is defined in the PSRs by reference to Article 4(11) of the Banking Consolidation Directive (BCD). The definition of a 'qualified holding' is a '*direct or indirect holding in an undertaking which represents 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking*'. We refer to people with a qualifying holding as 'controllers'.

# 1 About the notification

## 1.1 Has the change in qualifying holding already taken place?

- No ▶ Continue to question 1.2  
 Yes ▶ Give the date the change in qualifying holding took place below:

Date	dd/mm/yy
------	----------

## 1.2 What prompted you to submit the notification at this time? If this notification is being submitted after the event, include details of why notification was not given prior to the change(s).

## 1.3 Are you aware of other notifications that relate to this change in qualifying holding?

(For example, another notification for a change in qualifying holding, appointment of agents or a PSD Individual, etc...)

- No ▶ Continue to section 2  
 Yes ▶ Give details below

## 2 About the target firm(s)

**2.1 Please list the payment institution(s) undergoing the change in qualifying holding (target firm(s)).**

You may complete a notification for more than one target firm with the same new controller(s) or for more than one proposed controller for a single target firm. The relevant sections for each controller should be completed (make copies if necessary) and each controller and target firm must sign a declaration page.

Please list names of all proposed controllers of the named target firm(s). From hereon, if the form refers to a controller, this means the proposed new controller of the target firm(s) (unless otherwise stated). List in the table below the current and proposed percentages of control for each controller in relation to each relevant target firm.

In the column headed 'Description of control' please provide information on the type of control held. Please refer to our Approach Document for the meaning of qualifying holding and controllers.

You should consider, in line with the above definitions, persons acting in concert and/or with significant influence when completing the table below.

Target firm FCA number	Target firm name(s)	Proposed controller name(s)	FCA number/Registered no/Date of birth	Current control %	Proposed control%	Description of control



### 3 Individual's details

3.1 First name(s)

3.2 Surname

3.3 Please give details of any previous names and the dates they were changed

3.4 Name commonly known by

3.5 Date of birth (dd/mm/yy)

 /  / 

3.6 Place of birth

3.7 National Insurance number

3.8 Passport number, if National Insurance number is not applicable.

3.9 Individual's nationality

3.10 Has the individual ever had a different nationality? If yes, you must give the individual's previous nationalities.

## 4 Individual's address

### 4.1 Current private address

Please provide controller's address. If they live outside the UK, please give their residential address outside the UK and tick the box below.

The controller lives outside the UK and has no UK address.

Property		
Street		
Town		
County		
Country		
Postcode		

### 4.2 When did the individual move to this address?

--

If the individual moved to this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses. Please use a separate piece of paper if you need more space.

#### Previous address one:

Property		
Street		
Town		
County		
Country		
Postcode		

From	
To	

**Previous address two:**

Property		
Street		
Town		
County		
Country		
Postcode		

From	
To	

**Previous address three:**

Property		
Street		
Town		
County		
Country		
Postcode		

From	
To	

Please indicate how many separate sheets of paper you have used (if applicable):

Number of additional sheets	
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## 5 Other directorships and companies in which the individual holds, directly or indirectly, 10% or more control

5.1 Give details of any directorships the individual holds in the UK or outside the UK.

Name of undertaking	Nature of business	Place of business

5.2 Give details of any companies inside or outside the UK in which the individual holds, directly or indirectly, 10% or more control

Name of undertaking	Nature of business	Place of business	Percentage of control held

## 6 About the individual's fitness and propriety

For the purposes of this form, a regulatory body is any of the following:

- a self-regulatory organisation – including Investment Management Regulatory Organisation ('IMRO'), Securities and Futures Agency ('SFA'), Personal Investment Authority ('PIA'), Life Assurance and Unit Trust Regulatory Organisation ('LAUTRO'), Financial Intermediaries, Managers and Brokers Regulatory Association ('FIMBRA'), Association of Futures Brokers and Dealers Limited ('AFBD') and The Securities Association Limited ('TSA');
- a statutory body, including the FCA (formerly the FSA), Securities and Investments Board ('SIB'), the Society of Lloyd's, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England, HMRC, the Treasury – Insurance Directorate (formerly the DTI) and the recognised bodies;
- a designated professional body (A professional body designated by the Treasury under section 326 of the Financial Services and Markets Act 2000); or
- the equivalent of any of these regulators overseas.

A condition for authorisation and registration under Regulation 6(6)(a) and 13(4A) of the Regulations is that the applicant must satisfy us that any persons having a qualifying holding in it are fit and proper persons having regard to the need to ensure the sound and prudent conduct of the affairs of the Payment Institution. Please respond to the following questions.

In answering these questions, the individual and applicant/firm are expected to give words the widest possible interpretation. **Remember, the FCA treats non-disclosure very seriously.**

### Criminal proceedings

In answering the questions in this section, you should include matters whether in the United Kingdom or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 as amended, if the individual is subject to the law of England and Wales or Northern Ireland, spent convictions and spent cautions (other than a protected conviction or caution) must be disclosed. By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the individual is subject to the law of Scotland or Northern Ireland, spent convictions (other than a protected conviction) must be disclosed.

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

#### 6.01

**i) Has the individual ever been convicted of any criminal offence? (You should include any conviction of an offence for which *you* received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance).**

No       Yes

**ii) Has the individual ever received a caution in relation to any criminal offence?**

No       Yes

**iii) Is the individual currently the subject of any criminal investigation? {**

No       Yes

**iv. Has the individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?**

No       Yes

(You should include all matters in respect of 6.01 (iv), even where you were not the subject of the investigation)

#### 6.02 Is the individual currently the subject of any proceedings relating to any criminal offence?

No       Yes

**6.03 Has any firm at which the individual holds or has held a position of influence ever:**

(Please revert to the guidance notes for the meaning of 'position of influence' in the context of the questions in this form).

**i. been convicted of any criminal offence?**

No  Yes

**ii. been summonsed, charged with or otherwise prosecuted for any criminal offence?**

No  Yes

**iii. been the subject of any criminal investigation which has not resulted in a conviction?**

No  Yes

**iv. been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) pursuant to any criminal investigation?**

No  Yes

You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm. (You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 6.03(iv), even where the firm itself was not the subject of the investigation.) However, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**6.04 Is any firm at which the individual holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm.)**

No  Yes

**6.05 If you have answered yes to any of the questions in the Criminal proceedings section above, please give full details in section 7. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

No  Yes

## Civil proceedings

In answering the questions you should include matters whether in the United Kingdom or overseas.

### 6.06 Has the individual ever been?

**i. adjudged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?**

No  Yes

**ii. the subject of a judgment debt or award?**

No  Yes

**iii. party to any other civil proceedings which resulted in a finding against you (other than a judgment debt or award referred to at 6.06(ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)**

No  Yes

(You should include all County Court Judgment(s) ('CCJs') made against you, whether satisfied or not. Please include in section 7:

- the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- the total number of all CCJs ordered.)

### 6.07 Is the individual currently:

**i. a party to any civil proceedings?**

No  Yes

**ii. aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against you or the order of a judgement debt.)**

No  Yes

### 6.08 Has any firm at which the individual holds or has held a position of influence ever been:

**i. adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?**

No  Yes

**ii. party to any other civil proceedings which resulted in a finding against the firm?**

No  Yes

**iii. the subject of a judgement debt or award other than in relation to matters mentioned at 6.08(i) and 6.08(ii) above? (You should include all CCJs made the subject against the firm, whether satisfied or not.)**

No  Yes

(You should include all matters arising during the the individual's association with that firm and for a period of one year after the individual ceased to be associated with the firm.)

### 6.09 Is any firm at which the individual holds or has held a position of influence currently:

**i. a party to civil proceedings?**

No  Yes

**ii. aware of anyone's intention to begin civil proceedings against them?**

No  Yes

(You should include all matters arising during your association with that firm and for a period of one year after you ceased to be associated with the firm)

- 6.10 Has the individual ever (tick all that apply):**
- i. filed for bankruptcy or had a bankruptcy petition served on him/her;**  
 No       Yes
  - ii. been adjudged bankrupt;**  
 No       Yes
  - iii. been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;**  
 No       Yes
  - iv. made any arrangements with creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);**  
 No       Yes
  - v. had assets sequestered; or**  
 No       Yes
  - vi. been involved in any proceeding relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?**  
 No       Yes
- 6.11 Is the individual currently involved in any proceedings in relation to any of the matters set out in 6.10(i) – (vi) above (you should include where you are in the process of entering into any kind of agreement in favour your creditors)?**  
 No       Yes  
Please specify in section 7 whether any bankruptcy orders made have been discharged.
- 6.12 Does the individual have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA or any other regulatory body), which you have carried on in the past?**  
 No       Yes
- 6.13 Has any firm at which the individual holds or has held a position of influence at any time during and within one year of the individual involvement:**
- i. been put into liquidation;**  
 No       Yes
  - ii. been wound up (whether compulsorily or voluntarily);**  
 No       Yes
  - iii. ceased trading;**  
 No       Yes
  - iv. had a receiver or administrator appointed; or**  
 No       Yes
  - v. entered into any voluntary arrangement with its creditor?**  
 No       Yes
- 6.14 If you have answered yes to any of the questions above please give full details in section 7. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**  
 No       Yes



**Business and employment matters**

In answering the questions you should include matters whether in the United Kingdom or overseas.

**6.15 Has the individual ever been:****i. dismissed;**

No  Yes

**ii. asked to resign or agreed to resign; or**

No  Yes

**iii. suspended**

No  Yes

**from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar, whether or not remunerated?**

**6.16 Has the individual ever been:****i. disqualified from acting as a director or similar position?**

No  Yes

**ii. the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?**

No  Yes

**iii. the subject of any investigation which might lead to or might have led to disciplinary proceedings?**

No  Yes

**iv. notified of any potential proceedings of a disciplinary nature?**

No  Yes

**v. the subject of any allegations of malpractice or misconduct in connection with any business activities?**

No  Yes

**6.17 If you have answered yes to any of the questions above, please give full details in section 7. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**

No  Yes

## Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the question below.

In answering the questions below you should include matters whether in the United Kingdom or overseas.

- 6.18 In relation to activities regulated by the FCA or any other regulatory body, has the individual ever:**
- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**  
 No       Yes
  - ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**  
 No       Yes
  - iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?**  
 No       Yes
  - iv. been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?**  
 No       Yes
  - v. resigned or ceased to act whilst under investigation by any such body or been required to resign or cease acting by any regulatory body?**  
 No       Yes
  - vi. decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?**  
 No       Yes
  - vii. provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?**  
 No       Yes
- 6.19 Has any firm at which the individual held a position of influence during the association with that firm as well as for a period of one year after the individual ceased to be associated with it ever:**
- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**  
 No       Yes
  - ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**  
 No       Yes
  - iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?**  
 No       Yes
  - iv. been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?**  
 No       Yes
  - v. been required or requested to produce documents or any other information to any regulatory body?**  
 No       Yes
  - vi. ceased operating whilst under investigation by any such body or been required to cease operating by any regulatory body?**  
 No       Yes
  - vii. decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?**  
 No       Yes

viii. provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

No  Yes

**6.20** In relation to activities regulated by the FCA or any other regulatory body has the individual ever:

i. been found to have carried on activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration?

No  Yes

ii. been investigated for the possible carrying on of activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?

No  Yes

iii. been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?

No  Yes

vi. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?

No  Yes

v. been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?

No  Yes

**6.21** Has any position the individual holds or has held, a position of influence during the your association with that firm as well as for a period of one year after the individual ceased to be associated with it ever:

i. been found to have carried on activities for which authorisation by or registration with the FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation/registration?

No  Yes

ii. been investigated for the possible carrying on of activities requiring authorisation by or registration with the FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?

No  Yes

iii. been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?

No  Yes

vi. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?

No  Yes

v. been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its electronic money or payment services business?

No  Yes

**6.22** If you have answered yes to any of the questions above, please give full details in section 7. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:

No  Yes

**Other matters**

**6.23 Does the individual have any personal or business interests, employment obligations, or any other situations that may conflict with the individual's role as a controller of the applicant firm or your position at the controller?**

No     Yes

**6.24 Are you aware of any other information relevant to this notification that we would reasonably expect you to give, including information that could have a material impact on any of the requirements described in the Regulations?**

No     Yes

**6.25 If you have answered 'Yes' to any of the questions 6.1 to 6.24 please give clear details on a separate sheet of paper.**

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
--------------------------------	--

## 7 Supplementary information

If there is any other information the individual or the firm considers may be relevant to the notification, it must be included here.

Please also include here any additional information indicated in previous sections of the form. If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 6.

Question	Information

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
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## 8 Control structure charts

**You must send us control structure charts that show the position of the firm(s) undergoing the change in qualifying holding (the target firm(s)) after the proposed change in control. These charts should show all the firms and/or individuals within the structure and include, among others:**

- all entities in the group;
- parent undertakings;
- any undertaking(s) other than the applicant firm;
- any other close links;
- any controller by virtue of acting in concert;
- percentages of holdings;
- voting rights;
- control through right-to-share in capital, profits or liability for losses; and
- any controller by virtue of their significant influence.

**It would be helpful to include a chart showing the target firm(s)' controller(s) before the change.**

It is recommended that you read our Approach Document for the definition of qualifying holding and controllers.

(See 11.1.2 in the 'supporting documents' section.)

## 9 About the notification

**9.1 Is the notification market sensitive?**

- No ▶ Continue to question 9.2
- Yes ▶ Give details below

Confirm why the **notification** is market sensitive.

**9.2 What is the rationale behind the acquisition?**

**9.3 Does the proposed controller intend to make any changes to the target firm's regulated activities, business plan or strategy as a result of the change in qualifying holding?**

- No ▶ Continue to question 9.4
- Yes ▶ Give details below

**9.4 Does the proposed controller intend to restructure the legal form of the target firm(s) or their borrowings, capital structuring or financial arrangements?**

- No ▶ Continue to question 9.5
- Yes ▶ Give details below for each target firm detailed in 2.1

Firm	Proposed changes

**9.5 Provide full details of the cost of the acquisition and how this is to be funded, evidencing the origin of the funds.**

Cost	Details of funding

**Is there any documentation (e.g. a loan agreement) to support the information provided above?**

- No ▶ Continue to question 9.6
- Yes ▶ Attach relevant supporting document as appropriate (see 11.1.1 in the 'supporting documents' section)

**If you are not attaching supporting documentation you must explain why below.**

**9.6 Is there any involvement from/with other parties in the acquisition of control (e.g. contribution to financing, means of participation in financial or other current or future arrangements, etc)?**

- No ▶ Continue to question 9.7
- Yes ▶ Give details below



**9.7 Provide details of any current or contemplated shareholder arrangements with other shareholders in relation to the target firm(s). (If none, state 'none'.)**

**9.8 Does the proposed controller have any interests that may conflict with its role as a controller of the firm(s)?**

- No ▶ Continue to question 9.9
- Yes ▶ Give details below

**9.9 Provide information about the controller(s)' ability (financial position) and willingness to support the target firm(s) with additional own funds, if needed for development of activities or in case of financial difficulties.**

**9.10 Provide any information you consider relevant and not given elsewhere. Please provide supporting documentation and/or use additional sheets if required.**

## 10 Details of proposed control

Has information been provided in another controller notification form?

- No ▶ Proceed to question 10.1  
 Yes ▶ Give details below and proceed to Section 11

**10.1 Will the proposed controller become a parent undertaking (or a parent of a parent) of the target firm(s)?**

- No ▶ Additional information may be requested once the information has been reviewed. Please note the assessment period for issuing a decision will not start until all the required information has been received. You will be notified as soon as possible if additional information is required and also when the assessment period starts.
- Yes ▶ **Please provide a business plan** (See 11.1.5 in the 'supporting documents' section for details of the minimum requirements for a business plan.)

For more detail on what is required please refer to Appendix II, Part II of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'. The website is:

[www.fca.org.uk](http://www.fca.org.uk)

**10.2 Do the proposed controller(s) intend to maintain, increase or reduce their level of control in the foreseeable future? Please provide details below.**

**10.3 If and after the proposed changes take place, how long do the controller(s) intend to hold their control? Please provide details below.**

**10.4 Will control be actively exercised by any of the controllers and if so what is the rationale for this? Please explain in full below. If the proposed controller will be a passive investor only, please also explain in full below.**

**10.5 Please provide information about the controller(s)' ability (financial position) and willingness to support the target firm(s) with additional own funds, if needed for development of activities or in case of financial difficulties.**

**10.6 What influence do the controller(s) propose to exercise over the target firm(s)' financial position, strategic development and allocation of resources?**

**10.7 Please describe intentions and expectations towards the target firm(s) in the medium-term, covering elements such as rationale, financial goals, synergies, reallocation of resources, integration, etc.**

# 11 Supporting documents

In addition to the documentation required with the main **notification**, please provide the following documentation. Where this is not provided please explain why.

**Indicate whether the required supporting documents will accompany this form. If not, please explain why.**

	<b>You are required to complete and send to us the following documents</b>	<b>Relevant part of form</b>	<b>Attached</b>	<b>If not attached, please explain why</b>
11.1.1	Please submit the documentation as indicated, in support of information provided about the funding of the acquisition.	Question 9.5	<input type="checkbox"/> Attached	
11.1.2	<p>You must send us control structure charts that show the position of the firm(s) undergoing the change in qualifying holding (the target firm(s)) after the proposed change in control. These charts should show all the firms and/or individuals within the structure and include, among others:</p> <ul style="list-style-type: none"> <li>• all entities in the group;</li> <li>• parent undertakings;</li> <li>• any undertaking(s) other than the applicant firm;</li> <li>• any other close links;</li> <li>• any controller by virtue of acting in concert;</li> <li>• percentages of holdings;</li> <li>• voting rights;</li> <li>• control through right-to-share in capital, profits or liability for losses; and</li> <li>• any controller by virtue of their significant influence.</li> </ul> <p>It would be helpful to include a chart showing the target firm(s)' controller(s) before the change.</p> <p>It is recommended that you read our Approach Document for the definition of qualifying holding and controllers.</p>	Section 8	<input type="checkbox"/> Attached	
11.1.4	If you have answered yes to any of the questions about your fitness and propriety, you should provide documentation to support the details given in each case. Please give clear details below of the supporting documentation you will provide.	Section 6	<input type="checkbox"/> Attached	
11.1.5	<p>Business plan containing:</p> <p>(1) strategic developmental plan;</p> <p>(2) estimated financial statements for the target firm (solo and consolidated if applicable) for three years; and</p> <p>(3) information about the impact of the acquisition on the target firm including but not limited to it's:</p> <p>i) Governance (including Board membership/composition, committee structure);</p> <p>ii) Systems and Controls; and</p> <p>iii) data security/financial crime</p> <p>For more information please refer to Appendix II, Part II</p>	Question 10.1	<input type="checkbox"/> Attached	

	of the 'Guidelines for the prudential assessment of acquisitions and increase of holdings in the financial sector required by Directive 2007/44/EC'.			
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**11.2 Other information (please specify).**

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## 12 Declaration

- It is a criminal offence (under Regulation 114) to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.
- All information that the FCA might reasonably consider relevant to this notification should be supplied to the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and those making the notification are not entitled to assume that, in assessing this notification, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included.
- You must notify us immediately of any material change to the information provided (see Regulation 16). Failure to notify us immediately of any significant change to the information provided may result in a delay in the notification process. Failure to provide information may also call into question whether the target firm meets the conditions for registration in Regulation 13.

### In signing the declaration below I confirm that:

- I am authorised to make this notification for a change in qualifying holding on behalf of the applicant named on the front of this form.
- I understand it is a criminal offence to knowingly or recklessly give the FCA information which is false or misleading.
- The information in this notification is accurate and complete to the best of my knowledge and belief, and I have taken all reasonable steps to ensure that the information in this notification is accurate and complete.
- I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
- I understand that the individuals notified in section 2.1 may be selected to undergo a Criminal Records Bureau search to determine whether any criminal records are held in relation to them and that the FCA may wish to disclose the results of that search to those submitting this notification.
- I am aware of the Regulations, in particular the Conditions in section four of the notification form. See Regulations:  
[http://www.opsi.gov.uk/si/si2009/uksi\\_20090209\\_en\\_1](http://www.opsi.gov.uk/si/si2009/uksi_20090209_en_1)

### I confirm that I am legally authorised to sign on behalf of the target firm named below.

Name	
Is signing on behalf of (target firm)	
Position	
Signature	
Date	

### I confirm that I am legally authorised to sign on behalf of the controller firm named below.

Name	
Is signing on behalf of (controller)	
Signature	
Date	

## What to do next

### Submitting the form

#### Email

1. We recommend that you submit your notification via email to [cic-notifications@fca.org.uk](mailto:cic-notifications@fca.org.uk). Please note however that emails containing attachments larger than 20mb will get rejected by our server.
2. Notifications received after 16:00 hours will be treated as being received on the following working day.
3. Section 11 declaration – You should print this section, sign the declaration, scan it and then attach to your emailed notification.

#### Post

1. If you are submitting confidential/sensitive information, we recommend that you send your notification via courier.
2. All posted notifications should be submitted to:

The Financial Conduct Authority  
**Change in Control Team**  
**Permissions Department**  
**Authorisations Division**  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone: +44 (0) 845 606 9966  
Facsimile: +44 (0) 207 066 0017



# PAYMENT SERVICES

## Add a PSD agent form

Application under regulation 29 of The Payment Services Regulations 2009

Firm name (i.e. name of PI)

(the firm)

Firm reference number (FRN)

Address

### Terms in this form

This form uses the following terms:

- 'PSD' refers to directive 2007/64/EC of the European Parliament and of the council of 13 November 2007 on payment services in the internal market amending Directives 97/7/EC, 2002/65/EC, 2005/60/EC and 2006/48/EC and repealing Directive 97/5/EC
- 'PI' refers to Payment Institution
- 'EEA' refers to European Economic Area

---

Address: Authorisations Division  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS

Telephone: +44 (0) 845 606 9966  
Website: <http://www.fca.org.uk>  
Registered as a Limited Company in England and Wales No. 01920623

## Notes

This form should only be used to notify a new agent of a Payment Institution. It is the responsibility of the payment institution to complete and submit this form on behalf of the agent.

## Personal details

## Section A

**1** Contact name at the PI (this is not necessarily the same person making the declaration at the end of the form)

**2** Contact's details:

**a** position in the firm

**b** daytime telephone number

**c** email address

**1** Agent name, or in the case of a sole trader, the individual's name

**2** If the agent is registered, please provide its firm reference number (FRN)

**3** Address (include country if not UK)

Country:  
Postcode:

**4** Trading name(s), if different to the name given in question 1 above


**5** Telephone number (Landline preferred)

**6** Email address

**7** Website address (not mandatory)

**8** Legal status\*

Private limited company

Public limited company

Partnership

Limited partnership

Limited liability partnership

Unincorporated association

Sole trader

Other, please specify below

\*Corporate registration number (e.g. Companies House)

**9 Authorised PIs only**

Yes  No

Will the API be engaging the agent to provide payment services in another EEA states(s)?

If 'no', proceed to Section C.

Does the API hold a passport to the relevant EEA State?

Yes  No

If no, has a notification been made?

Yes  No \*

If 'yes', please indicate the type of passport the PSD agent will operate under

Establishment

Services

\* If this PSD agent is established in, or will provide payment services into, any other EEA State you will need to supply this information by using the relevant Passporting Out application, specifying for each applicable EEA State:

- whether the PSD agent is establishment in the EEA or will provide services from the UK; and
- the payment services that will be provided.

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## Notes

Firms wishing to appoint agents need to provide a description of the internal control mechanisms that will be used by the agent to comply with money laundering legislation. If you have indicated that the PSD agent will be providing services on your behalf in other EEA jurisdictions you will need to demonstrate how the internal controls comply with national money laundering legislation in the relevant state(s).

## Money laundering controls

## Section C

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| 1 Has the PI already supplied to us, as part of another application, a description of the money laundering controls that will be used by all their agents, and do you confirm that those controls will be used by this agent? | <input type="checkbox"/> | <input type="checkbox"/> |

If 'yes', proceed to Section C.

If 'no', please provide a description of the internal money laundering controls to be used by this to comply with money laundering legislation.

**Notes**

Please see Annex 4 Fitness and Propriety Annex for the questions that we expect you to ask each of the individual(s) listed below to assess their fitness and propriety. This list is not exhaustive and you should advise individual(s) to disclose to you any issues that could affect their fitness and propriety.

Please complete the following table for the proprietor, director(s)/partner(s) and person(s) responsible for the management **within** the agent.

Please state number of individuals         

Full name of individual(s) – include previous name(s), if applicable and date(s) of name change(s) and any Name(s) commonly known by	<b>National Insurance* (NI) number only</b>  <i>* If the agent is located in another EEA member State you must provide their identification code as relevant in that host state e.g. national insurance number, fiscal number</i>	Date of birth	Assessed as a fit and proper person		Anything to disclose in relation to Fitness and Propriety Annex	
			Yes	No	Yes	No
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					

If there is not enough space above, please continue on a separate sheet of paper and attach it to the form.

If the firm has anything to disclose for any individual, whether in relation to the Fitness and Propriety Annex or otherwise, please provide further information on a separate sheet of paper, clearly identifying the individual(s) it relates to.

**Please indicate the number of additional sheets provided**

## Declaration and signature

## Section E

### **Warning**

Knowingly or recklessly giving the FCA information, which is false or misleading in a material particular, may be a criminal offence (regulation 114 of the Payment Services Regulations 2009) and may lead to disciplinary sanctions or other enforcement action by the FCA.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

### **Data protection**

For the purposes of complying with the Data Protection Act 1998, the personal information in this form will be used by the FCA to discharge its statutory functions under the Payment Services Regulations 2009 and other relevant legislation. It will not be disclosed for any other purposes without the individual's permission.

### **Declaration**

By submitting this notification:

- I/we confirm that this information is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.
- I am/we are aware that it is a criminal offence knowingly or recklessly to give the FCA/PRA information that is false or misleading in a material particular.
- I am/we are aware that some questions do not require supporting evidence. However, the records, which demonstrate the applicant firm's compliance with the requirements in relation to the questions, are available to the FCA/PRA on request.
- I/we will notify the FCA/PRA immediately if there is a significant change to the information given in the form. If I/we fail to do so, this may result in a delay in the application process or enforcement action.
- I/we confirm that I/we have read and understood the content of the Fitness and Propriety Annex and answered questions regarding the fitness and propriety of the individual(s) in accordance with this schedule.

Signature

Name of signatory

Date

Position in firm

We expect you to ask the questions below to each of the individual(s) who are the director(s)/partner(s) and persons responsible for the management of the PSD agent, to assess their fitness and propriety. This list is not exhaustive and you should advise the individual(s) to disclose to you any issues that could affect their fitness and propriety.

### **1. Criminal proceedings**

In answering the questions in this part you should include matters in the UK and/or overseas. Any references to criminal convictions or cautions do not include criminal convictions or cautions that are now spent. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the individual is subject to the law of England and Wales, the individual must disclose spent convictions and cautions (other than a protected conviction or caution).

**1.1**

Has the individual ever been convicted of any criminal offence? (You should include any conviction of an offence for which the individual received an absolute or conditional discharge. Include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)

- i. Has the individual ever received a caution in relation to any criminal offence?
- ii. Is the individual currently the subject of any criminal investigation?
- iii. Has the individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) relating to any ongoing criminal investigation?

You should include all matters in respect of 1.1 (iv) even where the individual themselves was not the subject of the investigation.

**1.2**

Is the individual currently the subject of any proceedings relating to any criminal offence?

Please revert to the PSD Individual form guidance notes for the meaning of 'position of influence' in the context of the questions below in this part of the form.

**1.3**

Has any firm at which the individual holds or has held a position of influence **ever**:

- i. been convicted of any criminal offence?
- ii. been summonsed, charged with or otherwise prosecuted for any criminal offence?
- iii. been the subject of any criminal which has not resulted in a conviction?
- iv. been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) relating to any criminal investigation?

You should include all matters arising during the individual's association with that firm and for a one year after the individual ceased to be associated with it.) You should include all matters



even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 1.3(iv), even where the firm itself was not the subject of the investigation. However, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

- 1.4** Is any firm at which the individual holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during the individual's association with that firm **and for one year after** the PSD individual ceased to be associated with it.)

## **2 Civil proceedings**

In answering the questions in this part you should include matters in the UK and/or overseas.

- 2.1** Has the individual ever been:

- i. judged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?
- ii. the subject of a judgment debt or award?
- iii. party to any other civil proceedings which resulted in a finding against the individual (other than a judgment debt or award referred to at 2.1 (ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

(You should include all County Court Judgment(s) – CCJs made against the Individual, whether satisfied or not.

- a) the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- b) the total number of all CCJs ordered.

- 2.2** Is the individual currently:

- i. a party to any civil proceedings?
- ii. aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against the Individual or the order of a judgment debt.)

**2.3**

Has any firm at which the individual holds or has held a position of influence ever been:

- i. judged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?
- ii. party to any other civil proceedings which resulted in a finding against the firm?
- iii. the subject of a judgment debt or award other than in relation to matters mentioned at 2.2(i) and 2.2(ii) above? (You should include all CCJs) made against the firm, whether satisfied or not.)

(You should include all matters arising during the individual's association with that firm **and for one year after** the individual ceased to be associated with it.)

**2.4**

Is any firm at which the individual holds or has held a position of influence currently:

- i. a party to civil proceedings?
- ii. aware of anyone's intention to begin civil proceedings against them?

(Where the individual no longer holds a position of influence at the firm consider whether the matters have arisen within **one year** of the individual ceasing to be associated with the firm. Include all matters which have arisen within this period.)

**2.5**

Has the individual ever (tick all that apply):

- i. filed for bankruptcy or had a bankruptcy petition served on them;
- ii. been judged bankrupt;
- iii. been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;
- iv. made any arrangements with creditors for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);
- v. had assets sequestrated; or
- vi. been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?

**2.6** Is the individual **currently** involved in any proceedings in relation to any of the matters set out in 2.5(i) – (vi) above (You should include where the individual is in the process of entering into any kind of agreement in favour of the their creditors.)?

**2.7** Does the individual have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA/PRA or any other regulatory body), which the individual has carried on in the past?

**2.8** Has any firm at which the individual holds – or has held – a position of influence at any time during and within one year of the individual's involvement:

- i. been put into liquidation?
- ii. been wound up (whether compulsorily or voluntarily)?
- iii. ceased trading?
- iv. had a receiver or administrator appointed?
- v. entered into any voluntary arrangement with its creditor?

### **3. Business and employment matters**

In answering the questions in this part you should include matters in the UK and/or overseas.

Has the individual ever been:

**3.1**

- i. dismissed;
- ii. asked to resign or agreed to resign; or
- iii. suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

**3.2**

Has the individual ever been:

- i. disqualified from acting as a director or similar position?
- ii. the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?
- iii. the subject of any investigation which might lead to or might have led to disciplinary proceedings?
- iv. notified of any potential proceedings of a disciplinary nature?
- v. the subject of any allegations of malpractice or misconduct in connection with any business activities?

**4. Regulatory matters**

Please see the PSD Individual form guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the questions below. In answering the questions in this part you should include matters in the UK and/or overseas.

**4.1**

In relation to activities regulated by the FCA/PRA or any other regulatory body has the individual ever:

- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?
- ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?
- iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?
- iv. been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding?
- v. resigned or ceased to act while under investigation by any such body or been required to resign or cease acting by any regulatory body?
- vi. decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?
- vii. provided payment services on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

**4.2**

Has any firm where the individual held a position of influence (during their association with that firm as well as for **one year after** they ceased to be associated with it):

- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?
- ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?
- iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?
- iv. been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding?
- v. been required or requested to produce documents or any other information to any regulatory body?
- vi. ceased operating while under investigation by any such body or been required to cease operating by any regulatory body?
- vii. decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?
- viii. provided payment services on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

**4.3**

In relation to activities regulated by the FCA/PRA or any other regulatory body has the individual ever:

- i. been found to have carried on activities for which authorisation by the FCA/PRA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?
- ii. been investigated for the possible carrying on of activities requiring authorisation by the FCA/PRA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation whether or not such investigation resulted in a finding?
- iii. been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?
- iv. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?
- v. been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?

**4.4**

Has any firm where the individual held a position of influence (during their association with that firm as well as for one year after they ceased to be associated with it):

- i. been found to have carried on activities for which authorisation or registration by the FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?
- ii. been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation, whether or not such investigation resulted in a finding?
- iii. been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?
- iv. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?
- v. been found to have failed to comply with an obligation under the Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its payment services business?

## EMD Individual Form

### Application Form for an individual responsible for the management of an Electronic Money Institution

The Electronic Money Regulations 2011

**Name of individual** (to be completed by applicant firm)

**Full name of applicant firm** (as entered in 2.1)

**Firm reference number** (as entered in 2.2)

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

Please keep a copy of the forms you complete and any supporting documents you include with this application for your future reference.

**It is important that you provide accurate and complete information, and disclose all relevant information. If you do not, you may be committing a criminal offence and it may increase the time taken to assess your application.**

The FCA has produced notes which will assist both the applicant and the individual in answering the questions in this form. Please read these notes, which are available on the FCA's website at [www.fca.org.uk](http://www.fca.org.uk). Both the applicant and the individual will be treated by the FCA as having taken these notes into consideration when completing their answers to the questions in this form.

#### **Contents of this form**

1	Personal identification details	3
2	Firm identification details	5
3	Employment details	6
4	Fitness and propriety	8
5	Supplementary information	16
6	Declarations and signatures	17

## Filling in the form

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question.
- 2 If you are filling in the form by hand:
  - use black ink; and
  - write clearly.
- 3 If you think a Question is not relevant to you, write 'not applicable' and explain why.
- 4 If you leave a Question blank without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 5 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 6 If the EMD Individual Form is not part of a new application for registration as an Electronic Money Institution, please email a scanned (PDF) copy of the completed form to:  
[Paymentservices-individuals@fca.org.uk](mailto:Paymentservices-individuals@fca.org.uk)

If the EMD Individual Form is part of a new application for registration or authorisation as an Electronic Money Institution this should be posted along with all the other relevant EMD application forms (as applicable), to us at:

**Permissions Department**  
**The Financial Conduct Authority**  
**25 The North Colonnade**  
**Canary Wharf**  
**London**  
**E14 5HS**



## 1

## Personal identification details

1.1a FCA Individual Reference Number (IRN) (if individual is already registered with the FCA)

b OR name of previous regulatory body

c AND previous reference number

1.2 Title (e.g. Mr, Mrs, Ms, etc)

1.3 Surname

1.4 ALL forenames

1.5 Name commonly known by

1.6 Date of birth (dd/mm/yyyy)

 /  / 

1.7 National Insurance number

1.8 Previous name

1.9 Date of name change (dd/mm/yyyy)

 /  / 

1.10 Nationality

**1.11 Passport number** (if National Insurance number not available)

--

**1.12 Place of birth**

--

**1.13 Private address**

Private address	
Postcode	

**Date resident at this address (mm/yyyy)**

**From**

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------	----------------------

If address has changed in the last three years, please provide addresses for the previous three years.

**1.14 Previous address 1**

Private address	
Postcode	

**Dates resident at this address (mm/yyyy)**

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------	----------------------

**To**

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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**Previous address 2**

Private address	
Postcode	

**Dates resident at this address (mm/yyyy)**

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
----------------------	----------------------	---	----------------------	----------------------	----------------------	----------------------

**To**

		/				
--	--	---	--	--	--	--

# 2 Firm identification details

## 2.1 Name of applicant firm making the application

## 2.2 FCA Firm Reference Number (FRN)

## 2.3 Who should the FCA contact at the applicant firm in relation to this application?

Name	
Position	
Telephone	
Fax	
Email	

## 2.4 Complete this section only if the application is on behalf of more than one firm

FRN	Name of firm	Job title	Requested date of commencement
			/ /
			/ /
			/ /
			/ /

## 3

## Employment history

N.B. A full five-year employment history must be provided & ALL gaps must be accounted for. Failing to provide this may delay the processing of the application (refer to the relevant notes in section 4)

## Employment details (1)

4.1

## Current position

Period From  To

Nature of employment  a) Employed  
 b) Self-employed  
 c) Unemployed  
 d) In full-time education  
 If c or d is ticked, please give details

Name of employer

Last known address of employer

Previous/other names of employer

Nature of business

Is/was employer regulated by a regulatory body?  No  
 Yes ▶ Please give the name of the regulatory body

Position held

Responsibilities

**Employment details (2)**

4.2

**Previous position**

Period From  To

Nature of employment  a) Employed  
 b) Self-employed  
 c) Unemployed  
 d) In full-time education  
 If c or d is ticked, please give details

Name of employer

Last known address of employer

Previous/other names of employer

Nature of business

Is/was employer regulated by a regulatory body?  No  
 Yes ▶ Please give the name of the regulatory body

Position held

Responsibilities

Reason for leaving  a) Resignation  
 b) Redundancy  
 c) Retirement  
 d) Termination/dismissal  
 e) End of contract  
 f) Other ▶ Please specify

# 4 Fitness and Propriety

In answering these questions, the individual and applicant/firm are expected to give the words (in the questions) the widest possible interpretation. **Remember, the FCA treats non-disclosure very seriously.**

## Part A - Criminal proceedings

In answering the questions in Part A, you should include matters whether in the United Kingdom or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 as amended, if the individual is subject to the law of England, and Wales or Northern Ireland, they must disclose spent convictions and spent cautions (other than protected convictions and cautions). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the individual is subject to the law of Scotland or Northern Ireland, they must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

### 4.1

- i **Has the EMD Individual ever been convicted of any criminal offence? (You should include any conviction of an offence for which the EMD Individual received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance)?**  
 No  Yes
- ii **Has the EMD Individual ever received a caution in relation to any criminal offence?**  
 No  Yes
- iii **Is the EMD Individual the subject of any ongoing criminal investigation?**  
 No  Yes
- iv **Has the EMD Individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?**  
 No  Yes

(You should include all matters even where the EMD Individual themselves was not the subject of the investigation)

- 4.2 **Is the EMD Individual currently the subject of any proceedings relating to any criminal offence?**  
 No  Yes

Please revert to the guidance notes for the meaning of 'position of influence' in the context of the questions in this form.

**4.3 Has any firm at which the EMD Individual holds or has held a position of influence ever:**

- i been convicted of any criminal offence?**  
 No  Yes
- ii been summonsed, charged with or otherwise prosecuted for any criminal offence?**  
 No  Yes
- iii been the subject of any criminal investigation which has not resulted in a conviction?**  
 No  Yes
- iv been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) pursuant to any criminal investigation?**  
 No  Yes

You should include all matters arising during the EMD Individual's association with that firm and for a period of one year after the EMD Individual ceased to be associated with the firm. (You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 4.3(iv), even where the firm itself was not the subject of the investigation.) However, you are not required to disclose details of any individuals who were subject to criminal investigations, prosecutions, summons or other criminal proceedings (other than ongoing ones).

**4.4 Is any firm at which the EMD Individual holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during the EMD Individual's association with that firm and for a period of one year after the EMD Individual ceased to be associated with the firm.)**

No  Yes

**4.5 If you have answered yes to any of the questions in Part A above, please give full details in section 5. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

Yes

### Part B - Civil proceedings

In answering the questions in Part B you should include matters in the United Kingdom or overseas.

**4.6 Has the EMD Individual ever been:**

- i adjudged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?**  
 No  Yes
- ii the subject of a judgment debt or award?**  
 No  Yes
- iii party to any other civil proceedings which resulted in a finding against the EMD Individual (other than a judgment debt or award referred to at 4.6 (ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)**  
 No  Yes

(You should include all County Court Judgment(s) ('CCJs') made against the EMD Individual, whether satisfied or not. Please include in section 5:



- the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- the total number of all CCJs ordered.)

**4.7 Is the EMD Individual currently:**

**i a party to any civil proceedings?**

No  Yes

**ii aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against the EMD Individual or the order of a judgement debt.)**

No  Yes

**4.8 Has any firm at which the EMD Individual holds or has held a position of influence ever been:**

**i adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?**

No  Yes

**ii party to any other civil proceedings which resulted in a finding against the firm?**

No  Yes

**iii the subject of a judgement debt or award other than in relation to matters mentioned at 4.8(i) and 4.8(ii) above? (You should include all CCJs made against the firm, whether satisfied or not.)**

No  Yes

(Where the EMD individual no longer holds a position of influence at the firm, consider whether matters have arisen within one year after the EMD Individual ceased to be associated with the firm. Include all matters which have arisen within this period).

**4.9 Is any firm at which the EMD Individual holds or has held a position of influence currently:**

**i a party to civil proceedings?**

No  Yes

**ii aware of anyone's intention to begin civil proceedings against them?**

No  Yes

(You should include all matters arising during the EMD Individual's association with that firm and for a period of one year after the EMD Individual ceased to be associated with the firm.)

**4.10 Has the EMD Individual ever (tick all that apply)**

**i) filed for bankruptcy or had a bankruptcy petition served on him/her?**

No  Yes

**ii) been adjudged bankrupt?**

No  Yes

**iii) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?**

No  Yes

**iv) made any arrangements with creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?**

No  Yes

v) had assets sequestrated? or

No  Yes

vi) been involved in any proceeding relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?

No  Yes

**4.11 Is the EMD Individual currently involved in any proceedings in relation to any of the matters set out in 4.10(i) – (vi) above (you should include where the EMD Individual is in the process of entering into any kind of agreement in favour of the EMD Individual's creditors)?**

No  Yes

Please specify in section 5 whether any bankruptcy orders made have been discharged.

**4.12 Does the EMD Individual have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA or any other regulatory body), which the EMD Individual has carried on in the past?**

No  Yes

**4.13 Has any firm at which the EMD Individual holds or has held a position of influence at any time during and within one year of the EMD Individual's involvement:**

**i been put into liquidation?**

No  Yes

**ii been wound up (whether compulsorily or voluntarily)?**

No  Yes

**iii ceased trading?**

No  Yes

**iv had a receiver or administrator appointed?; or**

No  Yes

**v entered into any voluntary arrangement with its creditor?**

No  Yes

**4.14 If you have answered yes to any of the questions in Part B above please give full details in section 5. Tick this box to confirm that you have provided full details, including reason(s), date(s) and duration as applicable.**

Yes

### Part C – Business and employment matters

In answering the questions in Part C you should include matters in the United Kingdom or overseas.

#### 4.15 Has the EMD Individual ever been:

**i dismissed;**

No  Yes

**ii asked to resign or agreed to resign; or**

No  Yes

**iii suspended**

No  Yes

**from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar, whether or not remunerated?**

#### 4.16 Has the EMD Individual ever been:

**i disqualified from acting as a director or similar position?**

No  Yes

**ii the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?**

No  Yes

**iii the subject of any investigation which might lead to or might have led to disciplinary proceedings?**

No  Yes

**iv notified of any potential proceedings of a disciplinary nature?**

No  Yes

**v the subject of any allegations of malpractice or misconduct in connection with any business activities?**

No  Yes

**4.17 If you have answered yes to any of the questions in Part C above, please give full details in section 5. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details:**

Yes

### Part D – Regulatory matters

Please revert to the guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the question below.

In answering the questions in Part D you should include matters whether in the United Kingdom or overseas.

#### 4.18 In relation to activities regulated by the FCA or any other regulatory body, has the EMD Individual ever:

**i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?**

No  Yes

**ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?**

No  Yes

- iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?  
 No  Yes
- iv been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?  
 No  Yes
- v resigned or ceased to act whilst under investigation by any such body or been required to resign or cease acting by any regulatory body?  
 No  Yes
- vi decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?  
 No  Yes
- vii provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?  
 No  Yes
- 4.19 Has any firm of which the EMD Individual held a position of influence during the EMD Individual's association with that firm as well as for a period of one year after the EMD Individual ceased to be associated with it ever:
- i been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No  Yes
- ii been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?  
 No  Yes
- iii received a warning that such disciplinary or intervention action may be taken (whether public or privately)?  
 No  Yes
- iv been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?  
 No  Yes
- v been required or requested to produce documents or any other information to any regulatory body?  
 No  Yes
- vi ceased operating whilst under investigation by any such body or been required to cease operating by any regulatory body?  
 No  Yes
- vii decided, after making an application for any authorisation granted by any regulatory body, not to proceed with it?  
 No  Yes
- viii provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?  
 No  Yes

**4.20 In relation to activities regulated by the FCA or any other regulatory body has the EMD individual ever:**

- i been found to have carried on activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration?**  
 No  Yes
- ii been investigated for the possible carrying on of activities for which authorisation or registration is required by the FCA (or any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**  
 No  Yes
- iii been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**  
 No  Yes
- iv been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**  
 No  Yes
- v been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56A of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?**  
 No  Yes

**4.21 Has any firm of which the EMD Individual is or has held, a position of influence during the EMD Individual's association with that firm as well as for a period of one year after the EMD Individual ceased to be associated with it ever:**

- i been found to have carried on activities for which authorisation by or registration with the FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation/registration?**  
 No  Yes
- ii been investigated for the possible carrying on of activities requiring authorisation by or registration with the FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation/registration, whether or not such investigation resulted in a finding?**  
 No  Yes
- iii been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?**  
 No  Yes
- iv been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?**  
 No  Yes

- v **been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its electronic money or payment services business?**

No  Yes

- 4.22 **If you have answered yes to any of the questions in Part D above, please give full details in section 5. This at a minimum should include the reason(s), date(s) and duration as applicable. Tick this box confirm that you have provided full details.**

Yes

### **Part E - Other matters**

- 4.23 **Is the EMD individual aware of any business interests, employment obligations, or any other circumstances which may affect the performance of the role at the firm?**

No  Yes

- 4.24 **The EMD Individual needs to demonstrate that they possess the appropriate knowledge and experience to perform payment services. You must therefore include in section 5 a description of the EMD Individual's relevant:**

**i training;**

Yes

**ii knowledge; and/or**

Yes

**iii experience**

Yes

**including dates and time periods.**

- 4.25 **Have you submitted the EMD individual's CV to support the information supplied in 4.24?**

No  Yes

- 4.26 **If you have answered yes to 4.23 please give full details in section 5. Tick this box to confirm that you have provided full details.**

No  Yes

# 5 Supplementary information

5.1 If there is any other information the individual or the firm considers may be relevant to the application, it must be included here.

Please also include here any additional information indicated in previous sections of the EMD Individual Form.

If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

NOTE: Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 3 or if relevant question(s) have been answered 'yes' in section 4.

Question	Information

Please indicate how many additional sheets are being submitted

## 6

## Declarations and signatures

**Declaration of Individual**

Knowingly or recklessly giving the FCA (or providing to another person to give to the FCA) information which is false or misleading in a material particular, is a criminal offence (regulation 114 of the Payment Services Regulations 2009) and may lead to disciplinary sanctions or other enforcement action by the FCA.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included.

For the purposes of complying with the Data Protection Act 1998, any personal information provided to us will be used to discharge our functions under the Electronic Money Regulations 2011 and other relevant legislation; it may be disclosed to third parties for those purposes and/or where there is an applicable gateway permitting disclosure (i.e. specific circumstances in which the FCA is permitted to disclose confidential information to a third party).

**With reference to the above, the FCA may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check and/or a Disclosure Barring Service (DBS) check.**

**I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I understand I may be selected to undergo a DBS search to determine whether any criminal records are held in relation to me and that the FCA may wish to disclose the results of that search to the firm submitting this application.**

**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.**

**6.1 Individual's full name**

**6.2 Signature**


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

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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## Declaration of Applicant Firm

It is a criminal offence (under Regulation 66) to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.

All information that the FCA might reasonably consider relevant to this notification should be supplied to the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included.

**In making this application the applicant firm / PI believes on the basis of due and diligent enquiry that the individual is a fit and proper person. The firm also believes, on the basis of due and diligent enquiry, that the individual is competent to fulfil the duties required.**

**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.**

**I confirm that I have authority to make this application, and sign this Form, on behalf of each PI identified in section 2. I also confirm that a copy of this Form, as submitted to the FCA, will be sent to each of those PIs at the same time as submitting the Form to the FCA.**

### 6.3 Name of the applicant firm submitting the application

### 6.4 Name of person signing on behalf of the applicant firm

### 6.5 Job title

### 6.6 Signature

Date (dd/mm/yyyy)

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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# Application for Authorisation as an Authorised Electronic Money Institution

## Qualifying holding (Controller) Individual

### Full name of applicant firm

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

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under The Electronic Money Regulations 2011 and other relevant legislation and may be disclosed to third parties for those purposes.

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence, and/or it may increase the time taken to assess your application. In some cases, it could lead to your application being rejected.**

### **Terms in this form**

In this form the FCA uses the following terms:

'We', 'our', or 'us' refers to the Financial Conduct Authority;  
'Applicant firm' refers to the firm applying for authorisation;  
'Controller' means a person with a qualifying holding; and  
'You' refers to the person signing the form;  
'Regulations' refers to the Electronic Money Regulations 2011; and  
'EMI' refers to Electronic Money Institution

### **Purpose of this form**

This form collects information about the controller of the applicant firm.

### **Filling in the form**

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question; and
  - print out the completed form and sign the declaration in section 5.
- 2 If you are filling in the form by hand:
  - use black ink;
  - write clearly; and
  - sign the declaration in section 5.
- 3 If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.
- 4 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

# 1 Your details

1.1 First name(s)

1.2 Surname

1.3 Any previous surnames or first names. Please include details of when you changed them

1.4 Name you are commonly known by, if different

1.5 Date of birth (dd/mm/yy)

 /  / 

1.6 Place of birth

1.7 National insurance number

1.8 Passport number, if national insurance number is not applicable

1.9 Your nationality

1.10 Have you ever had a different nationality? If yes, you must give your previous nationality.

## 2 Your address

### 2.1 Current private address

If you live outside the UK and do not have an UK address, you must provide your address outside the UK and tick the box below.

I live outside the UK and have no UK address.

Address	
Country	
Postcode	

### 2.2 When did you move into this address (mm/yy)?

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
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If you moved into this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses; please use a separate piece of paper if you need more space.

#### Previous address 1

Address	
Country	
Postcode	

#### Previous address 2

Address	
Country	
Postcode	

#### Previous address 3

Address	
Country	
Postcode	

Please indicate how many separate sheets of paper you have used (if applicable):

Number of additional sheets	<input type="text"/>
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### 3 Other directorships

3.1 You must give details of any directorships you hold in the UK or outside the UK.

Name of undertaking	Nature of business	Place of business

## 4 About your fitness and propriety

A condition for authorisation under Regulation 6(6)(a) of the Regulations is that the applicant must satisfy us that any persons having a qualifying holding in it are fit and proper persons having regard to the need to ensure the sound and prudent conduct of the affairs of the Authorised EMI. Please respond to the following questions:

### 4.1 Criminal proceedings

In answering the questions in this part you should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if you are subject to the law of England and Wales, you must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if you are subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

#### 4.1.1

(1) Has the individual controller ever been convicted of any criminal offence? (You should include any conviction of an offence for which the individual controller received an absolute or conditional discharge. You should include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)

No  Yes

(2) Has the individual controller ever received a caution in relation to any criminal offence?

No  Yes

(3) Is the individual controller currently the subject of any criminal investigation?

No  Yes

(4) Has the individual controller been ordered to produce documents relating to any ongoing criminal investigation or been the subject of a search (with or without a warrant) relating to any ongoing criminal investigation?

No  Yes

(You should include all matters in respect of 4.1.1(4) even where the individual controller themselves was not the subject of the investigation.)

#### 4.1.2 Is the individual controller currently the subject of any proceedings relating to any criminal offence?

No  Yes

Please revert to the EMD Individual from guidance notes for the meaning of 'position of influence' in the context of the questions in this form.

#### 4.1.3 Has any firm at which the individual controller holds or has held a position of influence ever:

(1) been convicted of any criminal offence?

No  Yes

(2) been summoned, charged with or otherwise prosecuted for any criminal offence?

No  Yes

(3) been the subject of any criminal which has not resulted in a conviction?

No  Yes

(4) been ordered to produce documents relating to any criminal investigation or been the subject of a search (with or without a warrant) relating to any criminal investigation?

No  Yes

(You should include all matters arising during the individual controller's association with that firm and for a period of one year after the individual controller ceased to be associated with the firm.) You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, for 4.1.3(4), even where the firm itself was not the subject of the investigation.) However, in answering this question, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

**4.1.4 Is any firm at which the individual controller holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during the individual controller's association with that firm and for one year after they ceased to be associated with it.)**

No  Yes

**4.1.5 If you have answered yes to any of the questions in Part 4.1 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details include reason(s), date(s) and duration as applicable**

## 4.2. Civil proceedings

In answering the questions in this part you should include matters whether in the UK or overseas.

**4.2.1 Has the individual controller ever been:**

(1) adjudged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

No  Yes

(2) the subject of a judgment debt or award?

No  Yes

(3) party to any other civil proceedings which resulted in a finding against the individual controller (other than a judgment debt or award referred to at 4.2.1 (2) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

(You should include all County Court Judgment(s) – CCJs) made against the individual controller, whether satisfied or not. Please include on a separate sheet of paper:

- the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- the total number of all CCJs ordered.

No  Yes

**4.2.2 Is the individual controller currently:**

(1) a party to any civil proceedings?

 No  Yes

(2) aware of anybody's intention to begin civil proceedings against them?

(You should include any ongoing disputes whether or not such dispute is likely to result in a finding against the individual controller or the order of a judgment debt.)

 No  Yes**4.2.3 Has any firm at which the individual controller holds – or has held – a position of influence ever been:**

(1) judged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?

 No  Yes

(2) party to any other civil proceedings which resulted in a finding against the firm?

 No  Yes

(3) the subject of a judgment debt or award other than in relation to matters mentioned at 2.2(1) and 2.2(2) above? (You should include all CCJs made against the firm, whether satisfied or not.)

 No  Yes

(You should include all matters arising during the individual controller's association with that firm and for one year after they ceased to be associated with it.)

**4.2.4 Is any firm at which the individual controller holds or has held a position of influence currently:**

(1) a party to civil proceedings?

 No  Yes

(2) aware of anyone's intention to begin civil proceedings against them?

 No  Yes

(Where the individual controller no longer holds a position of influence at the firm, include all matters that have arisen within one year of them finishing their association with the firm.)

**4.2.5 Has the individual controller ever (tick all that apply):**

(1) filed for bankruptcy or had a bankruptcy petition served on him;

 No  Yes

(2) been judged bankrupt;

 No  Yes

(3) been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;

 No  Yes

(4) made any arrangements with creditors for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);

 No  Yes

(5) had assets sequestered; or



No  Yes

(6) been involved in any proceedings relating to the above matters even if they did not result in any kind of order or result in any kind of agreement?

No  Yes

**4.2.6 Is the individual controller currently involved in any proceedings in relation to any of the matters set out in 4.2.5(1) – (6) above (you should include where the individual controller is entering into any kind of agreement in favour of the individual controller's creditors)?**

No  Yes

Please specify on a separate sheet of paper whether any bankruptcy orders made have been discharged.

**4.2.7 Does the individual controller have any outstanding financial obligations connected with regulated activities (including any activities regulated by the FCA or any other regulatory body), which they have carried on in the past?**

No  Yes

**4.2.8 Has any firm at which the individual controller holds – or has held – a position of influence at any time during and within one year of the individual controller's involvement:**

(1) been put into liquidation?

No  Yes

(2) been wound up (whether compulsorily or voluntarily)?

No  Yes

(3) ceased trading?

No  Yes

(4) had a receiver or administrator appointed?

No  Yes

(5) entered into any voluntary arrangement with its creditors?

No  Yes

**4.2.9 If you have answered yes to any of the questions in Part 4.2 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details.**

No  Yes

### **4.3. Business and employment matters**

In answering the questions in this part you should include matters whether in the UK or overseas.

**4.3.1 Has the individual controller ever been:**

(1) dismissed;

(2) asked to resign or agreed to resign; or

(3) suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

No  Yes

**4.3.2 Has the individual controller ever been:**

- (1) disqualified from acting as a director or similar position?  
 No  Yes
- (2) the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?  
 No  Yes
- (3) the subject of any investigation which might lead to – or might have led to – disciplinary proceedings?  
 No  Yes
- (4) notified of any potential proceedings of a disciplinary nature?  
 No  Yes
- (5) the subject of any allegations of malpractice or misconduct in connection with any business activities?  
 No  Yes

If you have answered yes to any of the questions in Part 4.3 above please give full details on a separate sheet of paper. At a minimum, this should include the reason(s), date(s) and duration. Tick this box to confirm that you have provided full details:

**4.4 Regulatory matters**

Please revert to the EMD Individual form guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the question below.

In answering the questions in this part you should include matters whether in the UK or overseas.

**4.4.1 In relation to activities regulated by the FCA or any other regulatory body, has the individual controller ever:**

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?  
 No  Yes
- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body  
 No  Yes
- (3) received a warning that such disciplinary or intervention action may be taken (whether public or privately)?  
 No  Yes
- (4) been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?  
 No  Yes
- (5) resigned or ceased to act while under investigation by any such body or been required to resign or cease acting by any regulatory body?  
 No  Yes
- (6) decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?  
 No  Yes

- (7) provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where the regulated firm terminated the agreement?

No  Yes

**4.4.2 Has any firm that the individual controller held a position of influence with (during their association and for a year afterwards):**

- (1) been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?

No  Yes

- (2) been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body?

No  Yes

- (3) received a warning that such disciplinary or intervention action may be taken (whether public or privately)?

No  Yes

- (4) been the subject of an investigation by any regulatory body, whether or not such investigation resulted in a finding?

No  Yes

- (5) been required or requested to produce documents or any other information to any regulatory body?

No  Yes

- (6) ceased operating while under investigation by any such body or been required to cease operating by any regulatory body?

No  Yes

- (7) decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?

No  Yes

- (8) provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

No  Yes

**4.4.3 In relation to activities regulated by the FCA or any other regulatory body has the individual controller ever:**

- (1) been found to have carried on FCA-authorized activities (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?

No  Yes

- (2) been investigated for the possible carrying on of FCA-authorized activities (or activities requiring authorisation from any other regulatory body) without the requisite authorisation, whether or not such investigation resulted in a finding?

No  Yes

- (3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?

No  Yes

(4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?

No  Yes

(5) been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56A of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?

No  Yes

**4.4.4 Has any firm of which the individual controller is or has held a position of influence with (during their association and for a year afterwards):**

(1) been found to have carried on FCA-authorized activities (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?

No  Yes

(2) been investigated for the possible carrying on of FCA-authorized activities (or activities requiring authorisation from any other regulatory body) without the requisite authorisation, whether or not such investigation resulted in a finding?

No  Yes

(3) been found to have performed a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?

No  Yes

(4) been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?

No  Yes

(5) been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over of its electronic money or payment services business?

No  Yes

**4.4.5 If you have answered yes to any of the questions in Part 4.4 above please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details:**

**4.5. Other matters**

**4.5.1 Is the individual controller aware of any business interests, employment obligations, or any other circumstances which may cause a conflict of interest regarding their control of the firm?**

No  Yes

If you have answered yes to 4.5.1 please give full details on a separate sheet of paper. Tick this box to confirm that you have provided full details:

**4.5.2 Are you aware of any other information relevant to this application that we would reasonably expect you to give, including information that could have a material impact on any of the requirements described in the Regulations?**

No  Yes

If you have answered 'Yes' to any of the questions in Section 4, please give clear details on a separate sheet of paper.

You must include:

- the question number the information relates to;
- the date of any events;
- any amounts involved;
- the outcome;
- relevant circumstances and explanations; and
- copies of supporting documents.

Please indicate how many separate sheets of paper you have used

Number of additional sheets	
-----------------------------	--

## 5 Declaration

It is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive. If necessary, appropriate professional advice should be sought before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete.

Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

With reference to the above, we may seek to verify the information in this form and supporting documentation, including answers pertaining to fitness and propriety.

- I understand it is a criminal offence knowingly or recklessly to give the FCA information that is materially false, misleading or deceptive.
- I confirm that the information in this form and supporting documentation is accurate and complete to the best of my knowledge and belief.
- I authorise the FCA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form or in supporting documentation which may include Criminal Records Bureau and credit checks. I also understand that the results of these checks may be disclosed to the applicant for authorisation.

Name	
Signature	
Date	dd/mm/yy

### What to do next

You must give the form back to the person who is responsible for making the application as an authorised EMI. They should send the form back to the FCA.

If the agent is in the UK then this form is to be e-mailed to: [UK-agents@fca.org.uk](mailto:UK-agents@fca.org.uk)

For EEA agents e-mail this form to [passport.notifications@fca.org.uk](mailto:passport.notifications@fca.org.uk)

# ELECTRONIC MONEY

## Add an EMD agent form

Application under regulation 34 of The Electronic Money Regulations 2011

Firm name (i.e. name of EMI)

(the firm)

Firm reference number (FRN)

Address

### Terms in this form

This form uses the following terms:

- 'EMD' refers to Directive 2009/110/EC of the European Parliament and of the Council of 16 September 2009 on the taking up, pursuit and prudential supervision of the business of electronic money institutions, amending Directives 2005/60/EC and 2006/48/EC and repealing Directive 2000/46/EC
- 'EMI' refers to Electronic Money Institution
- 'EEA' refers to European Economic Area

---

Address: Authorisations Division  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS

Telephone: +44 (0) 845 606 9966

Website: <http://www.fca.org.uk>

Registered as a Limited Company in England and Wales No. 01920623

## Notes

This form should only be used to apply to add an EMD agent of a small EMI or an authorised EMI. It is the responsibility of the EMI to complete and submit this form.

## Personal details

## Section A

- 1 Contact name at the EMI (this is not necessarily the same person making the declaration at the end of the form)

- 2 Contact's details:

- a position in the firm

- b daytime telephone number

- c email address





10 Does the EMI intend to distribute or redeem e-money through this EMD agent? Yes  No

**Authorised EMIs only**

11 Will the Authorised EMI be engaging the EMD agent to provide payment services or distribute or redeem e-money in another EEA State(s)? Yes  No

If 'no', proceed to Section C.

Yes  No

12 Does the Authorised EMI hold a passport to the relevant EEA State?

Yes  No

If no, has an application been made?

Establishment

If 'yes', please indicate the type of passport the EMD agent will operate under

Services

If this EMD agent will have an establishment in, or provide services into, any other EEA State you will need to supply this information on a separate sheet of paper, specifying for each applicable EEA State:

- whether the EMD agent will have an establishment or will provide cross-border services; and
- the payment services that will be provided and any distribution or redemption activities.

This is to be e-mailed to [passport.notifications@fca.org.uk](mailto:passport.notifications@fca.org.uk)

## Notes

Firms wishing to appoint agents need to provide a description of the internal control mechanisms that will be used by the agent to comply with money laundering legislation. If you have indicated that the EMD agent will be providing services on your behalf in other EEA jurisdictions' you will need to demonstrate how the internal controls comply with national money laundering legislation in the relevant state(s)

## Money laundering controls

## Section C

Yes No

Has the EMI already supplied to us, as part of another application, a description of the money laundering controls that will be used by all their agents, and do you confirm that those controls will be used by this agent?

If 'yes', proceed to Section D.

If 'no', please provide a description of the internal money laundering controls to be used by this to comply with money laundering legislation.

**The directors and persons responsible  
for the management of the EMD agent**

**Section D**

**Notes**

Please see Annex 1 for the questions that we expect you to ask each of the individual(s) below to assess their fitness and propriety. This list is not exhaustive and you should advise individual(s) to disclose to you any issues that could affect their fitness and propriety.

Please complete the following table for the proprietor, director(s)/partner(s) and person(s) responsible for the management within the agent.  
Please state number of individuals

Full name of individual(s) – include previous name(s), if applicable and date(s) of name change(s) and any Name(s) commonly known by	<b>National Insurance* (NI) number <u>only</u></b>  <i>* If the agent is located in another EEA member State you must provide their identification code as relevant in that host state e.g. national insurance number, fiscal number</i>	Date of birth	Assessed as a fit and proper person		Anything to disclose in relation to Annex 1	
			Yes	No	Yes	No
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					
Surname	Document number	dd/mm/yy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Forename	Document type					
Title	Issuing country					

If there is not enough space above, please continue on a separate sheet of paper and attach it to the form.

If the firm has anything to disclose for any individual, whether in relation to Annex 1 or otherwise, please provide further information on a separate sheet of paper, clearly identifying the individual(s) it relates to.

**Please indicate the number of additional sheets provided**

## Declaration and signature

## Section E

### Warning

Knowingly or recklessly giving the FCA information, which is false or misleading in a material particular, may be a criminal offence (regulation 66 of The Electronic Money Regulations 2011) and may lead to disciplinary sanctions or other enforcement action by the FCA.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

### Data protection

For the purposes of complying with the Data Protection Act 1998, the personal information in this form will be used by the FCA to discharge its statutory functions under the Electronic Money Regulations 2011 and other relevant legislation. It will not be disclosed for any other purposes without the individual's permission.

### Declaration

By submitting this notification:

- I/we confirm that this information is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.
- I am/we are aware that it is a criminal offence knowingly or recklessly to give the FCA information that is false or misleading in a material particular.
- I am/we are aware that some questions do not require supporting evidence. However, the records, which demonstrate the applicant firm's compliance with the requirements in relation to the questions, are available to the FCA on request.
- I/we will notify the FCA immediately if there is a significant change to the information given in the form. If I/we fail to do so, this may result in a delay in the application process or enforcement action.

Signature

Name of signatory

Date

Position in firm

## Annex 1 - Fitness and propriety

### 1. Criminal proceedings

In answering the questions in this part you should include matters in the UK and/or overseas. Any references to criminal convictions or cautions do not include criminal convictions or cautions that are now spent. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the Individual is subject to the law of England and Wales, Individual must disclose spent convictions and cautions (other than a protected conviction or caution).

1.1

Has the Individual ever been convicted of any criminal offence? (You should include any conviction of an offence for which the individual received an absolute or conditional discharge. Include traffic offences only if they resulted in a ban from driving or involved driving without insurance.)

- i. Has the Individual ever received a caution in relation to any criminal offence?
- ii. Is the Individual currently the subject of a criminal investigation?
- iii. Has the Individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) relating to any ongoing criminal investigation?

You should include all matters in respect of 1.1 (iv) even where the individual themselves was not the subject of the investigation.

1.2

Is the individual currently the subject of any proceedings relating to any criminal offence?

Please revert to the EMD Individual form guidance notes for the meaning of 'position of influence' in the context of the questions below in this part of the form.

1.3

Has any firm at which the individual holds or has held a position of influence **ever**:

- i. been convicted of any criminal offence?
- ii. been summonsed, charged with or otherwise prosecuted for any criminal offence?
- iii. been the subject of any criminal which has not resulted in a conviction?
- iv. been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) relating to any criminal investigation?

You should include all matters arising during the individual's association with that firm and for a one year after the individual ceased to be associated with it. You should include all matters even where the charge, prosecution or investigation has not resulted in a conviction and, in respect of 1.3(iv), even where the firm itself was not the subject of the investigation. However, you are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

- 1.4** Is any firm at which the individual holds or has held a position of influence currently the subject of any criminal proceedings or the subject of a criminal investigation? (You should include all matters arising during the individual's association with that firm **and for one year after** the EMD individual ceased to be associated with it.)

## **2 Civil proceedings**

In answering the questions in this part you should include matters in the UK and/or overseas.

- 2.1** Has the individual ever been:

- i. judged by a court liable for any fraud, misfeasance, negligence, wrongful trading or other misconduct?
- ii. the subject of a judgment debt or award?
- iii. party to any other civil proceedings which resulted in a finding against the individual (other than a judgment debt or award referred to at 2.1 (ii) above)? (You should include, for example, injunctions and employment tribunal proceedings.)

(You should include all County Court Judgment(s) – CCJs made against the Individual, whether satisfied or not.

- a) the sum and date of all judgment debts or CCJs (whether satisfied or not); and
- b) the total number of all CCJs ordered.

- 2.2** Is the individual currently:

- i. a party to any civil proceedings?
- ii. aware of anybody's intention to begin civil proceedings against them? (You should include any ongoing disputes whether or not such dispute is likely to result in a finding against the Individual or the order of a judgment debt.)

**2.3**

Has any firm at which the individual holds or has held a position of influence ever been:

- i. judged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?
- ii. party to any other civil proceedings which resulted in a finding against the firm?
- iii. the subject of a judgment debt or award other than in relation to matters mentioned at 2.2(i) and 2.2(ii) above? (You should include all CCJs) made against the firm, whether satisfied or not.)

(You should include all matters arising during the individual's association with that firm **and for one year after** the individual ceased to be associated with it.)

**2.4**

Is any firm at which the individual holds or has held a position of influence currently:

- i. a party to civil proceedings?
- ii. aware of anyone's intention to begin civil proceedings against them?

(Where the individual no longer holds a position of influence at the firm consider whether the matters have arisen within **one year** of the individual ceasing to be associated with the firm. Include all matters which have arisen within this period.)

**2.5**

Has the individual ever (tick all that apply):

- i. filed for bankruptcy or had a bankruptcy petition served on them;
- ii. been judged bankrupt;
- iii. been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking;
- iv. made any arrangements with creditors for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed);
- v. had assets sequestrated; or
- vi. been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order or result in any kind of agreement?



**2.6** Is the individual **currently** involved in any proceedings in relation to any of the matters set out in 2.5(i) – (vi) above (You should include where the individual is in the process of entering into any kind of agreement in favour of the their creditors.)?

**2.7** Does the individual have any outstanding financial obligations connected with regulated activities (including any activities regulated by the PRA/FCA or any other regulatory body), which the individual has carried on in the past?

**2.8** Has any firm at which the individual holds – or has held – a position of influence at any time during and within one year of the individual's involvement:

- i. been put into liquidation?
- ii. been wound up (whether compulsorily or voluntarily)?
- iii. ceased trading?
- iv. had a receiver or administrator appointed?
- v. entered into any voluntary arrangement with its creditor?

### **3. Business and employment matters**

In answering the questions in this part you should include matters in the UK and/or overseas.

Has the individual ever been:

**3.1**

- i. dismissed;
- ii. asked to resign or agreed to resign; or
- iii. suspended

from any profession, vocation, office, employment, position of trust, fiduciary appointment or similar whether or not remunerated?

### 3.2

Has the individual ever been:

- i. disqualified from acting as a director or similar position?
- ii. the subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding)?
- iii. the subject of any investigation which might lead to or might have led to disciplinary proceedings?
- iv. notified of any potential proceedings of a disciplinary nature?
- v. the subject of any allegations of malpractice or misconduct in connection with any business activities?

### 4. Regulatory matters

Please see the EMD Individual form guidance notes for the meaning of 'regulatory body' and 'authorisation' in the context of the questions below. In answering the questions in this part you should include matters in the UK and/or overseas.

#### 4.1

In relation to activities regulated by the PRA/FCA or any other regulatory body has the individual ever:

- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?
- ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any regulatory body
- iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?
- iv. been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding?
- v. resigned or ceased to act while under investigation by any such body or been required to resign or cease acting by any regulatory body?
- vi. decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?
- vii. provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

#### 4.2

Has any firm where the individual held a position of influence (during their association with that firm as well as for **one year after** they ceased to be associated with it):

- i. been refused, had revoked, restricted or terminated, any authorisation granted or required by any regulatory body?
- ii. been criticised, censured, disciplined, suspended, expelled, fined, or been the

subject of any other disciplinary or intervention action by any regulatory body?

- iii. received a warning that such disciplinary or intervention action may be taken (whether public or privately)?
- iv. been the subject of an investigation by any regulatory body whether or not such investigation resulted in a finding?
- v. been required or requested to produce documents or any other information to any regulatory body?
- vi. ceased operating while under investigation by any such body or been required to cease operating by any regulatory body?
- vii. decided, after applying for any authorisation granted by any regulatory body, not to proceed with the application?
- viii. provided payment services or distributed or redeemed e-money on behalf of a regulated firm under any contractual agreement where that agreement was terminated by the regulated firm?

**4.3**

In relation to activities regulated by the PRA/FCA or any other regulatory body has the individual ever:

- i. been found to have carried on activities for which authorisation by the PRA/FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?
- ii. been investigated for the possible carrying on of activities requiring authorisation by the PRA/FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation whether or not such investigation resulted in a finding?
- iii. been found to have performed a controlled function (or an equivalent function requiring approval by the PRA/FCA or any other regulatory body) without the requisite approval?
- iv. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the PRA/FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?
- v. been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made?

**4.4**

Has any firm where the individual held a position of influence (during their association with that firm as well as for one year after they ceased to be associated with it):

- i. been found to have carried on activities for which authorisation or registration by the PRA/FCA is required (or any activity requiring authorisation from any other regulatory body) without the requisite authorisation?
- ii. been investigated for the possible carrying on of activities requiring authorisation or registration by the PRA/FCA (or activities requiring authorisation from any other regulatory body) without the requisite authorisation, whether or not such investigation resulted in a finding?

- iii. been found to have performed a controlled function (or an equivalent function requiring approval by the PRA/FCA or any other regulatory body) without the requisite approval?
- iv. been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the PRA/FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding?
- v. been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify us of the identity of a person acting in a position of influence over its electronic money or payment services business?

# Application for Registration as a Small Electronic Money Institution (SEMI)

## Registered name of applicant firm

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

We require all applicant firms to provide these details as part of their application for registration.

Please keep a copy of the forms you complete and any supporting documents you include with this application pack for your future reference.

For the purposes of complying with the Data Protection Act 1998, any personal information provided to us will be used to discharge our functions under the Payment Services Regulations 2009 as amended and other relevant legislation; it may be disclosed to third parties for those purposes and/or where there is an applicable gateway permitting disclosure (i.e. specific circumstances in which the FCA is permitted to disclose confidential information to a third party).

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence and it may increase the time taken to assess your application.**

### **Terms in this pack**

In this form we use the following terms:

**'Applicant firm'** refers to the firm applying for registration

**'Approach Document'** refers to our guidance document

**'EMD'** refers to Directive 2009/110/EC of the European Parliament and of the Council of 16th September 2009 on the taking up, pursuit and prudential supervision of the business of electronic money institutions amending Directives 2005/60/EC and 2006/48/EC and repealing Directive 2000/46/EC

**'EMI'** refers to Electronic Money Institution

**'SEMI'** refers to Small Electronic Money Institution

**'FSMA'** refers to the Financial Services and Markets Act 2000

**'Qualifying holding'** refers to a controller of the applicant firm

**'Regulations', or 'EMRs'** refers to The Electronic Money Regulations 2011

**'We', 'our', 'us', or 'FCA'** refers to the Financial Conduct Authority

**'You'** refers to the person(s) signing the form on behalf of the applicant firm

### **Purpose of this pack**

We will only grant an applicant firm registration as a Small Electronic Money Institution (SEMI) if we are satisfied that it meets the conditions for registration in regulation 13 of the EMRs. Please note that the burden is on the applicant firm to satisfy us that it meets the relevant conditions. The information in this pack is required to enable us to assess whether the applicant firm does this. In some circumstances, we may ask for more information to be able to grant registration.

### **Contents of this form**

1	Contact details and time considerations for this application	3	8	Personnel	18
2	About the applicant firm	5	9	Qualifying holdings	19
3	Conditions for registration	7	10	Unrelated payment services	22
4	Business plan	10	11	Fees and levies	24
5	Capital resources and requirements	15	12	Application fee	25
6	Governance arrangements	16	13	Declaration	26
7	Safeguarding	17			

## Filling in the form

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
  - print out all the parts of the form you have completed and sign the declaration.
- 2 If you are filling in the form by hand:
  - use black ink;
  - write clearly; and
  - sign the declaration.
- 3 If you think a Question is not relevant to you, write 'not applicable' and explain why.
- 4 If you leave a Question blank and/or do not sign the declaration without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 5 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 6 Post the application consisting of:
  - this application form;
  - EMD individual form(s);
  - EMD Agent form(s) if applicable;
  - Additional information requested in this form (if applicable); and
  - the application fee to us at:

**Permissions Department  
The Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
LONDON  
E14 5HS**

# 1

## Contact details and time considerations for this application

### Why do we ask the Questions in this section?

We need this information in case we need to contact you when assessing this application and to ensure we are able to contact you.

### Contact for this application

#### 1.1 Contact details of the person we will get in touch with about this application.

This must be someone who works for the applicant firm.

Title	
First name(s)	
Surname	
Job title	
Business address	
Postcode	
Phone number (including STD code)	
Mobile number (optional)	
Fax number (including STD code)	
Email address (mandatory)	

#### 1.2 Contact person's details for regulatory purposes

Please provide details of the person who should be contacted for regulatory purposes. This must be someone who works for the applicant firm.

Tick if same as Question 1.1, otherwise you must give details below.

Title	
First name(s)	
Surname	
Job title	
Phone number (including STD code)	
Fax number (including STD code)	
Email address	

### Time considerations for this application

**1.3 Does the applicant firm have any particular time pressures that it would like us to take into account?**

If there is a pressing reason for the applicant firm to be registered by a specific date, please explain here. We will try to meet this, but if we cannot, we will contact you with the reasons why. Please note that we have up to 12 months to determine an incomplete application.

--

### Details of professional advisers

**1.4 Have you used a professional adviser to help with this application?**

- No ▶ Continue to Section 2  
 Yes ▶ You must fill in the rest of this section

**1.5 Name of professional adviser's firm**

--

**1.6 Contact details of professional adviser**

Title	
First name(s)	
Surname	
Business address	
Postcode	
Phone number (including STD code)	
Fax number (including STD code)	
Mobile number (optional)	
Email address	

**1.7 Do you want us to copy all correspondence to the professional adviser?**

- No  
 Yes



## 2

**About the applicant firm****Why do we ask the Questions in this section?**

We need to know general information about the applicant firm so we can process this application as efficiently as possible. We also need the applicant firm's details for the

E-money Register, which is our public record of authorised and registered firms, their agent(s) and EEA branches (if applicable). The applicant firm must be a body corporate whose head office is in the UK. See Regulation 13(9).

**Information for the E-money Register****2.1 Head office of applicant firm**

Head office	
Postcode	
Telephone number (including STD code), must be a landline	
Fax number (including STD code)	
Email address	

**2.2 Registered office of applicant firm**

Is the registered office address the same as the address given in Question 2.1?

- Yes ▶ Continue to Question 2.3  
 No ▶ You must give details below

Registered office address	
Postcode	

**2.3 Is the applicant firm a subsidiary of an FCA regulated firm?**

- No ▶ Continue to Question 2.4  
 Yes ▶ You must give details below

Name	
FRN	

**2.4 Is the applicant firm a member of a group?**

- No ▶ Continue to Question 2.5  
 Yes ▶ You must attach an organisational chart of all group members that indicates percentage holdings and controllers  
 Attached

## About the legal status of the applicant firm

### 2.5 What type of firm is the applicant firm?

- Private limited company  
 Limited liability partnership  
 Public limited company  
 Limited partnership  
 Other ▶ You must detail below the legal status of the applicant firm

--

### 2.6 Date of incorporation or formation of the applicant firm (dd/mm/yyyy)

		/			/				
--	--	---	--	--	---	--	--	--	--

### 2.7 Where was the applicant firm incorporated or formed?

- England/ Wales  
 Scotland  
 Northern Ireland  
 Other ▶ You must specify

--

### 2.8 Does the applicant firm have a registered number e.g. Companies House number?

- No ▶ Continue to Question 2.9  
 Yes ▶ You must provide details below

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

## Financial year end

### 2.8 Date of the applicant firm's financial year end (dd/mm)

		/		
--	--	---	--	--

## Other names

### 2.9 Does the applicant firm intend to use any trading names in addition to the name given on the front of this form?

- No ▶ Continue to Section 3  
 Yes ▶ You must give details below

Name(s)	
---------	--

## 3

**Conditions for registration****Why do we ask the Questions in this section?**

Every applicant firm for registration has to confirm that they meet with the following conditions. See Regulation 13 (2) to (10) and Chapter 3 of the Approach Document.

**3.1 You must confirm that the total business activities of the applicant firm immediately before the time of registration do not generate average outstanding electronic money exceeding €5,000,000.**

Yes

No ▶ You will need to apply to be an Authorised EMI

Where a Small EMI provides payment services that are not related to issuing electronic money or carries out other business activities, the amount of outstanding electronic money may be unknown in advance. In this circumstance the applicant firm may assess the amount of average outstanding electronic money on the basis of a representative portion assumed to be used for the issuance of electronic money. This is provided that the representative portion can be reasonably estimated on the basis of historical data and to our satisfaction. If the applicant firm is unable to base this calculation on relevant historical data, it may use a projection supported by the business plan.

**3.2 You must confirm that the monthly average of the total amount of payment transactions not related to issuing e-money, executed by the applicant firm, including any of its agents, in the 12 months preceding the application does not exceed €3,000,000. If the applicant firm is unable to base this calculation on relevant historical data, it may use a projection supported by the business plan.**

Yes

No ▶ You will need to apply to be an Authorised EMI

N/A ▶ If only issuing e-money and providing related payment services

**3.3 You must confirm the applicant firm, immediately before the time of registration, will hold the amount, if any, of initial capital required in line with Part 1 of Schedule 2 to the Regulations.**

Yes

No

See Section 5 (Capital resources and requirements)

**3.4 You must confirm that the applicant firm has:**

- **robust governance arrangements for its electronic money and payment service business including a clear organisational structure with well-defined, transparent and consistent lines of responsibility; and**
- **effective procedures to identify, manage, monitor and report any risks to which it might be exposed;**

**which are comprehensive and proportionate to the nature, scale and complexity to the type(s) of electronic money to be issued and payment services to be provided.**

Yes

See Section 6 (Governance arrangements)

- 3.5 You must confirm that none of the individuals responsible for the management or operation of the applicant firm has been convicted of offences relating to money laundering or terrorist financing or other financial crimes in either the UK or overseas (see Regulation 13 (8)). By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979~~in relation to any individual who is subject to the law of England and Wales~~, spent convictions (other than protected convictions) must be declared.**

Yes

No

See Section 8 (Personnel)

- 3.6 You must confirm the applicant firm's head office is in the UK.**

Yes

No ▶ You will need to apply to the relevant competent authority where you have your head office.

- 3.7 All EMIs need to be registered with us under the Money Laundering Regulations (MLR) 2007. Is the applicant firm already registered with us under the MLR?**

Yes ▶ You must provide the applicant firm's FCA registration number.

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No, but an Annex 1 application is being made. (We cannot register the applicant firm, under the Regulations, until this condition has been met). The relevant Annex 1 registration form and guidance notes can be found on our website.

**3.8 Contact details of the Money Laundering Reporting Officer (MLRO)  
(regulation 20(5a) of the Money Laundering Regulations 2007)**

Title	
First name(s)	
Surname	
Business address	
Postcode	
Phone number (including STD code)	
Fax number (including STD code)	
Mobile number (optional)	
Email address	

# 4 Business plan

## Why do we ask the Questions in this section?

We need to know how the applicant firm intends to carry out its business so we can assess that (i) the proposal has been carefully thought out, and (ii) the adequacy of its financial and non-financial resources, systems and procedures have been considered. The applicant firm must satisfy the FCA on this point before we can grant registration. See Regulation 13(7)(b).

Use a separate sheet of paper to answer the Questions 4.1 to 4.4 and 4.6.

Indicate the number of separate sheets used	
---	--

### 4.1 You must attach a detailed business plan including, but not limited to, the following:

- 4.1.1 background to the application;
- 4.1.2 sources of funding;
- 4.1.3 target markets;
- 4.1.4 a marketing plan;
- 4.1.5 types of e-money to be issued and payment services to be provided;
- 4.1.6 if the applicant firm will provide payment services or distribute or redeem e-money through EMD agents or distributors you must detail how this arrangement will work (you should also refer to Section 10 Unrelated payment services); and
- 4.1.7 use of branches, including numbers and locations (if applicable).

The level of detail you provide should reflect the scale and complexity of the applicant firm's proposed business. If any of the information provided is unclear we will ask you.

Attached

### 4.2 You must attach a description of the audit arrangements and the organisational arrangements that the applicant firm has in place in relation to the safeguarding measures, governance arrangements, risk management procedures, internal control mechanisms and organisational structure described in the application. This should show that the applicant firm is taking all reasonable steps to protect the interests of its customers and to ensure continuity and reliability when issuing electronic money and providing payment services activities.

Attached

### 4.3 Depending on the nature, scale and complexity of its business, it may be appropriate for the applicant firm to maintain an internal audit function that is separate and independent from the other functions and activities of the applicant firm. We would expect the internal audit function to:

- establish, implement and maintain an audit plan to examine and evaluate the adequacy and effectiveness of the applicant firm's systems, internal control mechanisms and arrangements;
- issue recommendations based on the result of work carried out;
- verify compliance with those recommendations; and
- report in relation to internal audit matters.

Attached

### 4.4 You must attach a description of the applicant firm's structural organisation, e.g. the plan for how the work of the business will be organised. You must include:

- a structure chart;

- a description of the intended use of EMD agents, distributors and UK branches (if applicable); and
- its participation in a national or international payment system.

Attached

**4.5 The Regulations require that the business plan includes a forecast budget for the first three financial years. The budget needs to demonstrate that the applicant firm is able to employ appropriate and proportionate systems, resources and procedures to operate soundly, and that it will be able to continue to meet the 'own funds' requirements (see Section 5 - Capital resources and requirements) You must confirm you have attached the following:**

Opening balance sheet	<input type="checkbox"/> Attached
Forecast closing balance sheet	<input type="checkbox"/> Attached
Monthly cash flow forecast	<input type="checkbox"/> Attached
Monthly profit and loss forecast	<input type="checkbox"/> Attached
Last year's accounts (if already trading)	<input type="checkbox"/> Attached

**4.6 What is the applicant firm's main business (which may or may not be e-money issuance) and what other activities does the applicant firm undertake?**

**4.6.1 If the applicant firm's main business activity is not e-money issuance, you must provide an indication of total business activities that e-money will make up.**

### Systems and controls - IT systems

**4.7 Provide a brief description of the applicant firm's IT systems**

**4.7.1 Describe the type of management information collected from system data, e.g. transaction, volume/value/destination**

**4.7.2 What procedures do/will the applicant firm have in place to identify any suspicious or 'out of the ordinary' transactions?**

**4.7.3 Is the governance of the IT function defined in writing (e.g. by means of organisational charts, job responsibilities, and the terms of reference of any committees)?**

**4.7.4 Is there a written IT strategy that is approved by senior IT and business management?**

**4.7.5 Is there a mechanism for identifying and assessing IT risks, and determining appropriate mitigation actions?**

**4.7.6 Are there separate development, testing, and live environments?**

**4.7.7 Are all changes to the program source code of all key business applications written by the applicant firm's own programmers? (As opposed to installing package updates made by another organisation).**

Yes ▶ Continue to Question 4.7.8

No ▶ You must describe below

**4.7.8 Do procedures require package program changes to be tested using a standard test pack in a separate testing environment, with bugs resolved, changes signed-off, and user documentation updated?**

**4.7.9 Are system support staff available throughout business hours and beyond, to resolve problems before the next business day?**

**4.7.10 Is there a written Information Security Policy (ISP)?**

**4.7.11 Are all internal networks' connections to the internet protected by firewalls, a DMZ and an ISP?**

**4.7.12 Is logical access to applications granted on the principle of least privilege and is it given in a way that enforces segregation of duties? (i.e. does it ensure that separate persons can access functions that need separation for control purposes, e.g. inputting and releasing payments?)**

**4.7.13 Is an independent penetration test of the network carried out, and all significant weaknesses corrected at least annually?**



**4.7.14 Is there a disaster recovery plan that provides for critical systems to recover within the maximum period the business has defined as acceptable?**

**4.7.15 Is the effectiveness of the disaster recovery plan validated by successful testing on the systems at least annually, with any failures corrected and retested within six months?**

**4.7.16 Does the applicant firm outsource significant IT functions?**

- No ▶ Continue to Question 4.7.17  
 Yes ▶ You must briefly explain below

**4.7.17 Does the applicant firm have the expertise and methods required for assessing the service provider's performance, supervising the service provider, and initiating corrective actions?**

**4.7.18 Does the contract give the applicant firm, your auditors, us and any other relevant competent authority the right to audit the service provider?**

**4.7.19 Does the contract require the service provider to protect any confidential information relating to you and your customers? For transfers to non-EU states, does the contract mirror the EU model clauses?**

### **EMD agents (if applicable)**

**4.8 Outline the IT strategy that exists between the applicant firm and its agents.**

**4.8.1 How does the applicant firm monitor its agents' transactions?**

**4.8.2 What are the security rules that agents must follow, e.g. creation of new users, passwords?**

**4.8.3 What restrictions, if any, can the applicant firm impose on agents?**

**4.8.4 How is software delivered and installed onto agents' systems?**

# 5

## Capital resources and requirements

### Why do we ask the Questions in this section?

Before registration, the applicant firm must confirm that it will hold initial capital, if any, at the level required by Part 1 of Schedule 2 to the Regulations. See regulation 19(2) and 13(5).

- 5.1 You must confirm the applicant firm will hold, immediately prior to registration, initial capital of at least 2% of its average outstanding electronic money, where the business activities generate average outstanding electronic money of €500,000 or more.**

Yes

Where the applicant firm has not been in business long enough to calculate the amount of average outstanding electronic money for these purposes, it must make an estimate on the basis of projected outstanding electronic money as supported by its business plan, subject to any adjustments to that plan which are, or have been, required by us.

**As well as the requirement for initial capital, the Regulations require that Small EMI's maintain adequate own funds, if any, on an ongoing basis in line with Part 1 of Schedule 2 to the Regulations.**

# 6 Governance arrangements

## Why do we ask the Questions in this section?

Applicant firms are required to provide descriptions of their governance arrangements to enable us to assess if the arrangements and procedures are appropriate, sound and adequate. Please note the applicant firm must satisfy us on this point before we can grant registration See Regulation 13(6).

**You must use a separate sheet of paper to answer Questions 6.1 to 6.4.**

Indicate the number of separate sheets used	
---	--

**The level of detail you provide should reflect the scale and complexity of the applicant firm's proposed business. If any of the information you provide is unclear, we will ask you about it.**

**6.1 You must describe the governance arrangements (procedures used in the decision making and control of the business that provide its structure, direction and accountability), including a clear organisational structure with well-defined, transparent and consistent lines of responsibility. We would expect to receive information on:**

- decision-making procedures;
- reporting lines;
- internal reporting and communication processes;
- arrangements for regular monitoring of internal controls and procedures; and
- the measures that would be taken to address any deficiencies.

**6.2 You must describe the risk management procedures that will enable the applicant firm to effectively identify, manage, monitor and report any risks to which it might be exposed. Such risks may include:**

- settlement risk (a settlement of a payment transaction does not take place as expected);
- operational risk (loss from inadequate or failed internal processes, people or systems);
- counterparty risk (that the other party to a transaction does not fulfil its obligations);
- liquidity risk (inadequate cash flow to meet financial obligations);
- market risk (risk resulting from the behaviour of the entire market);
- financial crime risk (see Chapter 11 of the Approach Document ); and
- foreign exchange risk (fluctuation in exchange rates).

**6.3 You must describe the internal controls, e.g. systems, procedures and policies used to safeguard the applicant firm from fraud (internal and external) and error.**

Where the applicant firm intends to employ agents in respect of payment services, or distributors for the distribution or redemption of e-money, we would also expect that the internal controls are sufficiently robust to ensure it meets its responsibilities with regard to those entities.

**6.4 You must describe the procedures that the applicant firm will establish in order to comply with the money laundering regulations and the EC wire transfer regulation.**

# 7 Safeguarding

## Why do we ask the Questions in this section?

Safeguarding is a specific set of requirements for protecting funds that have been received in exchange for electronic money that has been issued. The Regulations require that Small EMIs comply with the safeguarding requirements. See Regulations 20-22, paragraph 4 of Schedule 1 to the Regulations and Chapters 3 and 10 of the Approach Document for more information.

It is a condition of registration under regulation 13(7)(c) that the applicant firm satisfies the FCA that the institution 'has taken adequate measures for the purpose of safeguarding electronic money holders' funds in accordance with regulation 20'.

Please note that this section relates to the safeguarding of funds held in exchange for electronic money only. Safeguarding of funds held in connection to payment services is covered in Section 10 Unrelated payment services (if applicable).

### 7.1 You must indicate the applicant firm's chosen option for safeguarding funds received for e-money issuance services from the table below:

Option 1	Segregation of relevant funds	<input type="checkbox"/>
Option 2	Coverage of relevant funds by an insurance policy from an authorised insurer, or a comparable guarantee from an authorised insurer or credit institution.	<input type="checkbox"/>

#### 7.1.1 If option 2 is selected above a copy of the policy or guarantee must be attached.

Attached

### 7.2 You must describe below how the applicant firm's safeguarding measures will operate, including details of the reconciliation processes.

# 8

## Personnel

### Why do we ask the Questions in this section?

The director(s) and person(s) responsible for managing the applicant firm's electronic money and payment services business need to be of good repute and possess appropriate knowledge and experience (be 'fit and proper') to issue electronic money and provide payment services. Please note that the applicant firm must satisfy us that its relevant individuals meet the requirements before registration can be granted. See Regulation 13(7)(a).

#### 8.1 You must complete and submit an EMD Individual form for each director and person responsible for the management of the applicant firm's electronic money or payment services business.

How many EMD Individual forms are you sending with this application?

The following are examples of persons that would be required to complete and submit an EMD Individual form:

- all the members of the management board;
- in the case of a Small EMI that only issues e-money and provides related payment services, all the management staff; and
- in the case of a Small EMI that carries on activities other than just issuing e-money and related payment services, all the persons with direct responsibility for the firm's e-money issuance and related payment services on a day-to-day basis.

## 9

**Qualifying holdings****Why do we ask the Questions in this section?**

The change in control provisions of FSMA (Part 12) apply to Small EMIs. Although not a condition of registration, we require information on individual(s) with a qualifying holding to facilitate our ongoing supervision of the applicant firm. See Paragraph 4 of Schedule 3 to the Regulations.

A 'qualifying holding' is defined in the Regulations by reference to Article 4(11) of the Banking Consolidation Directive (BCD). The definition in the BCD is a *'direct or indirect holding in an undertaking which represents 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking'*. Persons or firms with qualifying holdings are referred to as controllers in FSMA (Part 12).

A 'qualifying holding' is broadly an individual or firm that:

- holds 10% or more of the shares in the applicant firm (or 10% or more of the shares in a parent firm);
- is able to exercise significant influence over the management of the applicant firm through a shareholding in the applicant firm or a parent;
- is entitled to control or exercise control of 10% or more of the voting power in the applicant firm (or 10% or more of the voting power in a parent firm); or
- is able to exercise significant influence over the management of the applicant firm through their voting power in it or a parent.

Limited Liability Partnership (LLP) applicants should note that some (or sometimes all) individual members may be controllers of the LLP. Usually this will depend on the number of members and the terms of the membership agreement, especially regarding voting power or significant influence.

A full definition of controller, shares and voting power is set out in section 422A of FSMA (Part 12).

**9.1 Who controls (owns) the applicant firm?**

You must detail in the boxes below the individual(s) with a 'qualified holding' in the applicant firm. Please use a separate sheet of paper if necessary

If you have used separate sheets of paper please indicate how many below.

Number of additional sheets	
-----------------------------	--

**Person 1**

Name

Is this person an individual (e.g. Director/Partner) or a firm?

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

Do they have significant influence over the management of the applicant firm?

 Yes       No
**Person 2**

Name

Is this person is an individual (e.g. Director/Partner) or a firm?

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

Do they have significant influence over the management of the applicant firm?

 Yes       No
**Person 3**

Name

Is this person is an individual (e.g. Director/Partner) or a firm?

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

Do they have significant influence over the management of the applicant firm?

 Yes       No



**Person 4**

Name

Is this person is an individual (e.g. Director/Partner) or a firm?

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

Do they have significant influence over the management of the applicant firm?

 Yes  No**Person 5**

Name

Is this person is an individual (e.g. Director/Partner) or a firm?

Percentage of shares or voting rights held in the applicant firm

Percentage of shares or voting rights held in the applicant firm's parent(s)

Do they have significant influence over the management of the applicant firm?

 Yes  No

# 10

## Unrelated payment services

### Why do we ask the Question in this section?

Where the applicant firm will provide payment services unrelated to its e-money issuance, you must provide details here. See Regulation 12(1) for more information.

**Do not complete this section unless the applicant firm intends to carry out payment services unrelated to its e-money issuance business.**

#### 10.1 You must select the unrelated payment services the applicant firm will be providing from the list below:

10.1.1	Services enabling cash to be placed on a payment account and all of the operations required for operating a payment account.	<input type="checkbox"/>
10.1.2	Services enabling cash withdrawals from a payment account and all of the operations required for operating a payment account.	<input type="checkbox"/>
10.1.3	The execution of the following types of payment transaction:  (i) direct debits, including one-off direct debits; (ii) payment transactions executed through a payment card or a similar device; (iii) credit transfers, including standing orders.	<input type="checkbox"/>
10.1.4	The execution of the following types of payment transaction, where the funds are covered by a credit line for the payment service user:  (i) direct debits, including one-off direct debits; (ii) payment transactions executed through a payment card or a similar device; (iii) credit transfers, including standing orders.	<input type="checkbox"/>
10.1.5	Issuing payment instruments or acquiring payment transactions.	<input type="checkbox"/>
10.1.6	Money remittance.	<input type="checkbox"/>
10.1.7	The execution of payment transactions, where the consent of the payer to execute the payment transaction is given by means of any telecommunication, digital or IT device and the payment is made to the telecommunication, IT system or network operator acting only as an intermediary between the payment service user and the supplier of the goods or services.	<input type="checkbox"/>

## Safeguarding

### 10.2 Will the applicant firm be safeguarding funds received in respect of its unrelated payment services?

- Yes ▶ You must give details below of the applicant firm's chosen option  
 No ▶ Continue to Question 10.3

Option 1	Segregation of relevant funds	<input type="checkbox"/>
Option 2	Coverage of relevant funds by an insurance policy from an authorised insurer, or a comparable guarantee from an authorised insurer or credit institution.	<input type="checkbox"/>

#### 10.2.1 If option 2 is selected above, you must attach a copy of the policy or guarantee.

- Attached

#### 10.2.2 You must describe how the applicant firm's safeguarding measures will operate. Please note that funds safeguarded with respect to unrelated payment services must be separated from funds safeguarded in exchange for e-money.

## EMD Individuals

### 10.3 You must complete and submit additional EMD Individual form(s) for any person(s), additional to those referred to in 8.1, responsible for managing the applicant firm's unrelated payment services.

- Tick if the same director(s)/person(s) detailed in 8.1, will be responsible for managing the applicant firm's unrelated payment services; or

How many EMD Individual forms, in respect of unrelated payment services, are you sending with this application?

## EMD Agents (if applicable)

### 10.4 Will the applicant firm provide unrelated payment services via agents?

- No ▶ Continue to Section 11  
 Yes ▶ You must indicate the number of agents below and ensure that the appropriate EMD agent forms are submitted – Continue to Section 11.

- EMD Agent form(s) attached

# 11

## Fees and levies

### Why do we ask the Questions in this section?

This section is included to provide the applicant information on periodic fees and levies payable to the FCA, the Financial Ombudsman Service and Money Advice Service (MAS). We also explain the relevant FCA and Ombudsman Service fee-blocks. See Chapters 3 and 16 of the Approach Document and Regulation 59.

The activities the applicant firm undertakes when it becomes registered will determine which fee-block(s) the applicant firm is allocated to. The fees and levies in each fee-block are often based on the tariff data; however, Small EMIs will pay flat periodic fees and levies in line with FEES 4 Annex 11 Part 5 of our Handbook. See [www.fshandbook.info/FS/html/handbook/FEES/4/11](http://www.fshandbook.info/FS/html/handbook/FEES/4/11). Please see below for fee and industry blocks that apply to a Small EMI.

### FCA fees

#### 11.1 Fee-block G.11- Small Electronic Money Institutions

If an applicant firm is providing unrelated payment services, it will also be allocated to fee-block G.4 - Small Payment Institutions. We do not require data for fee-block G.4 as this is a flat fee.

#### 11.2 Financial Ombudsman Service (Ombudsman Service) General Levy

An applicant firm will come under the jurisdiction of the Ombudsman Service for issuing electronic money except if it is an exempt electronic money issuer. A Small EMI will fall within Industry block 18 – Electronic Money Issuers. A flat fee is payable for this industry block.

If the applicant firm will provide unrelated payment services, i.e. not directly related to its electronic money business, it will also be allocated to Industry block 11. A flat levy is payable for this industry block. So there are no data requirements for the Ombudsman Service levy.

### Declaration of the Financial Ombudsman Service exemption

Please note that if the applicant firm will carry on business with consumers then exemption will not be available, because they qualify as eligible complainants.

#### 11.3 The Financial Ombudsman Service exemption

If the applicant firm will not carry on business with eligible complainants and does not foresee doing so in the immediate future, please tick the box below:

Applicant firm is exempt from the Financial Ombudsman Service

**If you have indicated that the applicant firm is exempt from the Financial Ombudsman Service, please provide supporting evidence for this exemption.**

Attached

#### 11.4 Money Advice Service (MAS) levy

For SEMIs, a flat fee is payable. The fee block(s) mirrors FCA fee block(s). So there are no data requirements for the MAS levy.

# 12

## Application fee

### Why do we ask the Question in this section?

You must attach a cheque for the full application fee or the application will not be processed. See Chapters 3 and 16 of the Approach Document.

#### 12.1 You must tick below to confirm that you have paid the application fee

£1,000

You must pay the full application fee by cheque. **It is non-refundable** (even if the applicant firm decides to withdraw its application for registration).

### How to pay

- 1 Make the cheque payable to the Financial Conduct Authority. We cannot accept a post-dated cheque.
- 2 Write the name of the applicant firm on the back of the cheque.
- 3 Write 'EMD application for registration' on the back of the cheque.
- 4 Send the cheque with the application pack.

# 13

## Declaration

### Why do we ask the Question in this section?

The application must be signed by the person(s) responsible for making the application on behalf of the applicant firm. The appropriate person(s) depends on the application firm's type. See Chapter 3 of the Approach Document.

### Declaration

It is a criminal offence (under Regulation 66) to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.

All information that the FCA might reasonably consider relevant to this notification should be supplied to the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA (or formerly the FSA) or another regulatory body, and the applicant is not entitled to assume that, in assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it. If there is any doubt about the relevance of information, it should be included. There may be a delay in processing the application if any information is inaccurate or incomplete.

You must notify us immediately of any material change to the information provided (see Regulation 16). Failure to notify us immediately of any significant change to the information provided may result in a delay in the application process. Failure to provide information may also call into question whether the applicant meets the conditions for registration in Regulation 13.

### In signing the declaration below I confirm that:

- I am authorised to make this application for registration on behalf of the applicant named on the front of this form.
- I understand it is a criminal offence to knowingly or recklessly give the FCA information that is materially false, misleading or deceptive.
- The information in this application is accurate and complete to the best of my knowledge and belief, and I have taken all reasonable steps to ensure that the information in this application is accurate and complete.
- I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form, including (if appropriate) requesting further information or documents from the applicant and/or making relevant enquiries with third parties.
- I understand I may be selected to undergo a Criminal Records Bureau search to determine whether any criminal records are held in relation to me and that the FCA may wish to disclose the results of that search to the applicant submitting this application.
- I am aware of the Regulations, in particular the Conditions in section four of the application form. See Regulations: [http://www.opsi.gov.uk/si/si2009/uksi\\_20090209\\_en\\_1](http://www.opsi.gov.uk/si/si2009/uksi_20090209_en_1)
- I consent to receive communications from the FCA via post or email (including the serving of statutory notices).

**Who must sign the declaration?**

This declaration must be signed by the director(s)/partner(s) of the applicant firm.

<b>Signature one</b>		<b>Signature two</b>
Name		
Position		
Signature		
Date	dd/mm/yy	dd/mm/yy

## Appendix 2: Made FCA and PRA rules (legal instrument)

FCA instrument amending Forms D and F

PRA Rulebook Instrument amending Forms D, F and M

PRA Handbook Instrument amending Form D

PRA Rulebook Instrument adding hyperlinks to NDF  
Forms A (long and short form), E, M and the scope of  
responsibilities form for large and small NDFs.



**SUPERVISION MANUAL (NOTIFICATION FORMS) (AMENDMENT)  
INSTRUMENT 2015**

**Powers exercised**

- A. The Financial Conduct Authority 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 137A (The FCA’s general rules); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers listed above are specified for the purpose of section 138G (Rule-making instruments) of the Act.

**Commencement**

- C. This instrument comes into force as follows:
- (1) Part 1 of the Annex to this instrument comes into force on 16 December 2015.
  - (2) Part 2 of the Annex to this instrument comes into force on 7 March 2016.

**Amendments to the Handbook**

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

**Citation**

- E. This instrument may be cited as the Supervision Manual (Notification Forms) (Amendment) Instrument 2015.

By order of the Board  
3 December 2015

## **Annex**

### **Amendments to the Supervision manual (SUP)**

In this Annex, underlining indicates new text and striking through indicates deleted text, unless otherwise stated.

**Part 1: Comes into force on 16 December 2015.**

The form in the following annex is amended as shown.

**15 Form F: Changes in notified persons**  
**Annex**  
**2R**

*[see following pages]*



Application number  
(for FCA /PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the notified person in answering the questions in this form. Please read these notes, which are available on both *FCA* and *PRA* websites at:

[http://media.fshandbook.info/Forms/notes/imap\\_formf\\_notes.doc](http://media.fshandbook.info/Forms/notes/imap_formf_notes.doc)

<https://www.handbook.fca.org.uk/handbook/SUP/15/Ann2.html>

<http://www.bankofengland.co.uk/PRA>

Both the applicant and the notified person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

## Form F - Changes in notified persons

*FCA* and *PRA* Handbook Reference: *SUP* 15 Annex 2R – Notification under *SUP* 15.4.1R

*PRA* Rulebook Reference: [Notifications 4.1\(2\)](#)

~~4 April 2013~~ 16 December 2015

Name of notified person<sup>†</sup>  
(to be completed by applicant)

Name of *firm*<sup>†</sup>

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 845 606 9966  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail [PRA.FirmEnquiries@bankofengland.co.uk](mailto:PRA.FirmEnquiries@bankofengland.co.uk)  
Website <http://www.bankofengland.co.uk/PRA>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7 or Chapter 7 of the Notifications Part in the *PRA* Rulebook  
Form F – Changes in notified persons  
[Version 6: December 2015](#)

## Contact Details

Contact for this application

Title†
First Name†
Surname†
Job Title†
Business address †
Post code†
Phone number (including STD code) †
Email address†
Mobile No†
Fax No. †

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

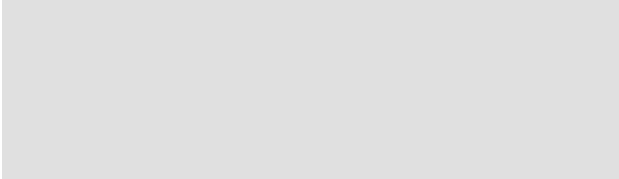
Is the notified person an approved person? YES  NO


<b>1.01</b>	<b>a</b>	If 'yes' Notified person's Individual Reference Number (IRN) <sup>†</sup>	<input type="text"/>
	<b>b</b>	OR name of previous regulatory body <sup>†</sup>	<input type="text"/>
	<b>c</b>	AND previous reference number <sup>†</sup>	<input type="text"/>
<b>1.02</b>		Title (e.g. Mr, Mrs, Ms, etc) <sup>†</sup>	<input type="text"/>
<b>1.03</b>		Surname <sup>†</sup>	<input type="text"/>
<b>1.04</b>		ALL forenames <sup>†</sup>	<input type="text"/>
<b>1.05</b>		Name commonly known by <sup>†</sup>	<input type="text"/>
<b>1.06</b>		Date of birth <sup>†</sup>	<input type="text" value="/ /"/>
<b>1.07</b>		National Insurance number <sup>†</sup>	<input type="text"/>
<b>1.08</b>		Previous name <sup>†</sup>	<input type="text"/>
<b>1.09</b>		Date of change <sup>†</sup>	<input type="text" value="/ /"/>
<b>1.10</b>		Reason for change <sup>†</sup>	<input type="text"/>
<b>1.11</b>	<b>a</b>	Nationality <sup>†</sup>	<input type="text"/>
	<b>b</b>	Passport Number <sup>†</sup> (If National Insurance number not available)	<input type="text"/>
<b>1.12</b>		Place of birth <sup>†</sup>	<input type="text"/>


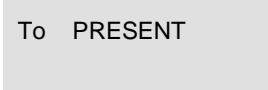
 I have supplied further information related to this in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**1.13**

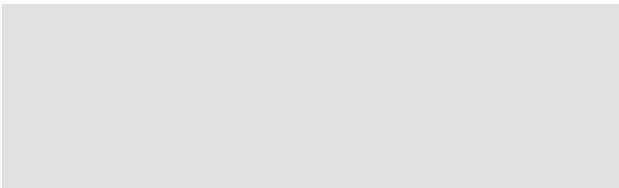
**a** Private address<sup>†</sup> 


**b** Postcode<sup>†</sup> 



**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To PRESENT 

(If address has changed in the last three years, please provide addresses for the previous three years.)<sup>†</sup>

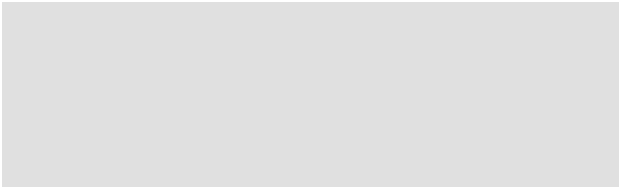
**1.14**


**a** Previous address 1<sup>†</sup> 



**b** Postcode<sup>†</sup> 

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To / / 

**1.15**

**a** Previous address 2<sup>†</sup> 

**b** Postcode<sup>†</sup> 

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From / /  To / / 



I have supplied further information related to this in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook


**Firm identification details** **Section 2**

**2.01**      Name of *firm* making the application<sup>†</sup>

**2.02**    **a**      *Firm* Reference Number (FRN)<sup>†</sup>

**2.03**    **a**      Name of Home State regulator<sup>†</sup>

**b**      Country<sup>†</sup>

 I have supplied further information related to this in Section 6<sup>†</sup>      YES       NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**Notified Positions****Section 3**

3.01 Notified positions individual is taking over. †

**a** Firm's world-wide chief executive where *the person* is situated outside the *United Kingdom*

**b** The *person*, if not the world-wide chief executive, within the *overseas* firm with a purely strategic responsibility for *UK* operations

**c** For a *bank*: the two or more *persons* who effectively direct its business in accordance with SYSC 4.2.2

**d** For a *UK* branch of an *insurer*: the *authorised UK representative*

3.02 Effective date†

//

3.03 Individual Reference Number of individual being replaced†

3.04 Name of individual being replaced†



I have supplied further information related to this in Section 6†

YES NO 

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook



**Employment history for past 5 years****Section 4**

Please start with the most recent employment. †

Note: ALL gaps in employment must be accounted for

**4.01 Employment details (1)**

<b>a</b>	Period (mm/yyyy) †	From /	To /
<b>b</b>	Nature of employment †	<i>a</i> Employed	<input type="checkbox"/>
		<i>b</i> Self-employed	<input type="checkbox"/>
		<i>c</i> Unemployed	<input type="checkbox"/>
		<i>d</i> Full-time education	<input type="checkbox"/>
	if b, c or d is ticked, please give details †		
<b>c</b>	Name of employer †		
<b>d</b>	Nature of business †		
<b>e</b>	Previous / other names of employer †		
<b>f</b>	Last known address of employer †		
<b>g</b>	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
<b>h</b>	Is / was employer an appointed representative/tied agent †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which firm?
<b>i</b>	Position held †		
<b>j</b>	Responsibilities †		
<b>k</b>	Reason for leaving †	<i>a</i> Resignation	<input type="checkbox"/>
		<i>b</i> Redundancy	<input type="checkbox"/>
		<i>c</i> Retirement	<input type="checkbox"/>
		<i>d</i> Termination/dismissal	<input type="checkbox"/>
		<i>e</i> End of contract	<input type="checkbox"/>
		<i>f</i> Other	<input type="checkbox"/>

Specify †



I have supplied further information related to this in Section 6 †

YES NO 

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**4.02 a** Period (mm/yyyy) † From /                      To /

---

**b** Nature of employment †

a Employed	<input type="checkbox"/>
b Self-employed	<input type="checkbox"/>
c Unemployed	<input type="checkbox"/>
d Full-time education	<input type="checkbox"/>

if b, c or d is ticked, please give details †

---

**c** Name of employer †

---

**d** Nature of business †

---

**e** Previous / other names of employer †

---

**f** Last known address of employer †

---

**g** Is / was employer regulated by a regulatory body? †      Yes  No       Name of regulatory body

---

**h** Is / was employer an *appointed representative/tied agent* †      Yes  No       If yes, of which *firm*?

---

**i** Position held †

---

**j** Responsibilities †

---

**k** Reason for leaving †

a Resignation	<input type="checkbox"/>
b Redundancy	<input type="checkbox"/>
c Retirement	<input type="checkbox"/>
d Termination/dismissal	<input type="checkbox"/>
e End of contract	<input type="checkbox"/>
f Other	<input type="checkbox"/>

Specify †

---

I have supplied further information related to this in Section 6 †      YES       NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**4.03 Employment details (3)**

<b>a</b>	Period (mm/yyyy) †	From /	To /												
<b>b</b>	Nature of employment †	<table border="0"> <tr> <td style="padding-right: 10px;"><i>a</i> Employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>b</i> Self-employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>c</i> Unemployed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>d</i> Full-time education</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		<i>a</i> Employed	<input type="checkbox"/>	<i>b</i> Self-employed	<input type="checkbox"/>	<i>c</i> Unemployed	<input type="checkbox"/>	<i>d</i> Full-time education	<input type="checkbox"/>				
<i>a</i> Employed	<input type="checkbox"/>														
<i>b</i> Self-employed	<input type="checkbox"/>														
<i>c</i> Unemployed	<input type="checkbox"/>														
<i>d</i> Full-time education	<input type="checkbox"/>														
	if b, c or d is ticked, please give details †														
<b>c</b>	Name of employer †														
<b>d</b>	Nature of business †														
<b>e</b>	Previous / other names of employer †														
<b>f</b>	Last known address of employer †														
<b>g</b>	Is / was employer regulated by a regulatory body? †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body												
<b>h</b>	Is / was employer an appointed representative/tied agent †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which firm?												
<b>i</b>	Position held †														
<b>j</b>	Responsibilities †														
<b>k</b>	Reason for leaving †	<table border="0"> <tr> <td style="padding-right: 10px;"><i>a</i> Resignation</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>b</i> Redundancy</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>c</i> Retirement</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>d</i> Termination/dismissal</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>e</i> End of contract</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td style="padding-right: 10px;"><i>f</i> Other</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		<i>a</i> Resignation	<input type="checkbox"/>	<i>b</i> Redundancy	<input type="checkbox"/>	<i>c</i> Retirement	<input type="checkbox"/>	<i>d</i> Termination/dismissal	<input type="checkbox"/>	<i>e</i> End of contract	<input type="checkbox"/>	<i>f</i> Other	<input type="checkbox"/>
<i>a</i> Resignation	<input type="checkbox"/>														
<i>b</i> Redundancy	<input type="checkbox"/>														
<i>c</i> Retirement	<input type="checkbox"/>														
<i>d</i> Termination/dismissal	<input type="checkbox"/>														
<i>e</i> End of contract	<input type="checkbox"/>														
<i>f</i> Other	<input type="checkbox"/>														
	Specify †														

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**4.04 Employment details (4)**

<b>a</b>	Period (mm/yyyy) †	From /	To /												
<b>b</b>	Nature of employment †	<table border="0" style="width: 100%;"> <tr> <td style="width: 80%;">a Employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>b Self-employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>c Unemployed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>d Full-time education</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		a Employed	<input type="checkbox"/>	b Self-employed	<input type="checkbox"/>	c Unemployed	<input type="checkbox"/>	d Full-time education	<input type="checkbox"/>				
a Employed	<input type="checkbox"/>														
b Self-employed	<input type="checkbox"/>														
c Unemployed	<input type="checkbox"/>														
d Full-time education	<input type="checkbox"/>														
	if b, c or d is ticked, please give details †														
<b>c</b>	Name of employer †														
<b>d</b>	Nature of business †														
<b>e</b>	Previous / other names of employer †														
<b>f</b>	Last known address of employer †														
<b>g</b>	Is / was employer regulated by a regulatory body †	Yes <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body												
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which <i>firm</i> ?												
<b>i</b>	Position held †														
<b>j</b>	Responsibilities †														
<b>k</b>	Reason for leaving †	<table border="0" style="width: 100%;"> <tr> <td style="width: 80%;">a Resignation</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>b Redundancy</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>c Retirement</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>d Termination/dismissal</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>e End of contract</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td>f Other</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> </table>		a Resignation	<input type="checkbox"/>	b Redundancy	<input type="checkbox"/>	c Retirement	<input type="checkbox"/>	d Termination/dismissal	<input type="checkbox"/>	e End of contract	<input type="checkbox"/>	f Other	<input type="checkbox"/>
a Resignation	<input type="checkbox"/>														
b Redundancy	<input type="checkbox"/>														
c Retirement	<input type="checkbox"/>														
d Termination/dismissal	<input type="checkbox"/>														
e End of contract	<input type="checkbox"/>														
f Other	<input type="checkbox"/>														
	Specify †														

I have supplied further information related to this in Section 6 †      YES       NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**4.05 Employment details (5)**

<b>a</b>	Period (mm/yyyy) †	From /	To /
<b>b</b>	Nature of employment †	a Employed <input type="checkbox"/> b Self-employed <input type="checkbox"/> c Unemployed <input type="checkbox"/> d Full-time education <input type="checkbox"/>	
	if b, c or d is ticked, please give details †		
<b>c</b>	Name of employer †		
<b>d</b>	Nature of business †		
<b>e</b>	Previous / other names of employer †		
<b>f</b>	Last known address of employer †		
<b>g</b>	Is / was employer regulated by a regulatory body? †		
<b>h</b>	Is / was employer an <i>appointed representative/tied agent</i> †		
<b>i</b>	Position held †		
<b>j</b>	Responsibilities †		
<b>k</b>	Reason for leaving †		
	Specify †		



I have supplied further information related to this in Section 6 †

YES

NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**Fitness and Propriety†****Section 5**

When answering the questions in this section, the notified person should include matters whether in the UK or overseas. However, the notified person is not required to disclose spent convictions or spent cautions.

<b>5.01</b>	<b>a</b>	Has the notified person <b>ever</b> been convicted of any offence (whether spent or not and whether or not in the <i>United Kingdom</i> ):	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	i.	involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or		
	ii.	relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies</i> , insurance, banking or other financial services, insolvency, consumer credit or consumer protection, <i>money laundering</i> , market manipulations or <i>insider dealing</i> ?		
	<b>b</b>	Is the notified person the subject of any current criminal proceedings?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	<b>c</b>	Has the notified person <b>ever</b> been given a caution in relation to any criminal offence	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		*		
<b>5.02</b>		Has the notified person any convictions for any offences (whether spent or not and whether or not in the United Kingdom) other than those in 5.01 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?*	Yes <input type="checkbox"/>	No <input type="checkbox"/>
<b>5.03</b>	<b>a</b>	Has the notified person <b>ever</b> had a County Court Judgment (CCJ) or other judgement debt, (whether or not in the United Kingdom)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		Has the notified person had:	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	i.	more than 2 CCJs or judgment debts?		
		or		
	ii.	more than £1,000 in total of CCJs or judgment debts?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	<b>b</b>	Is the notified person aware of anybody's intention to:		
	i.	begin more than one set of proceedings against the notified person for a CCJ or other judgment debt? Or	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	ii.	claim more than £1,000 of CCJs or	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		judgment debts in total from the notified person	Yes <input type="checkbox"/>	No <input type="checkbox"/>

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

- 5.04** Does the notified person have any judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part? Yes  No
- 5.05** Has the notified person **ever** failed to satisfy any such judgment debts within one year of the making of the order? Yes  No
- 5.06 a** Is the notified person, or has the notified person **ever** been, the subject of any bankruptcy proceedings or proceedings for the sequestration of the notified person's estate? Yes  No
- b** Has the notified person **ever** entered or is in the process of entering into an agreement in favour of the notified person's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)? Yes  No
- 5.07** Does the notified person have any outstanding financial obligations arising from *regulated activities*, which the notified person has carried on in the past (whether or not in the *United Kingdom*)? Yes  No
- (In the case of *advisers*, this will include any outstanding liabilities arising from commissions paid for the sale of *packaged products* that have lapsed.)
- 5.08** Has the notified person **ever** been found guilty of carrying on any unauthorised *regulated activities* or been investigated for the possible carrying on of unauthorised *regulated activities*? Yes  No
- 5.09** Is the notified person, or has the notified person **ever** been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activities? Yes  No
- 5.10** **Has the notified person ever** (whether or not in the *United Kingdom*) –
- a** been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or any fiduciary office or position of trust, whether or not remunerated? Yes  No
- b** been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required? Yes  No
- c** been disqualified by a court from acting as a *director* of a *company* or from acting in a management capacity or conducting the affairs of any *company*, *partnership* or *unincorporated association*? Yes  No
- d** been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56 of the Financial Services and Markets Act 2000, or received a warning Yes  No

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

notice that such a direction or order be made?

- 5.11** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:
- i. the notified person, or
  - ii. any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner or company secretary, during the notified person's association with that entity and for a period of three years after the notified person ceased to be associated with it, **ever** –
- a** been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted **by any such body**?
  - b** been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action **by any such body**?
  - c** resigned whilst under investigation by, or been required to resign from, **any such body**?
  - d** decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by **any such body**, not to proceed with it?
  - e** been the subject of any civil action which has resulted in a finding against the notified person or it by a court?

Yes  No

Yes  No

Yes  No

Yes  No

Yes  No

- 5.12** **Has any company, partnership or unincorporated association of which the notified person is or has been a controller, director, senior manager, partner, or company secretary, in the United Kingdom or elsewhere, at any time during the notified person's involvement or within one year of such an involvement -**

- a** been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?
- b** been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?
- c** been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?
- d** been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, by the *Takeover Panel* or any governmental or statutory authority or any other regulatory body (other than as already indicated under 5.11(b) above)?

Yes  No

Yes  No

Yes  No

Yes  No

- 5.13** Is the notified person aware of any business interests, employment obligations, or any other situations which may conflict with the performance of the *controlled functions* for which approval is now sought?

Yes  No



I have supplied further information related to this in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook



**Supplementary Information †****Section 6**

**6.01** Is there any other information the notified person of the firm considers to be relevant to the application? †

Please provide full details†

**6.02** Full details must be provided here if there were any issues that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5. †

Please indicate clearly which question additional information relates to. †

Question	Information

**6.03** Include a list of all directorships currently or previously held by the notified person in the past 10 years (where *director* has the meaning given in the Glossary). †

**6.04** Is there any other information the notified person or the *firm* considers to be relevant to the application? †

Yes  No

If yes, provide details below or on a separate sheet of paper†

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

## Supporting Documents<sup>†</sup>

Indicate the required supporting documents to accompany this form.

Documents	Mode (Send by Email, Post, or by Fax)

Other information

--

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**DECLARATION OF NOTIFIED PERSON<sup>†</sup>**

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).

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<sup>†</sup>**

For the purposes of complying with the Data Protection Act, the personal information in this Form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the ~~applicant~~ notified person.

**I can 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.**

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. **I authorise the *FCA* and/or *PRA* to make such enquiries and seek further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.**

7.01 Notified person's full name<sup>†</sup>

7.02 Signature<sup>\*</sup>

Date<sup>†</sup> / /

Tick here to confirm you have read and understood this declaration: <sup>∞</sup>

\* The above question(s) appears on a paper form submission only. That question does not appear on an electronic form submission

<sup>∞</sup> The above question(s) appears on the electronic form submission only. It does not appear on a paper form submission.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**DECLARATION OF FIRM<sup>†</sup>**

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 the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R 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.

*APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle* 4. *COCON* 4.2.27G contains a similar provision. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*.

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.~~

In making this application the *firm* believes on the basis of due and diligent enquiry that the notified person is a fit and proper person to perform the notified position(s) listed in section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the notified person is competent to fulfil the duties required of such function(s).

**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.**

**I confirm that I have authority to make this notification, and sign this Form, on behalf of each *firm* identified in section 7. I also confirm that a copy of this Form, as submitted to the *FCA* and/or *PRA* will be sent to each of those *firms* at the same time as submitting the Form to the *FCA* and/or *PRA*.**

7.03 Name of the *firm* submitting the application<sup>†</sup>

7.04 Name of *person* signing on behalf of the *firm*<sup>†</sup>

7.05 Job title<sup>†</sup>

7.06 Signature

Date<sup>†</sup>

Tick here to confirm you have read and understood this declaration:

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7 or Chapter 7 of the Notifications Part in the *PRA* Rulebook

## Completion Checklist

Is the Form fully completed? †

Are ALL forenames included? †

Is there a complete five-year employment history with all gaps explained? †

Is the Form correctly signed and dated by both the *firm* making the application and the notified person? †

Has all supplementary information been included and clearly marked? †

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or Chapter 7 of the Notifications Part in the PRA Rulebook

**10A**      **Form D: Notification of changes to personal information or**  
**Annex**    **application details**  
**7R**

Replace existing Form D with the version shown below. The text is not underlined.

*[see following pages]*



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The *FCA* and *PRA* have produced notes which will assist both the applicant and the approved person in answering the questions in this form. Please read these notes, which are available on the *FCA* and *PRA*'s website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>  
[www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Both the applicant and the approved person will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing their answers to the questions in this form.

## Form D

# Notification of changes in personal information or application details

*FCA Handbook Reference: SUP 10A Annex 7R*

*PRA Handbook Reference: SUP 10B Annex 7R*

16 December 2015

Name of individual  
(to be completed by applicant)

Name of *firm*  
(as entered in 4.01)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf, London E14 5HS, United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>  
Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

Prudential Regulation Authority  
20 Moorgate  
London, EC2R 6DA, United Kingdom  
Telephone +44 (0) 203 461 7000  
Email [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

## What sections should you complete?

The question will below will help you determine the sections of the form you must complete

**Please select the outcome**

Change in personal details

YES  You must complete sections 1, 2, 6 (if applicable) &7

Change in arrangements

YES  You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES  You must complete sections 1,2, 5, 6 (if applicable) & 7



**Contact Details****Section 1****CONTACT FOR THIS NOTIFICATION**

- |             |                                   |  |
|-------------|-----------------------------------|--|
| <b>1.01</b> | Title<br>(e.g. Mr, Mrs, Ms, etc)  |  |
| <b>1.02</b> | First name                        |  |
| <b>1.03</b> | Surname                           |  |
| <b>1.04</b> | Job Title                         |  |
| <b>1.05</b> | Business address                  |  |
|             | Postcode                          |  |
| <b>1.06</b> | Phone number (including STD code) |  |
| <b>1.07</b> | Email address                     |  |
| <b>1.08</b> | Mobile No                         |  |
| <b>1.09</b> | Fax No.                           |  |

**Details to be changed****Section 2**

**2.01** *Approved person* Individual Reference Number (IRN)

**2.02** Title  
(e.g. Mr, Mrs, Ms, etc)

**2.03** Surname

**2.04** ALL forenames

**2.05** National Insurance number

**2.06** Nationality

**2.07** Passport number

**2.08** Effective date of change (dd/mm/yy)

**2.09** Reason for change

**Arrangements and Controlled Functions** **Section 3**

**Add New Arrangement**

<b>3.01</b>	State the nature of the arrangement between the candidate and the applicant firm?	<table border="0"> <tr> <td style="padding-right: 20px;">Employee</td> <td><input type="checkbox"/> Continue to Section 4</td> </tr> <tr> <td>Group Employee</td> <td><input type="checkbox"/> Continue to Question 3.02</td> </tr> <tr> <td>Contract for Services</td> <td><input type="checkbox"/> Continue to Section 4</td> </tr> <tr> <td>Appointed Representative</td> <td><input type="checkbox"/> Continue to Question 3.04</td> </tr> <tr> <td>Other Arrangement</td> <td><input type="checkbox"/> Continue to Question 3.03</td> </tr> </table>	Employee	<input type="checkbox"/> Continue to Section 4	Group Employee	<input type="checkbox"/> Continue to Question 3.02	Contract for Services	<input type="checkbox"/> Continue to Section 4	Appointed Representative	<input type="checkbox"/> Continue to Question 3.04	Other Arrangement	<input type="checkbox"/> Continue to Question 3.03
Employee	<input type="checkbox"/> Continue to Section 4											
Group Employee	<input type="checkbox"/> Continue to Question 3.02											
Contract for Services	<input type="checkbox"/> Continue to Section 4											
Appointed Representative	<input type="checkbox"/> Continue to Question 3.04											
Other Arrangement	<input type="checkbox"/> Continue to Question 3.03											
<b>3.02</b>	Name of Group <small>(Once completed continue to Section 4)</small>	<div style="background-color: #cccccc; height: 20px;"></div>										
<b>3.03</b>	Details of the Other Arrangement <small>(Once completed continue to Section 4)</small>	<div style="background-color: #cccccc; height: 20px;"></div>										

**Appointed Representatives**

**3.04** **Please provide details of the Appointed Representatives you would like to add and/or remove.**  
 If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appointed Representative termination.

You must use a separate sheet of paper if necessary.  
 If you have used separate sheets of paper, you must indicate how many here.

**Appointed Representative 1**

Are you adding or removing an Appointed Representative?

Add  Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

/ /

---

**Appointed Representative 2**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

**Appointed Representative 3**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

**Appointed Representative 4**

Are you adding or removing an Appointed Representative?

Adding  Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

//

Please continue to Section 4

**Firm identification details** **Section 4**

**4.01** Name of *firm*

**4.02** Firm Reference Number (FRN)

**4.03** Other *firms* for whom the individual performs *controlled functions*

	FRN	Name of <i>firm</i>	<i>Controlled function</i>
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b>			

Please continue to Section 6

## Fitness and Propriety

## Section 5

### 5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

If you answer **Yes** to any of the questions in Section 5 you will be asked for further details in Section 6.02.

<p><b>5.01.1a</b></p> <p>Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>):</p> <p>iii. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or</p> <p>iv. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i></p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>b</b></p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>c</b></p> <p>Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.2</b></p> <p>Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.3</b></p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.4</b></p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p> <p>In answering question 5.01.4, the <i>candidate</i> should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>

- 5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:
- a** Been convicted of any criminal offence?  
(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)
- b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?
- c** Been the subject of any criminal proceeding which has not resulted in a conviction?
- d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?
- In answering question 5.01.5, the *candidate* should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, *firms* are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

YES  NO YES  NO YES  NO YES  NO 

## 5.02 Civil Proceedings

- 5.02.1** Has the *candidate*, **ever** been the subject of a judgement debt or award against the *candidate*?

YES  NO 

Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.

You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and

i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and

ii) the total number of all judgment debts, awards or CCJs ordered.

- 5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)

YES  NO 

- 5.02.3** Is the *candidate* aware of:

- a** Any proceedings that have begun, or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt?
- b** More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?
- c** Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the *candidate*?

YES  NO YES  NO YES  NO 

- 5.02.4** Does the *candidate* have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?

YES  NO 

- 5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in

YES  NO

full or part, within one year of the order being made?

<b>5.02.6</b>	Has the <i>candidate</i> ever:	
<b>a</b>	Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past? (whether or not in the UK or overseas)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:	
<b>a</b>	Party to any civil proceedings? (including those covered in 3.02.7 above)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (you should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:	
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (you should include all CCJs) made against the firm, whether satisfied or not.	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/> NO <input type="checkbox"/>



<b>5.02.11</b>	Is any firm at which the <i>candidate</i> currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:	
<b>a</b>	a party to civil proceedings?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	aware of anyone's intention to begin civil proceedings against them?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.02.12</b>	Has any company, partnership or unincorporated association of which the <i>candidate</i> is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03 Business and Employment Matters</b>		
<b>5.03.1</b>	Has the <i>candidate</i> ever been:	
<b>a</b>	Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the <i>candidate</i> )?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	The subject of any investigation which has led or might lead to disciplinary proceedings?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>d</b>	Notified of any potential proceedings of a disciplinary nature against the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>e</b>	The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03.2</b>	Has the <i>candidate</i> ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03.3</b>	Does the <i>candidate</i> have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?	YES <input type="checkbox"/> NO <input type="checkbox"/>

### 5.04 Regulatory Matters

- 5.04.1** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see guidance notes), has:
- The *candidate*, or
  - Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –
- a** Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?
- b** Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?
- c** Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the *candidate* or the firm?
- d** Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the *candidate* or the firm?
- e** Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?
- f** Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?
- g** Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?
- h** Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?
- i** Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?
- j** Provided payment services or distributed or redeemed e-money on behalf of a regulated *firm* or itself under any contractual agreement where that agreement was terminated by the regulated *firm*?
- k** Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

**5.04.2**

In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any *firm* at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate*'s association with the *firm* ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the <i>candidate</i> ?               | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?       | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 <i>FSMA</i> , or received a warning notice proposing that such a direction or order be made, or received a private warning?                    | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO

**Supporting Documents and Information** **Section 6**

**6.01** Indicate the required supporting documents to accompany this form

Documents	Mode (by email, fax, post)

**6.02** Full details must be provided here if any questions have been answered 'yes' in Section 5 (Fitness and Propriety)

Question	Information

## Declarations and signatures

## Section 7

### DECLARATION OF APPROVED PERSON

The *firm* must ask the individual to make the declaration only where the *firm* becomes aware of information that would reasonably be material to the assessment of the *approved person's* continuing fitness and propriety.

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).

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.

#### Data Protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the *approved person*.

**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.**

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. I also understand that the results of these checks may be disclosed to my employer.

7.01 Full name of *approved person*  
i.e. Title, forenames, SURNAME

7.02 Signature

Date / /

### DECLARATION OF FIRM

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 the Financial Services and Markets Act 2000). *SUP* 15.6.1R and *SUP* 15.6.4R 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. *APER* 4.4.7E provides that, where an *approved person* is responsible for reporting matters to the *FCA* and/or *PRA*, failure to inform the *FCA* and/or *PRA* of materially significant information of which he is aware is a breach of *Statement of Principle 4*. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA* and/or *PRA*. 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.

**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.**

7.03 Name of the *firm*

7.04 Name of *person* signing  
on behalf of the *firm*

7.05 Position

7.06 Signature

Date / /

**These questions should only be completed if submission of this form is online. They should not be completed if the form is being submitted in one of the other ways set out in SUP 15.7**

**Part 2: Comes into force on 7 March 2016.**

**10A Form D: Notification of changes to personal information or  
Annex application details and conduct breaches/disciplinary action related  
7R to conduct**

Replace the version of Form D shown in Part 1 of this instrument with the version shown below. The text is not underlined.

*[Editor's Note: The version shown below also replaces the version of Form D made by the Individual Accountability Instrument 2015 (FCA 2015/31) which was also due to come into force on 7 March 2016.]*

*[see following pages]*



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the approved person in answering the questions in this form. Please read these notes, which are available on the FCA and PRA's website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>

[www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Both the applicant and the approved person will be treated by the FCA and PRA as having taken these notes into consideration when completing this form.

## Form D Notification: Changes to personal information/ application details and conduct breaches/disciplinary action related to conduct

FCA Handbook Reference: SUP 10A Annex 7R

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications

Senior Insurance Managers Regime - Applications and Notifications

7 March 2016

Name of individual  
(to be completed by firm)

Name of firm  
(as entered in 2.01)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>  
Registered as a Limited Company in England and  
Wales No 1920623. Registered Office as above

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
Email [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Registered as a Limited Company in England and Wales  
No 07854923. Registered Office: 8 Lothbury Road,  
London, EC2R 7HH

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**



## What sections should you complete?

The question below will help you determine the sections of the form you must complete

**Please select the outcome**

Change in personal details

YES  You must complete sections 1, 2, 6 (if applicable) & 7

Change in arrangements

YES  You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES  You must complete sections 1, 2, 5, 6 (if applicable) & 7

Notifications under Section 64B(5) or 64C of the Financial Services and Markets Act 2000

YES  You must complete sections 1, 2, 6 & 7

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

**Contact Details****Section 1**

Contact for this notification

<b>1.01</b>	Title (e.g Mr; Mrs, Ms, etc)	
<b>1.02</b>	First Name	
<b>1.03</b>	Surname	
<b>1.04</b>	Job Title	
<b>1.05</b>	Business address	
	Post code	
<b>1.06</b>	Phone number (including STD code)	
<b>1.07</b>	Email address	
<b>1.08</b>	Mobile No	
<b>1.09</b>	Fax No.	



I have supplied further information  
related to this page in Section 7

YES NO 

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

**Details to be changed****Section 2**

**2.01** *Approved person* Individual Reference Number (IRN)

**DETAILS TO BE CHANGED**

**2.02** Title  
(e.g. Mr, Mrs, Ms, etc)

**2.03** Surname

**2.04** ALL forenames

**2.05** National Insurance number

**2.06** Nationality

**2.07** Passport number

**2.08** Job Title or Position

**2.09** Effective date of change

**2.10** Reason for change



I have supplied further information related to this page in Section 7

YES

NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

## Arrangements and Controlled Functions

## Section 3

### Add New Arrangement

3.01	State the nature of the arrangement between the candidate and the applicant firm?	<input type="checkbox"/> Employee <input type="checkbox"/> Continue to Section 4
		<input type="checkbox"/> Group Employee <input type="checkbox"/> Continue to Question 3.02
		<input type="checkbox"/> Contract for Services <input type="checkbox"/> Continue to Section 4
		<input type="checkbox"/> Appointed Representative <input type="checkbox"/> Continue to Question 3.04
		<input type="checkbox"/> Other Arrangement <input type="checkbox"/> Continue to Question 3.03
3.02	Name of Group (Once completed continue to Section 4)	
3.03	Details of the Other Arrangement (Once completed continue to Section 4)	

### Appointed Representatives

3.04 **Please provide details of the Appointed Representatives you would like to add and/or remove.**

If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appropriate Representative termination.

You must use a separate sheet of paper if necessary.

If you have used separate sheets of paper, you must indicate how many here.

### Appointed Representative 1

Are you adding or removing an Appointed Representative?	Add <input type="checkbox"/> Remove <input type="checkbox"/>
AR FRN	
Firm Name	
Effective date (dd/mm/yy)	

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

**Appointed Representative 2**

Are you adding or removing an Appointed Representative?

Add  Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

**Appointed Representative 3**

Are you adding or removing an Appointed Representative?

Add  Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

**Appointed Representative 4**

Are you adding or removing an Appointed Representative?

Add  Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

**Firm Identification Details** **Section 4**

4.01 Name of *firm*

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the individual performs *controlled functions* (other than senior management functions – see section 4.04)

	FRN	Name of <i>firm</i>	Controlled function
a			
b			
c			
d			
e			

4.04 Other *firms* for whom the individual performs *senior management functions*

	FRN	Name of <i>firm</i>	Senior Management function
a			
b			
c			
d			
e			



I have supplied further information related to this page in Section 7 YES  NO

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## Fitness and Propriety (general)

## Section 5

5.00 Do you want to notify us of a change to the approved person's fitness and propriety?

### 5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the *UK* or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**If you answer Yes to any of the questions in Section 5 you will be asked for further details in Section 7.02**

<p><b>5.01.1a</b></p> <p>Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i>):</p> <p style="margin-left: 20px;">v. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or</p> <p style="margin-left: 20px;">vi. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i></p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>b</b></p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>c</b></p> <p>Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.2</b></p> <p>Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.3</b></p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p><b>5.01.4</b></p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p> <p>In answering question 5.01.4, you should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>



I have supplied further information related to this page in Section 6

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:  
(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

YES  NO

**a** Been convicted of any criminal offence?

YES  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

**c** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, *firms* are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

YES  NO



I have supplied further information related to this page in Section 6

YES  NO

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## 5.02 Civil Proceedings

<b>5.02.1</b>	<p>Has the <i>candidate</i>, <b>ever</b> been the subject of a judgement debt or award against the <i>candidate</i>?</p> <p>Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.</p> <p><i>Candidate</i> should include all Court Court Judgement(s) (CCJs) made against the <i>candidate</i>, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.2</b>	<p>Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the <i>candidate</i> (other than a judgement debt or award referred to in 5.02.1 above)? (<i>candidate</i> should include, for example, injunctions and employment tribunal proceedings.)</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.3</b>	<p>Is the <i>candidate</i> aware of:</p>	
<b>a</b>	<p>Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>candidate</i>, for a CCJ or another judgement debt?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>b</b>	<p>More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>c</b>	<p>Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the <i>candidate</i>?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.4</b>	<p>Does the <i>candidate</i> have any <b>current</b> judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<b>5.02.5</b>	<p>Has the <i>candidate</i> <b>ever</b> failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>



I have supplied further information related to this page in Section 6

YES  NO

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**5.02.6** Has the *candidate* ever:

**a** Filed for the *candidate*'s own bankruptcy or had a bankruptcy petition served on the *candidate*? YES  NO

**b** Been adjudged bankrupt? YES  NO

**c** Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking? YES  NO

**d** Made any arrangements with the *candidate*'s creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)? YES  NO

**e** Had assets sequestrated? YES  NO

**f** Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the *candidate* or result in any kind of agreement with the *candidate*? YES  NO

**5.02.7** Does the *candidate*, or any undertaking under their management, have any outstanding financial obligations arising from *regulated activities*, which have been carried out in the past? (whether or not in the UK or overseas)? YES  NO

**5.02.8** Has the *candidate* ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct? YES  NO

**5.02.9** Is the *candidate* currently:

**a** Party to any civil proceedings? (including those covered in 5.02.7 above) YES  NO

**b** Aware of anybody's intention to begin civil proceedings against the *candidate*? (*candidate* should include any ongoing disputes whether or not such dispute is likely to result in any order against the *candidate*.) YES  NO

**5.02.10** Has any firm at which the *candidate* holds or has held a position of influence ever been:

**a** Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct? YES  NO

**b** The subject of a judgement debt or award against the firm? (*candidate* should include all CCJs) made against the firm, whether satisfied or not. YES  NO

**c** Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above? YES  NO



I have supplied further information related to this page in Section 6

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

**5.02.11** Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO



I have supplied further information related to this page in Section 6

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

### 5.03 Business and Employment Matters

**5.03.1** Has the *candidate* ever been:

**a** Disqualified from acting as a director or similar position (one where the *candidate* acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the *candidate*?

YES  NO

**e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)

YES  NO

**5.03.2** Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

**5.03.3** Does the *candidate* have any material written complaints made against the *candidate* by the *candidate*'s clients or former clients in the last five years which the *candidate* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



I have supplied further information related to this page in Section 6

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

**5.04.2** In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate*'s association with the firm ever:

- a** Been found to have carried on activities for which authorisation or registration by the *FCA/PRA* or any other regulatory body is required without the requisite authorisations?
- b** Been investigated for the possible carrying on of activities requiring authorisation or registration by the *FCA/PRA* or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?
- c** Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval?
- d** Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?
- e** Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the *FCA/PRA* of the identity of a person acting in a position of influence over its electronic money or payment services business?
- f** Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO

YES  NO



I have supplied further information related to this page in Section 6

YES  NO

## 5.05 Other Matters

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought?

YES  NO

**5.05.2** Are the *candidate* or the *firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

## Fitness and Propriety – Notifications under Section 64B(5) or 64C of the Financial Services and Markets Act 2000 Section 6

This section should be completed by a firm that is a relevant authorised person to:

- (a) make a notification under section 64B(5) (Breach of conduct rules) of the Financial Services and Markets Act 2000 of known or suspected breach of the individual or senior manager conduct rules set out in the FCA's COCON or PRA Conduct Rules;
- (b) make a notification of disciplinary action (as defined in section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000) due to any action, failure to act or circumstance that amounts to a breach of the individual or senior manager conduct rules set out in the FCA's COCON or PRA Conduct Rules;
- (c) make a follow up notification to update a determination that has previously been the subject of a notification that has been made by the firm in relation to (a) or (b) (as appropriate and to the extent required by, in the case of the FCA, SUP15.11.8 or in the case of the PRA, Notifications 11.5 in the PRA's Rulebook).

### 6.01 Initial or update on previous notification

**6.01.1** Is the firm updating a previous notification made under section 64B(5) or section 64C of the Financial Services and Markets Act 2000 ?

YES  NO

If the firm has answered "No", please go to section 6.02

If the firm has answered "Yes", please complete the below:

Date of previous notification:
Please provide brief details of prior notification including reference number:
Description of the update to the previous notification (this includes updates to previous notifications made under section 64B(5) (Breach of Conduct Rules) and 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000):

### 6.02 Notification of breaches of the individual or senior manager conduct rules and/or disciplinary action.

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the PRA Rulebook**

**6.02.1** If the firm is making a notification under section 64B(5) of the Financial Services and Markets Act 2000 of any known or suspected breach(es) of the individual or senior manager conduct rules set out in the *FCA's* COCON or *PRA* Conduct Rules, please complete the relevant boxes below.

	Tick the rule(s) relevant to this notification	Tick if this is a known breach	Tick if this is a suspected breach
<b>Individual Conduct Rules</b>			
Rule 1: You must act with integrity.			
Rule 2: You must act with due skill, care and diligence.			
Rule 3: You must be open and cooperative with the <i>FCA</i> , the <i>PRA</i> and other regulators.			
Rule 4: You must pay due regard to the interests of <i>customers</i> and treat them fairly.			
Rule 5: You must observe proper standards of market conduct.			
<b>Senior Manager Conduct Rules</b>			
SC1: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible is controlled effectively.			
SC2: You must take reasonable steps to ensure that the business of the <i>firm</i> for which you are responsible complies with relevant requirements and standards of the <i>regulatory system</i> .			
SC3: You must take reasonable steps to ensure that any delegation of your responsibilities is to an appropriate <i>person</i> and that you oversee the discharge of the delegated responsibility effectively.			
SC4: You must disclose appropriately any information of which the <i>FCA</i> or <i>PRA</i> would reasonably expect notice.			

**6.02.2** For each breach please provide the following information. Please attach additional sheets as necessary.

Relevant rule(s): Date when known or suspected breach came to the attention of the firm: Date or period of known or suspected breach
--

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook**



Details of the known or suspected breach:

**6.02.3** If the firm is making a notification under section 64C of the Financial Services and Markets Act 2000, please provide details below of disciplinary action taken and the reasons for this action.



I have supplied further information  
related to this page in Section 7

YES

NO

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

## Supporting Documents and Supplementary Information Section 7

- 7.01** Full details must be provided here if any questions have been answered “yes” in Section 5 (Fitness and Propriety) and if there is any other information the approved person or the firm considers to be relevant to the notification?

Please provide full details

Please indicate clearly which question the supplementary information relates to.

Question	Information

- 7.02** How many additional sheets are being submitted?

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the *PRA* Rulebook**

## Supporting Documents

7.03 Indicate the required supporting documents to accompany this form.

Documents	Mode (by email, fax, post)

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the PRA Rulebook**

## Declarations and signatures

## Section 8

### Declaration

The *firm* must ask the *approved person* to make the declaration to be given by the individual only where the *firm* becomes aware of information that would reasonably be material to the assessment of the individual's continuing fitness and propriety.

However, note that it may not be appropriate in the case of an *approved person* who performs a *senior management function* to ask that *approved person* to make the declaration below where the *firm* becomes aware of information that would reasonably be material to the assessment of that *approved person's* continuing fitness and propriety.

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). 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.

In addition to other regulatory responsibilities, *firms*, senior managers and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it or they would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the firm and/or the *approved person*.

### DECLARATION OF APPROVED PERSON

The *approved person* confirms that he or she is aware that, for the purposes of complying with the Data Protection Act, the personal information in this form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the *approved person*.

**The *approved person* confirms that the information in this Form is accurate and complete to the best of his or her knowledge and belief and that he or she has read the notes to this Form. The *approved person* will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.**

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *approved person* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. The *approved person* also understands that the results of these enquiries may be disclosed to the *Firm* / his or her employer.

#### 8.01 Full name of *approved person*

i.e. Title, forenames, SURNAME

#### 8.02 Signature

Date

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in 'Senior Managers Regime - Applications and Notifications' or 'Senior Insurance Managers Regime - Applications and Notifications' in the *PRA* Rulebook**

**DECLARATION OF FIRM**

The *firm* confirms that the information in this Form is accurate and complete to the best of its knowledge and belief. The Firm will notify the *FCA/PRA*, as applicable, immediately if there is a material change to the information provided.

If the *firm* submits this Form on behalf of one or more other *firms*, the *firm* confirms that is duly authorised by such *firm(s)* to make such submission.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety and make such enquiries and seek further information as it or they consider appropriate. The *firm* authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form.

**By signing below, the person submitting this Form on behalf of the *firm* confirms that this Form is accurate and complete to the best of his or her knowledge and he or she has read and understood the notes to this Form and the declaration given by the Firm.**

**8.03** Name of the *firm*

**8.04** Name of *person* signing on behalf of the *firm*

**8.05** Position

**8.06** Signature

Date

**The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in ‘Senior Managers Regime - Applications and Notifications’ or ‘Senior Insurance Managers Regime - Applications and Notifications’ in the *PRA* Rulebook**

**PRA RULEBOOK: CRR FIRMS: NON CRR FIRMS: SOLVENCY II FIRMS: NON SOLVENCY II FIRMS: NOTIFICATION FORMS (AMENDMENT) INSTRUMENT 2015**

**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); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) 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: Notification Forms (Amendment) Instrument 2015**

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

**Commencement**

- E. Annexes A and C to this instrument come into force on 7 March 2016. Annex B to this instrument comes into force on 16 December 2015.

**Citation**

- F. This instrument may be cited as the PRA Rulebook: CRR Firms: Non CRR Firms: Solvency II Firms: Non Solvency II Firms: Notification Forms (Amendment) Instrument 2015

**By order of the Board of the Prudential Regulation Authority**

10 December 2015

**Annex A**

This Annex contains the form in Notifications 11.12(2) in the CRR Firms and Non-CRR Firms sector of the PRA Rulebook and SIMR – Applications and Notifications 7.1(4) Solvency II Firms sector of the PRA Rulebook. In this Annex, all of the text is new and is not underlined.

**Form D: Notification of changes to personal information/application details and conduct breaches/disciplinary action related to conduct**

*[Note: This form is set out in Part 2 of the FCA's Supervision Manual (Notification Forms) (Amendment) Instrument 2015 (FCA 2015/63) above, and is therefore not reproduced here.]*

## Annex B

This Annex contains amendments to the form in Notifications 10.1 in the CRR Firms, Non-CRR Firms, Solvency II Firms and Non-Solvency II Firms sectors of the PRA Rulebook. In this Annex, new text is underlined and deleted text is struck through.

### **Form F: Changes in notified persons**

*[Note: This form is set out in Part 1 of the FCA's Supervision Manual (Notification Forms) (Amendment) Instrument 2015 (FCA 2015/63) above, and is therefore not reproduced here.]*



### **Annex C**

This Annex contains amendment to the form in Fitness and Propriety 4.2 in the CRR Firms and Non-CRR Firms sectors of the PRA Rulebook, and in Key Function Holders – Notifications 4.1 in the Solvency II Firms sector of the PRA Rulebook. In this Annex, new text is underlined and deleted text is struck through.

#### **Form M: Notification of non SMF/SIMF Appointment**



## Form M: Notification of non SMF/SIMF Appointment

### Notification of the appointment of a Non-Executive Director or Key Function Holder

*PRA Rulebook Reference: Fitness and Propriety 4.2 (CRR Firms) 4.2 and Fitness and Propriety 4.1 (SII Firms) 4.1 and Large Non-Solvency II Firms – Fitness and Propriety 4.1 (Large NDFs)*

The *PRA* have produced notes which will assist both the notifying *firm* and the appointee in answering the questions in this form. Please read these notes, which are available on the *PRA* website at

<http://www.bankofengland.co.uk/PRA>

Both the notifying *firm* and the appointee will be treated by the *PRA* as having taken these notes into consideration when completing this form.

Name of appointee

Name of *firm*(s)

*Firm* reference number(s)

Prudential Regulation Authority  
20 Moorgate  
London  
EC2R 6DA  
United Kingdom  
Telephone +44 (0) 203 461 7000  
E-mail [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

Registered as a Limited Company in England and Wales No 07854923.  
Registered Office: 8 Lothbury Road, London, EC2R 7HH

## Contact information

1.01 a Who should the *PRA* contact at the *firm* in relation to this notification?

b Position

c Telephone

d Fax

e E-mail

## Details of the person subject to notification

<b>2.01 a</b>	Appointee Individual Reference Number (IRN) – If applicable	
<b>b</b>	OR name of previous regulatory body – if applicable	
<b>c</b>	AND previous reference number - if applicable	
<b>2.02</b>	Title (e.g. Mr, Mrs, Ms, etc)	
<b>2.03</b>	Surname	
<b>2.04</b>	ALL forenames	
<b>2.05</b>	Commonly known as	
<b>2.06</b>	Date of birth (dd/mm/yyyy)	/ /
<b>2.07</b>	Previous name	
<b>2.08</b>	Date of name change	/ /
<b>2.09</b>	Reason for change	
<b>2.10</b>	Nationality	
<b>2.11</b>	National Insurance Number (or passport number)	
<b>2.12</b>	Place of birth	
<b>2.13</b>	Private (Home) address	
	Postcode	



I have supplied further information related to this section

YES

NO

## Description of the position being notified

3.01 Name of the position and/or name of ~~key function(s)~~ key function(s) for which the ~~individual appointee~~ will be responsible

3.02 Please note the key responsibilities of the role:

3.03 Date of appointment

3.04 If applicable, length of appointment

3.05 Name of *firm(s)* and/or ~~group~~ group for which the role will be exercised<sup>1</sup>

3.06 FRN(s) (if applicable)

---

<sup>1</sup> If more space is required please detail on a separate sheet and attach with Supplementary Information  
**Form M Notification of non SMF/SIMF Appointment**  
January 2016

**3.07** Please note how many other appointments the ~~individual appointee~~ currently holds (~~Executive & Non-Executive executive & non-executive~~) and how the *firm* considers that the appointee has sufficient time and resources to dedicate to the role:

**The following question is applicable to Non-Executive Directors only**

**3.08** Please note how the *firm* considers that the appointment complements the composition of the Board, and ensures the appropriate levels of skills and experience:

**The following questions are applicable to ~~Solvency II~~ Key Function Holders only**

**3.09** Is the ~~individual appointee~~ deemed to be in a position where they are effectively running the *firm* or ~~group~~ group ?

**3.10** Is the ~~individual appointee~~ currently approved for a *PRA* or ~~FCA Controlled Function~~ controlled function at that *firm* or any other *firm* within that ~~group~~ group ? If so, please name that *firm*, and also name the relevant ~~Controlled Function~~ controlled function.

**3.11** Is the ~~individual appointee~~ applying on a separate form to perform a *PRA* or ~~FCA Controlled Function~~ controlled function at the same *firm* or any other *firm* within that ~~group~~ group ?



I have supplied further  
information related to this section

YES

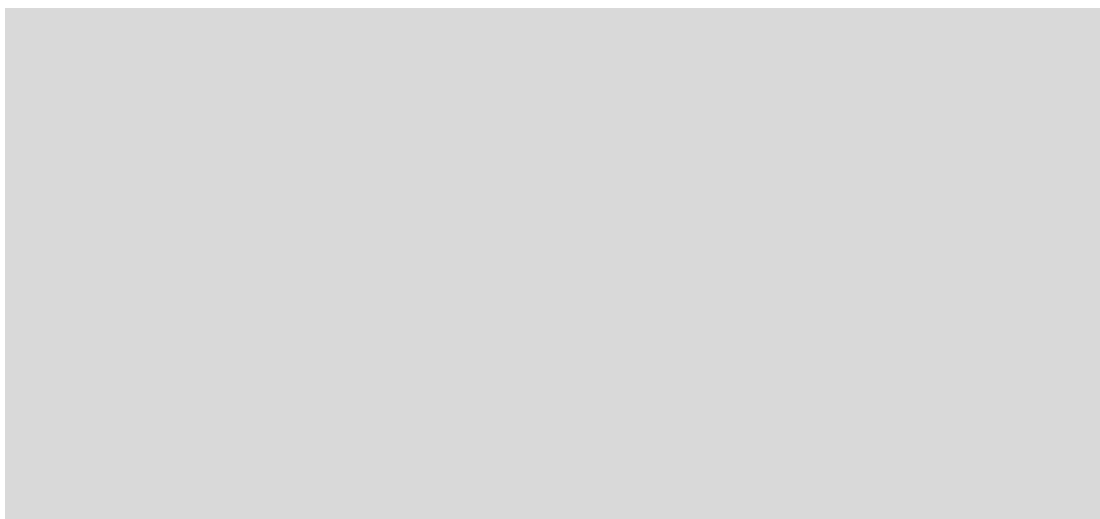
NO

This section should be completed in reference to the guidance notes corresponding with this form.

**Disclosure Note:**

~~We require firms to disclose all relevant information relating to an appointees fitness and propriety. If there is any doubt about the relevance of the information, the information should be disclosed. The PRA takes non-disclosure very seriously and may consider it to be evidence of dishonesty and/or lack of integrity. In all circumstances, disclosures should be full, frank and unambiguous; if in doubt, disclose. In the event that an appointee discloses adverse information to notifying firm (or the notifying firm knows of adverse information by some other means) the notifying firm has a duty to disclose that information candidly to the PRA and explain why the notifying firm considers this does not affect the appointee's fitness and propriety (this paragraph should be read in conjunction with the information on disclosure in the guidance notes corresponding to this form).~~

**4.01 Criminal Proceedings** – Has the appointee **ever** been convicted of any criminal offence ~~(whether spent or not) been subject to Criminal proceedings or been asked (excluding spent convictions and traffic offences that did not result in a ban from driving or did not involve driving without insurance)?~~ Is the appointee **currently** the subject of any criminal proceedings? Has the appointee been ordered to produce documents pursuant to any **current** criminal investigation?



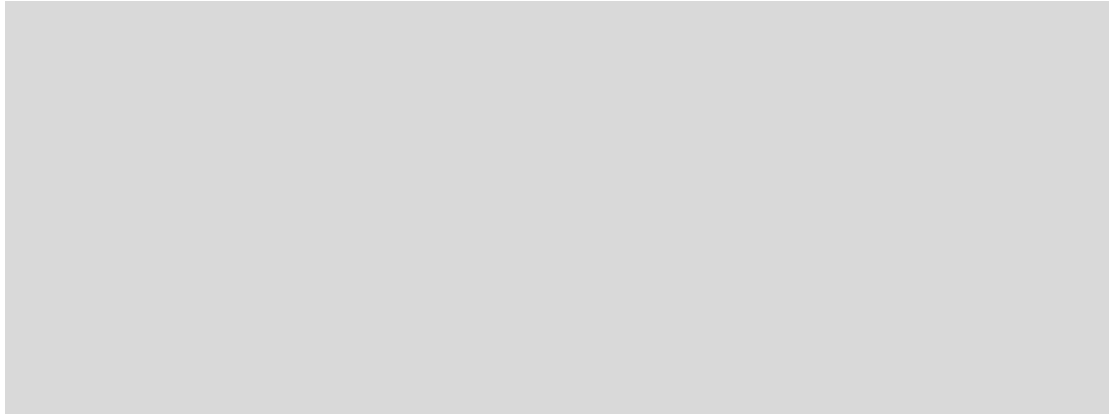
**4.02 Civil Proceedings** – Is the appointee currently subject or has the appointee **ever** been the subject of a judgement debt or award against the appointee or been party to civil proceeding which resulted in an order against the appointee? Does the appointee have any current judgement debts outstanding or have they ever failed to satisfy any such judgement debts. Has the appointee ever filed for or had a petition served for bankruptcy, been adjudged bankrupt, been subject of a bankruptcy restrictions order or made any arrangements with creditors?





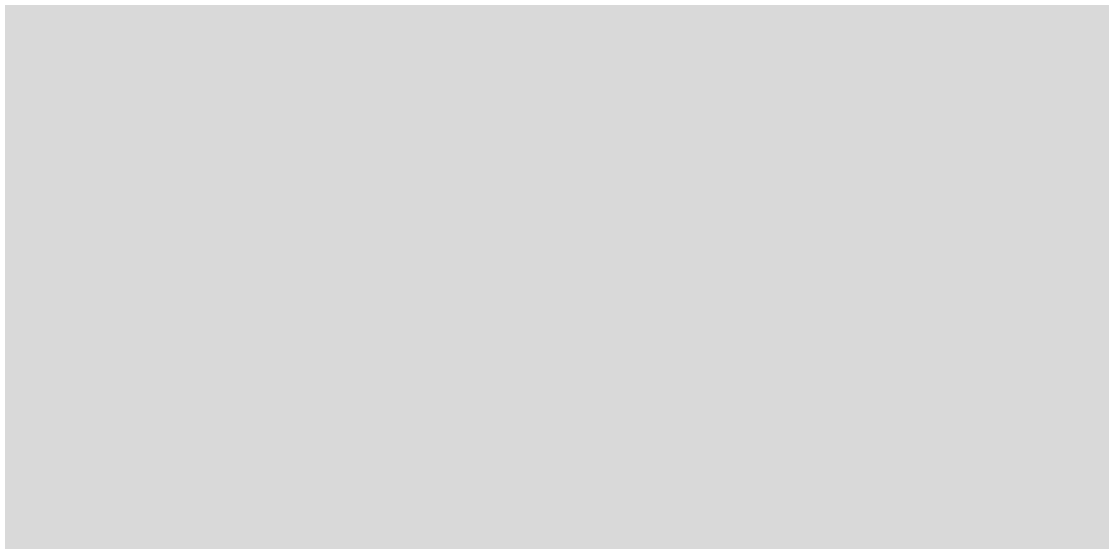
4.03

**Conflicts of Interest** – Does the appointee have any potential conflicts of ~~Interest~~ interest such as other appointments at, or ~~Close~~ close relatives with financial relations to companies subject to this notification, qualifying ownership or any other form of substantial influence in the *firm*?



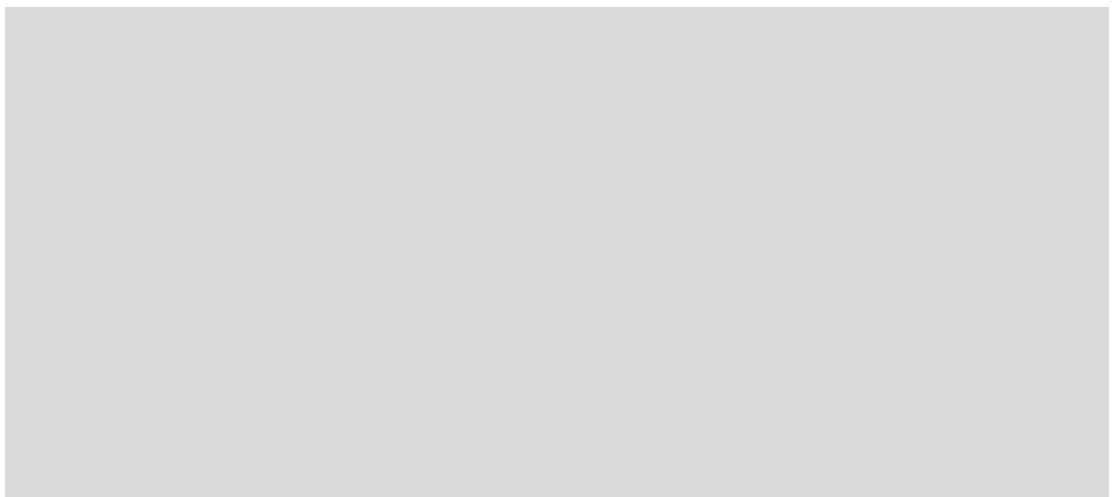
4.04

**Business and Employment Matters** – Has the appointee ever been dismissed from a position in a financial institution, company or firm? ~~Has the appointee ever been dismissed~~ or from employment as a senior executive or subject to termination of an engagement as a board member or auditor in ~~another firm~~ a financial institution, company or firm?



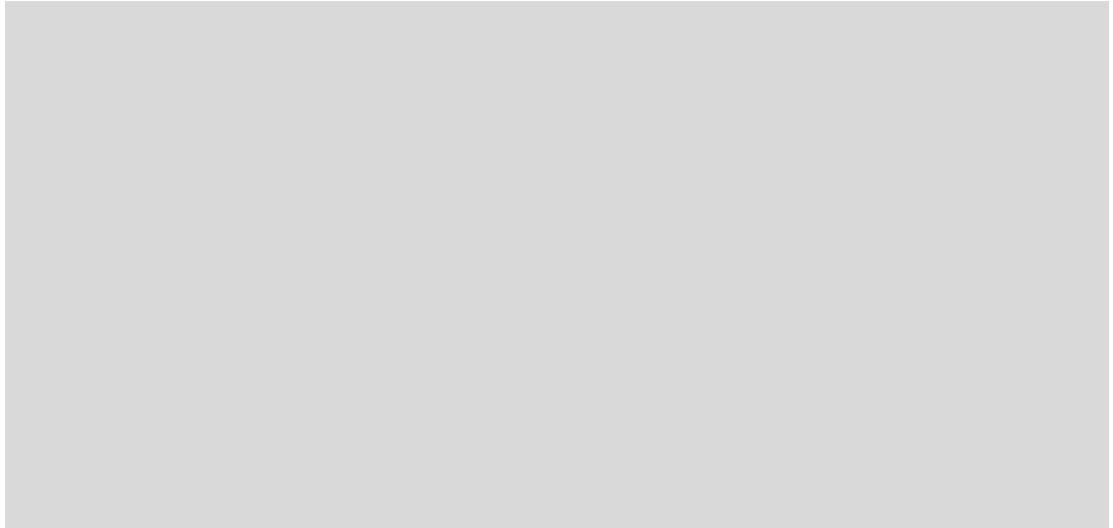
4.05

**Regulatory Matters** – In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body. Has the appointee been subject of an investigation, been subject to the rejection of an application, exclusion or limitation in any other way in terms of the right to conduct operations, been the subject of supervisory sanctions, or been the subject of a notification of breach of conduct rules?



4.06

**Other Matters** - Are the appointee or the *firm* aware of any other information relevant to this notification that we might reasonably expect to receive?



I have supplied further  
information related to this section

YES

NO

## Supplementary Information

5.01 Please confirm that the ~~Firm~~ firm has provided the below documentation, in support of this notification:

5.01.1 the appointee's full CV including relevant employment history; YES  NO

5.01.2 its assessment of whether the appointee has the personal characteristics required to perform the role effectively; YES  NO

5.01.3 its assessment of whether the appointee possesses the level of competence, knowledge and experience required to perform the role effectively; YES  NO

5.01.4 its assessment of whether the appointee has the qualifications required to perform the role effectively; and YES  NO

5.01.5 its assessment of whether the appointee has undergone or is undergoing all training required to perform the role effectively. YES  NO

5.01.6 Has / Have a reference or references been obtained from current and previous employer(s) in accordance with the requirements of the PRA.  
If No, please provide details why the reference or references has/have not been obtained.

Please note that a firm is required to take reasonable steps to obtain appropriate references from any current or previous employer of the appointee, or at any organisation at which the appointee is or was a non-executive director during the last 6 years (see Insurance-Fitness and Propriety 2.5, and Fitness and Propriety 2.7 see Insurance - Fitness and Propriety 2.5, and Large Non-Solvency II Firms – Fitness and Propriety 2.5 in the PRA Rulebook).

YES  NO

5.02 Is the *firm* submitting any other information relevant to this notification?

YES  NO

5.03 Please confirm total number of additional sheets being submitted

## Declaration of Firm

Knowingly or recklessly giving the *PRA* 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). Rule 6 of the Notifications Part of the *PRA CRR* Rulebook require an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *PRA* and to notify the *PRA* immediately if materially inaccurate information has been provided.

Fitness and Propriety 3.1(d) in the *PRA CRR* Rulebook, ~~and~~ Insurance – Conduct Standards 2.2 in the *PRA Solvency II* Rulebook and Large Non-Solvency II Firms – Conduct Standards 2.2 in the *PRA Non-Solvency II* Rulebook provide that a *firm* must require any *key function holder* or *non-executive director* to disclose appropriately any information of which the *PRA* would reasonably require notice. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action against the *firm* by the *PRA*.

In addition, appointees should be reminded that a failure by the appointee to disclose relevant information either to the *firm* or to the *PRA* could be regarded as evidence that they were not fit and proper. It should not be assumed that information is known to the *PRA* merely because it is in the public domain or has previously been disclosed to the *PRA* or another regulatory body. If there is any doubt about the relevance of information, it should be included.

**In making this notification the *firm* believes on the basis of due and diligent enquiry that the appointee is a fit and proper person to perform the role. The *firm* also believes, on the basis of due and diligent enquiry, that the appointee is competent to fulfil the duties required in the performance of such function(s).**

**In signing this form on behalf of the *firm* 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.**

[\(http://fshandbook.info/FS/html/PRA/\)](http://fshandbook.info/FS/html/PRA/)

[\(http://www.bankofengland.co.uk/PRA/\)](http://www.bankofengland.co.uk/PRA/)

6.01 Name of person signing on behalf of the  
*firm*

6.02 Job title

6.03 Signature

Date / /

## Declaration of Appointee

The appointee confirms that the information provided in this notification is accurate and complete to the best of his/her knowledge and that he or she has read the notes to this form. The appointee will notify the *PRA* immediately if there is a material change to the information provided.

The appointee confirms that the key responsibilities set out in Section 3.02 accurately reflect the aspects of the affairs of the firm which it is intended that the appointee will be responsible for managing. The appointee confirms that they have accepted all these responsibilities.

The appointee authorises the *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this notification.

The appointee acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the employer.

The appointee agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the *firm* submitting this application.

The appointee agrees that the *PRA* may use the address specified for the appointee in this form as the proper address for service in the United Kingdom as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this Form will be used by the *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the appointee.

The appointee confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the ~~*PRA Insurance*~~ following Parts of the *PRA* Rulebook: Conduct Rules, Insurance - Conduct Standards or Large Non-Solvency II Firms – Conduct Standards Instrument (as applicable).

The appointee is 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~~ form is ultimately the responsibility of those who sign the notification.

6.04 Name

6.05 Signature of appointee

Date / /

## HANDBOOK NOTIFICATION FORMS (AMENDMENT) INSTRUMENT 2015

### **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); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) 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.

### **Amendments to the Handbook**

- D. The Supervision Manual (SUP) module of the PRA’s Handbook of rules and guidance is amended in accordance with the Annex to this instrument.

### **Commencement**

- E. This instrument comes into force on 16 December 2015.

### **Citation**

- F. This instrument may be cited as the Handbook Notification Forms (Amendment) Instrument 2015.

### **By order of the Board of the Prudential Regulation Authority**

10 December 2015

**Annex**

**Amendments to the Supervision Manual (SUP)**

In this Annex, all of the text is new and is not underlined.

**SUP 10B Annex 7R Form D: Notification of changes in personal information or application details**

*[Note: This form is set out in Part 1 of the FCA's Supervision Manual (Notification Forms) (Amendment) Instrument 2015 (FCA 2015/63) above, and is therefore not reproduced here.]*

**PRA RULEBOOK: NON-SOLVENCY II FIRMS: FORMS INSTRUMENT 2015**

**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 137G (the PRA’s general rules); and
  - (3) section 137T (general supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) 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: Non-Solvency II Firms: Forms Instrument 2015**

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

**Commencement**

- E. The Annexes come into force on 7 March 2016.

**Citation**

This instrument may be cited as the PRA Rulebook: Non-Solvency II Firms: Forms Instrument 2015.

**By order of the Board of the Prudential Regulation Authority**  
10 December 2015.



## Annex A

This Annex inserts hyperlinks to the applicable forms into the following rules, which were published in the PRA's Policy Statement PS26/15 'The prudential regime, and implementation of the Senior Insurance Managers Regime, for non-Solvency II firms'.

Part

# NON-SOLVENCY II FIRMS – SENIOR INSURANCE MANAGERS REGIME – APPLICATIONS AND NOTIFICATIONS

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## 7 FORMS

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- 7.1 (1) Form A (long form) may be found ~~here~~ [here](#).
- (2) Form A (shortened form) may be found ~~here~~ [here](#).
- ...
- (6) Form E may be found ~~here~~ [here](#).
- (7) The *scope of responsibilities form* may be found ~~here~~ [here](#).

**Annex B**

This Annex inserts hyperlinks to the applicable forms into the following rules, which were published in the PRA's Policy Statement PS26/15 'The prudential regime, and implementation of the Senior Insurance Managers Regime, for non-Solvency II firms'.

Part

## **NON-SOLVENCY II FIRMS – SENIOR INSURANCE MANAGERS REGIME – TRANSITIONAL PROVISIONS**

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7      **FORMS**

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7.2      The *scope of responsibilities* form may be found ~~here~~ [here](#).

**Annex C**

This Annex inserts hyperlinks to the applicable forms into the following rules, which were published in the PRA's Policy Statement PS26/15 'The prudential regime, and implementation of the Senior Insurance Managers Regime, for non-Solvency II firms'.

Part

## **LARGE NON-SOLVENCY II FIRMS – SENIOR INSURANCE MANAGERS REGIME – APPLICATIONS AND NOTIFICATIONS**

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### **7 FORMS**

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- 7.1 (1) Form A (long form) may be found ~~here~~ [here](#).
- (2) Form A (shortened form) may be found ~~here~~ [here](#).
- ...
- (5) Form E may be found ~~here~~ [here](#).
- (6) The *scope of responsibilities form* may be found ~~here~~ [here](#).

**Annex D**

This Annex inserts hyperlinks to the applicable forms into the following rules, which were published in the PRA's Policy Statement PS26/15 'The prudential regime, and implementation of the Senior Insurance Managers Regime, for non-Solvency II firms'.

Part

## **LARGE NON-SOLVENCY II FIRMS – KEY FUNCTION HOLDER – NOTIFICATIONS**

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### **4 FORMS**

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4.1 The *key function holder notification form*, Form M, may be found ~~here~~ [here](#).

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BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



**PUB REF: 005174**

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