

PRA RULEBOOK: NOTIFICATIONS INSTRUMENT 2014

Powers exercised

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
 - (1) section 137G (the PRA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 318(1) (Exercise of powers through Council).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Pre-conditions to making

- C. In accordance with section 138J of the Act (Consultation by the PRA) and section 319 (Consultation) of the Act, the PRA consulted the Financial Conduct Authority. After consulting, the PRA published a draft of proposed rules and directions and had regard to representations made.

PRA Rulebook: Notifications Instrument 2014

- D. The PRA makes the rules and gives the directions in Annex A, Annex B, Annex C, Annex D and Annex E to this instrument.

Commencement

- E. This instrument comes into force on 19 June 2014.

Citation

- F. This instrument may be cited as the PRA Rulebook: Notifications Instrument 2014.

By order of the Board of the Prudential Regulation Authority

13 June 2014

Annex A

PRA RULEBOOK – GLOSSARY

Insert the following new definitions into the Glossary Part of the PRA Rulebook:

approved person

means a *person* in relation to whom the *FCA* or the *PRA* has given its approval under section 59 of *FSMA* (Approval for particular arrangements) for the performance of a *controlled function*.

bank

means:

- (1) a *firm* with a *Part 4A Permission* to carry on the *regulated activity* of accepting deposits and is a *credit institution*, but is not a *credit union*, *friendly society* or a *building society*; or
- (2) an *EEA bank*.

business day

means:

- (1) (in relation to anything done or to be done in (including to be submitted to a place in) any part of the *UK*) any day which is not a Saturday or Sunday, Christmas Day, Good Friday or a bank holiday in that part of the *UK*;
- (2) (in relation to anything done or to be done by reference to a market outside the *UK*) any day on which that market is normally open for business.

Consolidated Life Directive

means the Council Directive of 5 November 2002 on the taking-up and pursuit of the business of life assurance (No 2002/83/EC), which consolidates the provisions of the *First Life Directive*, the *Second Life Directive* and the *Third Life Directive*.

controlled function

means a function, relating to the carrying on of a *regulated activity* by a *firm*, which is specified by either the *FCA* or the *PRA*, under section 59 of *FSMA* (Approval for particular arrangements).

CRD credit institution

means a *credit institution* that has its registered office (or, if it has no registered office, its head office) in an *EEA State*, excluding an *institution* to which the *CRD* does not apply under Article 2 of the *CRD*.

EEA bank

means an *incoming EEA firm* that is a *CRD credit institution*.

First Life Directive

means the Council Directive of 5 March 1979 on the coordination of laws, regulations and administrative provisions relating to the taking up and pursuit of the business of direct life assurance (No 79/267/EEC).

First Non-Life Directive

the Council Directive of 24 July 1973 on the coordination of laws, regulations and administrative provisions relating to the taking up and pursuit of the business of direct insurance other than life insurance (No 73/239/EEC).

insurance business

means the *regulated activities* of *effecting contracts of insurance* or *carrying out contracts of insurance*.

Insurance Groups Directive

means Directive of the European Parliament and of the Council of 27 October 1998 on the supplementary supervision of *insurance undertakings* in an insurance group (1998/78/EC).

insurance special purpose vehicle

means an *undertaking*, other than an *insurance undertaking* or *reinsurance undertaking* which has received an official *authorisation* in accordance with Article 6 of the *First Non-Life Directive*, Article 4 of the *Consolidated Life Directive* or Article 3 of the *Reinsurance Directive*:

- (1) which assumes risks from such *insurance undertakings* or *reinsurance undertakings*; and
- (2) which fully funds its exposures to such risks through the proceeds of a debt issuance or some other financing mechanism where the repayment rights of the providers of such debt or other financing mechanism are subordinated to the *undertaking's reinsurance* obligations.

insurance undertaking

means an *undertaking*, whether or not an *insurer*, which carries on *insurance business*.

insurer

means a *firm* with *permission* to *effect contracts of insurance* or *carry out contracts of insurance* (other than a *UK ISPV*).

officer

means, in relation to a *body corporate*:

- (1) a *director*, member of the committee of management, *chief executive*, *manager*, secretary or other similar officer of the body, or a *person* purporting to act in any such capacity; and
- (2) an individual who is a *controller* of the body.

ONA system

means the *PRA's* online notification and applications system, by whatever name known.

reinsurance

includes retrocession.

Reinsurance Directive

means the Directive of 16 November 2005 of the European Parliament and of the Council (No 2005/68/EC) on reinsurance and amending the *First Non-Life Directive* and the *Third Non-Life Directive* as well as the *Insurance Groups Directive* and the *Consolidated Life Directive*.

reinsurance undertaking

means an *insurance undertaking* whose *insurance business* is restricted to *reinsurance*.

Second Life Directive

means the Council Directive of 8 November 1990 on the coordination of laws, etc and laying down provisions to facilitate the effective exercise of freedom to provide services and amending Directive 79/267/EEC (No 90/619/EEC).

Society

means the society incorporated by the Lloyd's Act 1871 by the name of Lloyd's.

Third Life Directive

means the Council Directive of 10 November 1992 on the coordination of laws, etc, and amending Directives 79/267/EEC and 90/619/EEC (No 92/96/EEC).

Third Non-Life Directive

means the Council Directive of 18 June 1992 on the coordination of laws, etc, and amending Directives 73/239/EEC and 88/357/EEC (No 92/49/EEC).

UK ISPV

means an *insurance special purpose vehicle* with a *Part 4A permission* to carry out *contracts of insurance* or *effect contracts of insurance*.

Annex B

In this Annex, the text is all new and is not underlined.

Part

NOTIFICATIONS

Chapter content

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1 APPLICATION AND DEFINITIONS

1.1 Unless otherwise stated, this Part applies to every *firm*.

1.2 In this Part, the following definitions shall apply:

authorised UK representative

means (in relation to a *firm*) a *person* resident in the *UK* who is authorised to act generally, and to accept service of any *document*, on behalf of the *firm*.

branch

- (1) (in relation to a *credit institution*) means:
 - (a) a place of business which forms a legally dependent part of a *credit institution* and which carries out directly all or some of the transactions inherent in the business of *credit institutions*;
 - (b) for the purposes of the *CRD* and in accordance with Article 38 of the *CRD*, any number of places of business set up in the same *EEA State* by a *credit institution* with headquarters in another *EEA State* are to be regarded as a single branch;
- (2) (in relation to an *investment firm*) has the meaning given in Article 4(1)(26) of *MiFID*; and
- (3) (in relation to an *insurance undertaking*) any permanent presence of the *insurance undertaking* in an *EEA State* other than that in which it has its head office is to be regarded as a single *branch*, whether that presence consists of a single office which, or two or more offices each of which:
 - (a) is managed by the *insurance undertaking's* own staff; or
 - (b) is an agency of the *insurance undertaking*; or
 - (c) is managed by a *person* who is independent of the *insurance undertaking*, but has permanent authority to act for the *insurance undertaking* as an agency would.

competent authority

has the meaning given in point (16) of Article 2 of the *Financial Groups Directive*.

consolidation group

means the *undertakings* included in the scope of consolidation pursuant to Articles 18(1), 18(8), 19(1), 19(3) and 23 of the *CRR* and Groups 2.1- 2.3.

coordinator

means, in relation to a *financial conglomerate*, the *competent authority* appointed as coordinator in accordance with Article 10(1) of the *Financial Groups Directive*.

dormant account fund operator

means a *firm* with *permission* for operating a *dormant account fund*.

EEA financial conglomerate

means a *financial conglomerate* that is of a type that falls under Article 5(2) of the *Financial Groups Directive*.

financial conglomerate

has the meaning given in point (14) of Article 2 of the *Financial Groups Directive*.

Financial Groups Directive

means Directive 2002/87/EC of the European Parliament and of the Council of 16 December 2002 on the supplementary supervision of *credit institutions*, *insurance undertakings* and *investment firms* in a *financial conglomerate*.

injunction

means a court order made by the *High Court* that prohibits a *person* from doing or continuing to do a certain act or requires a *person* to carry out a certain act.

insolvency order

means an administration order, compulsory winding up order, bankruptcy order or sequestration order.

MiFID Regulation

means Commission Regulation (EC) 1287/2006 implementing Directive 2004/39/EC of the European Parliament and of the Council as regards organisational requirements and operating conditions for *investment firms* and defined terms for the purposes of that Directive.

notification rule

(in relation to a *firm*) means a *rule* requiring a *firm* to give the *PRA* notice of, or information regarding, an event, but excluding a *rule* requiring periodic submission of a report.

occupational pension scheme

has the meaning given in Article 3(1) of the *Regulated Activities Order*.

operating a dormant account fund

means either of the *regulated activities* specified in Article 63N(1) of the *Regulated Activities Order*.

overseas regulator

has the meaning given in section 195(3) of *FSMA*.

regulated entity

means one of the following:

- (1) a *credit institution*;
- (2) an *insurance undertaking* within the meaning of Article 4 of the *Consolidated Life Directive*, Article 6 of the *First Non-Life Directive* or Article 1(b) of the *Insurance Groups Directive*; or
- (3) an *investment firm*,

whether or not it is incorporated in, or has its head office in, an *EEA State*.

repurchase transaction

has the meaning given in point (83) of Article 4(1) of the *CRR*.

sole trader

means an individual who is a *firm*.

1.3 This Part applies to *incoming firms* without a *top-up permission* as follows:

- (1) 1 applies in full;
- (2) 2.1-2.3 apply in so far as responsibility for the matter in question is not reserved by an *EU instrument* to the *firm's Home State regulator*;
- (3) 2.4-2.5 apply in full;
- (4) 2.6-2.9 apply in so far as responsibility for the matter in question is not reserved by an *EU instrument* to the *firm's Home State regulator*;
- (5) 3-4 do not apply;
- (6) 5.1-5.3 apply in full except that 5.2(2) does not apply to an *incoming EEA firm* without a *top-up permission*;
- (7) 5.4 applies in so far as responsibility for the matter in question is not reserved by an *EU instrument* to the *firm's Home State regulator*;
- (8) 5.5 applies in full; and
- (9) 6-9 apply in full.

1.4 This Part:

- (1) applies with respect to the carrying on of both *regulated activities* and *unregulated activities*; and

- (2) takes into account any activity of other members of a *group* of which the *firm* is a member.

2 GENERAL NOTIFICATION REQUIREMENTS

2.1 A *firm* must notify the *PRA* immediately it becomes aware, or has information which reasonably suggests, that any of the following has occurred, may have occurred or may occur in the foreseeable future:

- (1) the *firm* failing to satisfy one or more of the *threshold conditions*; or
- (2) any matter which could have a significant adverse impact on the *firm's* reputation; or
- (3) any matter which could affect the *firm's* ability to continue to provide adequate services to its customers and which could result in serious detriment to a customer of the *firm*; or
- (4) any matter in respect of the *firm* which could result in serious financial consequences to the *UK financial system* or to other *firms*.

2.2 In determining whether the *PRA* should be notified of any of the events in 2.1 that may occur in the foreseeable future, a *firm* must consider both the probability of the event happening and the severity of the outcome should it happen.

2.3 A *firm* must give the *PRA* notice of:

- (1) any proposed restructuring, reorganisation or business expansion which could have a significant impact on the *firm's* risk profile or resources, including, but not limited to:
 - (a) setting up a new *undertaking* within a *firm's* *group*, or a new *branch* (whether in the *UK* or not);
 - (b) commencing the provision of *cross border services* into a new territory;
 - (c) commencing the provision of a new type of product or service (whether in the *UK* or not);
 - (d) ceasing to undertake a *regulated activity* or *ancillary activity*, or significantly reducing the scope of such activities;
 - (e) entering into, or significantly changing, a *material outsourcing* arrangement;
 - (f) a substantial change or a series of changes in the *governing body* of an *overseas firm* (other than an *incoming firm*);
 - (g) any proposed change which limits the liability of any of the members or partners of a *firm* such as a general partner becoming a limited partner or re-registration as a limited liability company of a company incorporated with unlimited liability; or
 - (h) in relation to a *dormant account fund operator*, notify the *PRA* when the operator intends to rely on a third party for the performance of operational

functions which are critical or important for the performance of relevant services and activities in connection with *operating a dormant account fund* on a continuous and satisfactory basis;

- (2) any significant failure in the *firm's* systems or controls, including those reported to the *firm* by the *firm's* auditor;
- (3) any action which a *firm* proposes to take which would result in a material change in its capital adequacy or solvency, including, but not limited to:
 - (a) any action which would result in a material change in the *firm's* financial resources or financial resources requirement;
 - (b) a material change resulting from the payment of a special or unusual dividend or the repayment of share capital or a subordinated loan;
 - (c) for *firms* which are subject to consolidated financial supervision, any proposal under which another *group* member may be considering such an action; or
 - (d) significant trading or non-trading losses (whether recognised or unrecognised).

2.4 (1) A *firm* must notify the *PRA* of:

- (a) a significant breach of a *rule* or *Statement of Principle*;
- (b) a breach of any requirement imposed by *FSMA* or by regulations or an order made under *FSMA* by *the Treasury* (except if the breach is an offence, in which case (c) applies);
- (c) the bringing of a prosecution for, or a conviction of, any offence under *FSMA*;
- (d) a breach of a directly applicable provision in the *MiFID Regulation*;
- (e) a breach of a directly applicable provision in the *CRR* or any directly applicable regulations made under the *CRD* or the *CRR*;
- (f) a breach of any requirement in regulation 4C(3) (or any successor provision) of the Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2007; or
- (g) it exceeding (or becoming aware that it will exceed) the limit in Article 395 of the *CRR*,

by (or as regards (c), against) the *firm* or any of its *directors, officers, employees, approved persons, or appointed representatives* or, where applicable, *tied agents*.

- (2) A *firm* must make the notification in (1) immediately it becomes aware, or has information which reasonably suggests, that any of the matters in (1) has occurred, may have occurred or may occur in the foreseeable future.

2.5 A notification under 2.4 must include:

- (1) information about any circumstances relevant to the breach or offence;
- (2) identification of the *rule* or requirement or offence; and
- (3) information about any steps which a *firm* or other *person* has taken or intends to take to rectify or remedy the breach or prevent any future potential occurrence.

2.6 A *firm* must notify the *PRA* immediately if:

- (1) civil proceedings are brought against the *firm* and the amount of the claim is significant in relation to the *firm's* financial resources or its reputation; or
- (2) any action is brought against the *firm* under section 71 (Actions for damages) or section 138D (Actions for damages) of *FSMA*; or
- (3) disciplinary measures or sanctions have been imposed on the *firm* by any statutory or regulatory authority, professional organisation or trade body (other than the *PRA*) or the *firm* becomes aware that one of those bodies has started an investigation into its affairs; or
- (4) the *firm* is prosecuted for, or convicted of, any offence involving fraud or dishonesty, or any penalties are imposed on it for tax evasion; or
- (5) it is removed as trustee of an *occupational pension scheme* by a court order.

2.7 A notification under 2.6 must include details of the matter and an estimate of the likely financial consequences, if any.

- 2.8 (1) A *firm* must notify the *PRA* immediately if one of the following events arises and the event is significant:
- (a) it becomes aware that an *employee* may have committed a fraud against one of its customers;
 - (b) it becomes aware that a *person*, whether or not employed by it, may have committed a fraud against it;
 - (c) it considers that any *person*, whether or not employed by it, is acting with intent to commit a fraud against it;
 - (d) it identifies irregularities in its accounting or other records, whether or not there is evidence of fraud; or
 - (e) it suspects that one of its *employees* may be guilty of serious misconduct concerning their honesty or integrity and which is connected with the *firm's regulated activities* or *ancillary activities*.
- (2) A notification under (1) must provide all relevant and significant details of the incident or suspected incident of which the *firm* is aware.

2.9 A *firm* must notify the *PRA* immediately of any of the following events:

- (1) the calling of a meeting to consider a resolution for winding up the *firm*;
- (2) an application to dissolve the *firm* or to strike it off the Register of Companies;
- (3) the presentation of a petition for the winding up of the *firm*;
- (4) the making of, or any proposals for the making of, a composition or arrangement with any one or more of its creditors;
- (5) an application for the appointment of an administrator or trustee in bankruptcy to the *firm*;
- (6) the appointment of a receiver to the *firm* (whether an administrative receiver or a receiver appointed over particular property);
- (7) an application for an interim order against the *firm* under section 252 of the Insolvency Act 1986 (or, in Northern Ireland, section 227 of the Insolvency (Northern Ireland) Order 1989);
- (8) if the *firm* is a *sole trader*:
 - (a) an application for a sequestration order on the *firm*; or
 - (b) the presentation of a petition for bankruptcy; or
- (9) anything equivalent to (1) to (8) above occurring in respect of the *firm* in a jurisdiction outside the *UK*.

3 LLOYD'S OF LONDON

3.1 The *PRA* directs that:

- (1) the *Society* must immediately inform the *PRA* in writing if it becomes aware that any matter likely to be of material concern to the *PRA* may have arisen in relation to:
 - (a) the *regulated activities* for which the *Society* has *permission*; or
 - (b) *managing agents*; or
 - (c) *approved persons* or individuals acting for or on behalf of *managing agents*.
- (2) the *Society* must inform the *PRA* if it commences investigations or disciplinary proceedings relating to apparent breaches:
 - (a) of *FSMA* or requirements made or imposed under *FSMA*, including the *threshold conditions* or any *rules*, by a *managing agent*; or
 - (b) of the *Statements of Principle* by an individual or other *person* who carries out *controlled functions* for or on behalf of a *managing agent*.
- (3) that the *Society* must inform the *PRA* if it commences investigations or disciplinary proceedings which do not fall within the scope of (2) but which:

- (a) involve a *managing agent*, or an *approved person* who carries out *controlled functions* for it or on its behalf; or
- (b) may indicate that an individual acting for or on behalf of a *managing agent* may not be a fit and proper person to perform functions in relation to *regulated activities*,

and in each case the direction is given in relation to the exercise of the powers of the *Society* and of the *Council* generally, with a view to achieving the objective of enabling the *PRA* to (1) comply with its general duty under section 314 of *FSMA*; (2) determine whether *managing agents* or *approved persons* acting for them or on their behalf, are complying with the requirements imposed on them by or under *FSMA* and (3) enforce the provisions of *FSMA*, or requirements made under *FSMA*, by enabling the *PRA* to consider, where appropriate, whether it should use its powers, for example to:

- (i) vary or cancel the *permission* of a *managing agent*, under section 55J of *FSMA* (Variation or cancellation on initiative of regulator);
- (ii) withdraw approval from an *approved person* acting for or on behalf of a *managing agent*, under section 63 of *FSMA* (Withdrawal of approval);
- (iii) prohibit an individual, acting for or on behalf of a *managing agent*, from involvement in *regulated activities*, under section 56 of *FSMA* (Prohibition orders);
- (iv) require a *managing agent* to make restitution, under section 384 of *FSMA* (Power of [FCA or PRA] to require restitution);
- (v) discipline a *managing agent*, or an *approved person* acting for it or on its behalf, for a breach of a requirement made under *FSMA*, including the *Fundamental Rules*, *Statements of Principle* and *rules*;
- (vi) apply to court for an *injunction*, restitution order or *insolvency order*; and
- (vii) prosecute any criminal offence that the *PRA* has power to prosecute under *FSMA*.

3.2 Each direction in SUP 15.3.22D to SUP 15.3.25D of the *PRA Handbook* continues to have effect from the date the relevant direction was given to the date on which the direction in 3.1 has effect.

4 NOTIFIED PERSONS

- 4.1 (1) An *overseas firm*, which is not an *incoming firm*, must notify the *PRA* within 30 *business days* of any *person* taking up or ceasing to hold the following positions:
- (a) the *firm's* worldwide chief executive (that is, the *person* who, alone or jointly with one or more others, is responsible under the immediate authority of the *directors* for the whole of its business) if the *person* is based outside the *UK*;
 - (b) the *person* 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; or

(d) for an *insurer*: the *authorised UK representative*.

- (2) The notification in (1) must be submitted in the form referred to in 10.1 (Form F). However, if the *person* is an *approved person*, notification giving details of their name, the *approved person's* individual reference number and the position to which the notification relates, is sufficient.

[Note: 4.1 is not made under the powers conferred on the PRA by Part V of FSMA (Performance of Regulated Activities). A person notified to the PRA under 4.1 is not subject to the Statements of Principle or Code of Practice for Approved Persons, unless they are also an approved person.]

- 4.2 (1) A *firm* other than a *credit union* must submit the form referred to in 10.1 online using the *ONA system*.
- (2) Where a *firm* is obliged to submit an application online under (1), if the *ONA system* fails and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored:
- (a) a *firm* must submit the form in the way set out in 7.4 to 7.6; and
- (b) the *rules* in relation to non-compliance with *rules* by a *firm* in the case of an emergency do not apply.

5 CORE INFORMATION REQUIREMENTS

- 5.1 A *firm* must give the *PRA* reasonable advance notice of a change in any of the following names, and give details of the new name and the date of the change:
- (1) the *firm's* name (which is the registered name if the *firm* is a *body corporate*); and
- (2) any business name under which the *firm* carries on a *regulated activity* or *ancillary activity* either from an establishment in the *UK* or with or for clients in the *UK*,
- in each case by submitting the form referred to in 10.2 (Standing Data Form).
- 5.2 A *firm* must give the *PRA* reasonable advance notice of a change in any of the following addresses, and give details of the new address and the date of the change:
- (1) the *firm's* principal place of business in the *UK*; and
- (2) in the case of an *overseas firm*, its registered office (or head office) address,
- in each case by submitting the form referred to in 10.2 (Standing Data Form).
- 5.3 A *firm* must give the *PRA* reasonable advance notice of a change in any of the following telephone numbers, and give details of the new telephone number and the date of the change:
- (1) the number of the *firm's* principal place of business in the *UK*; and
- (2) in the case of an *overseas firm*, the number of its head office,

in each case by submitting the form referred to in 10.2 (Standing Data Form).

- 5.4 A *firm* must notify the *PRA* immediately if it becomes subject to or ceases to be subject to the supervision of any *overseas regulator* (including a *Home State regulator*).
- 5.5 (1) A *firm* other than a *credit union* must submit the forms required in 5.1 to 5.3 online using the *ONA system*.
- (2) Where a *firm* is obliged to submit a notice online under (1), if the *ONA system* fails and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored:
- (a) a *firm* must submit any notice required by 5.1 to 5.3 in the way set out in 7.4 to 7.6; and
- (b) the *rules* in relation to non-compliance with *rules* by a *firm* in the case of an emergency do not apply.

6 INACCURATE, FALSE OR MISLEADING INFORMATION

- 6.1 A *firm* must take reasonable steps to ensure that all information it gives to the *PRA* in accordance with a *rule* is:
- (1) factually accurate or, in the case of estimates and judgments, fairly and properly based after appropriate enquiries have been made by the *firm*; and
- (2) complete, in that it should include anything of which the *PRA* would reasonably expect notice.
- 6.2 If a *firm* is unable to obtain the information required in 6.1, then it must inform the *PRA* that the scope of the information provided is, or may be, limited.
- 6.3 If a *firm* becomes aware, or has information that reasonably suggests that it has or may have provided the *PRA* with information which was or may have been false, misleading, incomplete or inaccurate, or has or may have changed in a material particular, it must notify the *PRA* immediately. Subject to 6.4, the notification must include:
- (1) details of the information which is or may be false, misleading, incomplete or inaccurate, or has or may have changed;
- (2) an explanation why such information was or may have been provided; and
- (3) the correct information.
- 6.4 If the information in 6.3(3) cannot be submitted with the notification (because it is not immediately available), it must instead be submitted as soon as possible afterwards.

7 FORM AND METHOD OF NOTIFICATION

- 7.1 A notification required from a *firm* under any *notification rule* must be given in writing, and in English, and must be submitted on the form specified for that *notification rule*, or if no form is

specified, on the form referred to in 10.3 (Notification form), and must give the *firm's* Firm Reference Number unless:

- (1) the *notification rule* states otherwise; or
- (2) the notification is provided solely in compliance with 2.3 or *Fundamental Rule 7*.

7.2 A *firm* must provide a written notification following an oral notification if:

- (1) the *PRA* requests written confirmation of a *firm's* oral notification; or
- (2) a matter either is complex or may be such as to make it necessary for the *PRA* to take action.

7.3 In giving notice to the *PRA*:

- (1) a *firm* must ensure that matters are promptly, properly and clearly communicated to the *PRA*; and
- (2) a *firm* must discuss relevant matters with the *PRA* at an early stage, before making any internal or external commitments.

7.4 Unless stated in the *notification rule*, or on the relevant form (if specified), a written notification required from a *firm* under any *notification rule* must be:

- (1) given to or addressed for the attention of the *firm's* usual supervisory contact at the *PRA*; and
- (2) delivered to the *PRA* by one of the following methods:
 - (a) post to the *PRA's* address;
 - (b) leaving the notification at the *PRA's* address and obtaining a time-stamped receipt;
 - (c) electronic mail to an address for the *firm's* usual supervisory contact at the *PRA* and obtaining an electronic confirmation of receipt;
 - (d) hand delivery to the *firm's* usual supervisory contact at the *PRA*;
 - (e) fax to a fax number for the *firm's* usual supervisory contact at the *PRA* and receiving a successful transmission report for all pages of the notification;
 - (f) online submission via the *PRA's* website at www.bankofengland.co.uk/pr/.

[Note: The current published address of the PRA for postal submission or hand delivery of notifications is 20 Moorgate, London EC2R 6DA.]

7.5 If the *firm* or its *group* is subject to lead supervision arrangements by the *PRA*, the *firm* or *group* may give or address a notice under 7.4(1) to the supervisory contact at the *regulator* designated as lead supervisor, if the *firm* has chosen to make use of the lead supervisor as a central point of contact.

7.6 If a *firm* is a member of a *group* which includes more than one *firm*, any one *undertaking* in the *group* may notify the *PRA* on behalf of all *firms* in the *group* to which the notification applies. In this way, that *undertaking* may satisfy the obligation of all relevant *firms* in the group to notify the *PRA*. Nevertheless, the obligation to make the notification remains the responsibility of the individual *firm* itself.

7.7 If a *notification rule* requires notification within a specified period:

- (1) the *firm* must give the notification so as to be received by the *PRA* no later than the end of that period; and
- (2) if the end of that period falls on a day which is not a *business day*, the notification must be given so as to be received by the *PRA* no later than the first *business day* after the end of that period.

8 SPECIFIC NOTIFICATIONS

8.1 A *CRR firm* must report to the *PRA* immediately any case in which its counterparty in a *repurchase transaction* or securities or commodities lending or borrowing transaction defaults on its obligations.

9 FINANCIAL CONGLOMERATE NOTIFICATIONS

9.1 A *firm* that is a *regulated entity* must notify the *PRA* immediately it becomes aware that any *consolidation group* of which it is a member:

- (1) is a *financial conglomerate*; or
- (2) has ceased to be a *financial conglomerate*.

9.2 (1) A *firm* that is a *regulated entity* must establish whether or not any consolidation group of which it is a member:

- (a) is a *financial conglomerate*; or
 - (b) has ceased to be a *financial conglomerate*,
- if:
- (c) the *firm* believes; or
 - (d) a reasonable *firm* that is complying with the requirements of the *regulatory system* would believe,

that it is likely that (a) or (b) is true.

- (2) A *firm* does not need to determine whether (1)(a) is the case if the *consolidation group* is already being regulated as a *financial conglomerate*.
- (3) A *firm* does not need to determine whether (1)(b) is the case if notification has already been given as contemplated by 9.4.

- 9.3 A *firm* must consider the requirements in 9.2 on a continuing basis, and in particular, when the *group* prepares its financial statements and on the occurrence of an event affecting the *consolidation group*. Such events include, but are not limited to, an acquisition, merger or sale.
- 9.4 A *firm* does not have to give notice to the *PRA* under 9.1 if it or another member of the *consolidation group* has already given notice of the relevant fact to:
- (1) the *PRA*; or
 - (2) (if another *competent authority* is *coordinator* of the *financial conglomerate*) that *competent authority*; or
 - (3) (in the case of a *financial conglomerate* that does not yet have a *coordinator*) the *competent authority* who would be *coordinator* under Article 10(2) of the *Financial Groups Directive* (Competent authority responsible for exercising supplementary supervision (the *coordinator*)).
- 9.5 (1) A *firm* must, at the level of the *EEA financial conglomerate*, regularly provide the *PRA* with details on the *financial conglomerate's* legal structure and governance and organisational structure, including all *regulated entities*, non-regulated subsidiaries and significant *branches*.
- (2) A *firm* must disclose publicly, at the level of the *EEA financial conglomerate*, on an annual basis, either in full or by way of references to equivalent information, a description of the *financial conglomerate's* legal structure and governance and organisational structure.
- (3) For the purposes of (1) and (2), where a *firm* is a member of an *EEA financial conglomerate* which is part of a wider *UK regulated EEA financial conglomerate*, reporting applies only at the level of the *EEA parent mixed financial holding company* or *ultimate EEA mixed financial holding company*.

10 FORMS

- 10.1 Form F can be found [here](#).
- 10.2 The Standing Data Form can be found [here](#).
- 10.3 The Notification Form can be found [here](#).

Annex C

Form F



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://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

1 April 2013

Name of notified person[†]
(to be completed by applicant)

Name of firm[†]

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

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

[†]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

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

Details of notified person

Is the notified person an approved person?

YES NO

1.01 a If 'yes' Notified person's Individual Reference Number (IRN)[†]

b OR name of previous regulatory body[†]

c AND previous reference number[†]

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[†] / /

1.07 National Insurance number[†]

1.08 Previous name[†]

1.09 Date of change[†] / /

1.10 Reason for change[†]

1.11 a Nationality[†]

b Passport Number[†]
(If National Insurance number not available)

1.12 Place of birth[†]

 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

2.01 Name of *firm* making the application[†]

2.02 a *Firm* Reference Number (FRN)[†]

2.03 a Name of Home State regulator[†]

b Country[†]



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

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

Employment history for past 5 years

Section 4

Please start with the most recent employment. †

Note: ALL gaps in employment must be accounted for

† 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

4.01 Employment details (1)

a	Period (mm/yyyy) [†]	From /	To /												
b	Nature of employment [†]	<table border="0" style="width: 100%;"> <tr> <td style="padding-right: 20px;"><i>a</i> Employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>b</i> Self-employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>c</i> Unemployed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><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 [†]														
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 <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body												
h	Is / was employer an <i>appointed representative/tied agent</i> [†]	Yes <input type="checkbox"/> No <input type="checkbox"/>	If yes, of which firm?												
i	Position held [†]														
j	Responsibilities [†]														
k	Reason for leaving [†]	<table border="0" style="width: 100%;"> <tr> <td style="padding-right: 20px;"><i>a</i> Resignation</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>b</i> Redundancy</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>c</i> Retirement</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>d</i> Termination/dismissal</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>e</i> End of contract</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><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 [†]														
	I have supplied further information related to this in Section 6 [†]	YES <input type="checkbox"/>	NO <input type="checkbox"/>												

4.02 a	Period (mm/yyyy) [†]	From /	To /				
b	Nature of employment [†]	<table border="0" style="width: 100%;"> <tr> <td style="padding-right: 20px;"><i>a</i> Employed</td> <td style="text-align: right;"><input type="checkbox"/></td> </tr> <tr> <td><i>b</i> Self-employed</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>a</i> Employed	<input type="checkbox"/>						
<i>b</i> Self-employed	<input type="checkbox"/>						

- c Unemployed
- d Full-time education

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
- b Redundancy
- c Retirement
- d Termination/dismissal
- e End of contract
- f Other

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

4.03 Employment details (3)

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 <input type="checkbox"/> No <input type="checkbox"/>	Name of regulatory body
h	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> ?
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 [†]		

[†] 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

4.04 Employment details (4)

a	Period (mm/yyyy) †	From / To /												
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 †													
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? †	<table border="0" style="width: 100%;"> <tr> <td style="width: 15%;">Yes <input type="checkbox"/></td> <td style="width: 15%;">No <input type="checkbox"/></td> <td style="width: 70%;">Name of regulatory body</td> </tr> <tr> <td colspan="3" style="border: 1px solid gray; height: 20px;"></td> </tr> </table>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Name of regulatory body									
Yes <input type="checkbox"/>	No <input type="checkbox"/>	Name of regulatory body												
h	Is / was employer an <i>appointed representative/tied agent</i> †	<table border="0" style="width: 100%;"> <tr> <td style="width: 15%;">Yes <input type="checkbox"/></td> <td style="width: 15%;">No <input type="checkbox"/></td> <td style="width: 70%;">If yes, of which <i>firm</i>?</td> </tr> <tr> <td colspan="3" style="border: 1px solid gray; height: 20px;"></td> </tr> </table>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, of which <i>firm</i> ?									
Yes <input type="checkbox"/>	No <input type="checkbox"/>	If yes, of which <i>firm</i> ?												
i	Position held †													
j	Responsibilities †													
k	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

4.05 Employment details (5)

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? †		
h	Is / was employer an <i>appointed representative/tied agent</i> †		
i	Position held †		
j	Responsibilities †		
k	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

5.01	a	Has the notified person ever 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	Is the notified person the subject of any current criminal proceedings?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	c	Has the notified person ever been given a caution in relation to any criminal offence	Yes <input type="checkbox"/>	No <input type="checkbox"/>
		*		
5.02		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"/>
5.03	a	Has the notified person ever 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	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	ii.	more than £1,000 in total of CCJs or judgment debts?		
	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"/>
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 <input type="checkbox"/>	No <input type="checkbox"/>
5.05		Has the notified person ever failed to satisfy any such judgment debts within one year of the making of the order?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
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 <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

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 <input type="checkbox"/> No <input type="checkbox"/>
5.07	Does the notified person have any outstanding financial obligations arising from <i>regulated activities</i> , which the notified person has carried on in the past (whether or not in the <i>United Kingdom</i>)? (In the case of <i>advisers</i> , this will include any outstanding liabilities arising from commissions paid for the sale of <i>packaged products</i> that have lapsed.)	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.08	Has the notified person ever been found guilty of carrying on any unauthorised <i>regulated activities</i> or been investigated for the possible carrying on of unauthorised <i>regulated activities</i> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
5.10	Has the notified person ever (whether or not in the <i>United Kingdom</i>) –	
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 <input type="checkbox"/> No <input type="checkbox"/>
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 <input type="checkbox"/> No <input type="checkbox"/>
c	been disqualified by a court from acting as a <i>director</i> of a <i>company</i> or from acting in a management capacity or conducting the affairs of any <i>company, partnership</i> or <i>unincorporated association</i> ?	Yes <input type="checkbox"/> No <input type="checkbox"/>
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 notice that such a direction or order be made?	Yes <input type="checkbox"/> No <input type="checkbox"/>
5.11	In relation to activities regulated by the <i>FCA</i> and/or <i>PRA</i> 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 ?	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

- b been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action **by any such body**? Yes No
- c resigned whilst under investigation by, or been required to resign from, **any such body**? Yes No
- 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? Yes No
- 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

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? Yes No
- b been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct? Yes No
- 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? Yes No
- 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)) 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[†] 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

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

Supporting Documents[†]

Indicate the required supporting documents to accompany this form.

Documents	Mode (Send by Email, Post, or by Fax)

Other 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

DECLARATION OF NOTIFIED PERSON[†]

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[†]

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.

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[†]

7.02 Signature^{*}

Date[†] / /

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

* 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) appears on the electronic form submission only. It does not appear on a paper 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

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 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*.

Name of the *firm* submitting the application[†]

7.03

7.04 Name of *person* signing on behalf of the *firm*[†]

7.05 Job title[†]

7.06 Signature^{*}

Date[†]

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

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) 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

‡ 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

† 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

Form F – Changes in notified persons
Version 5

Annex D
Standing Data Form



This form may be completed on screen and printed, or printed for completion by hand.

NOTE: You cannot save the form if you are completing it using Acrobat Reader. It is therefore advisable to assemble all the information you require before completing the form.

Print as many copies as you require before quitting

This form can be saved if you are using the full Acrobat application.

All fields except Signatures may be completed on screen.

Text in blue will not print.

Standing Data

**To update firm name and trading names, website address,
accounting reference date, auditors, locum, contacts and addresses.**

SUP 15 Annex 3R – Notifications under SUP 16.10

(April 2013)

Click in any field to enter text. Press tab to go to next field.

Firm name

("The Firm")

Firm reference number

Address

Please return the form, marked for the attention of the Customer Contact Centre to:

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

Telephone +44 (0) 20 7066 1000
Facsimile +44 (0) 20 7066 1099

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

NOTES

This form should be used to update your *firm* name and trading name(s), website address, accounting reference *date*, auditors, locum, contacts and addresses.

Personal Details

Section A

1 Contact Name for this notification

*

2 Contact's Details:

a Position in the firm

*

b Daytime telephone number

*

c E-mail address

d Individual reference number (IRN), if applicable

Change Full Name of *Firm*

Section B

If you wish to advise the *FCA* or *PRA* of a change to the firm's name please enter the following details, otherwise proceed to Section C1.

Note: this section is not intended to be used by firms that are covered by Industrial & Provident, Friendly Society, Credit Union or Building Society legislation. These firms should contact the *FCA*'s Mutuels Team.

Current Legal Status:

(a) Private Limited Company

(b) Public Limited Company

(c) Limited Liability Partnership

(d) Limited Partnership

(e) Sole Trader

(f) Unlimited Liability Company

(g) Partnership

(h) **Other, please specify below**

1 New full name of *firm*

*

2 Please enter the date on which the change becomes effective

/ /

Yes No N/A

3 Has the change requested been approved by Companies House?

If your *firm* is a UK registered limited company (including PLC), limited partnership (if registered at Companies House), *limited liability partnership* or unlimited liability company, you should only make a change to your *firm* name if the change has already been approved by Companies House.

If you have answered 'Not Applicable', please explain why below:

4 I confirm that the change requested does not constitute a change of legal status.

Add New Trading Name(s) †**Section C1**

If you wish to add a new trading name of the firm please enter the following details, otherwise please proceed to Section C2:

- | | | | |
|-----------|---|--|---|
| 1 | New Trading Name | <input type="text"/> | * |
| 1a | Please enter the date on which the change becomes effective | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 2 | New Trading Name | <input type="text"/> | * |
| 2a | Please enter the date on which the change becomes effective | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 3 | New Trading Name | <input type="text"/> | * |
| 3a | Please enter the date on which the change becomes effective | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 4 | New Trading Name | <input type="text"/> | * |
| 4a | Please enter the date on which the change becomes effective | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |

Delete Current Trading Name(s)

If you wish to delete a trading name of the firm please enter the following details, otherwise please proceed to Section D:

- | | | | |
|-----------|---|--|---|
| 1 | Trading name to be deleted | <input type="text"/> | * |
| 1a | Please confirm when the trading name must cease: | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 1b | I confirm that the above trading name will not be used by the firm from the date indicated above. | | |
| 2 | Trading name to be deleted | <input type="text"/> | * |
| 2a | Please confirm when the trading name must cease: | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 2b | I confirm that the above trading name will not be used by the firm from the date indicated above. | | |
| 3 | Trading name to be deleted | <input type="text"/> | * |
| 3a | Please confirm when the trading name must cease: | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 3b | I confirm that the above trading name will not be used by the firm from the date indicated above. | | |
| 4 | Trading name to be deleted | <input type="text"/> | * |
| 4a | Please confirm when the trading name must cease: | <input type="text"/> / <input type="text"/> / <input type="text"/> | * |
| 4b | I confirm that the above trading name will not be used by the firm from the date indicated above. | | |

If you wish to change the contact details of the Complaints Officer or Primary Compliance Contact please enter the following details, otherwise please proceed to Section E1:

Please note that this will not change your approved person records. If you want to change these records, please complete the appropriate Approved Persons Form.

Please indicate which contact this change applies to. If you wish to change the details for both please copy this form and record the details for each on separate forms, unless the details are the same.

(a) Complaints Officer

(b) Primary Compliance Contact

1 Title

*

2 Forename(s)

*

3 Surname

*

4 Job Title

5 Email address

6 Phone number. This must be a direct dialled number.

*

7 Fax Number

8 Please enter the date on which the change becomes effective.

/ /

*

9 Address

*

Postcode:

10 If you would also like the contact details of the following to be changed, please tick the appropriate boxes. This will amend the contact details in line with the changes recorded above.

Complaints Contact

Primary Compliance Contact

(c) Customer Services

(d) EEA Branch Address

Page 6

* Denotes a mandatory field

(e) Firm Association Branch

(f) Professional Advisor

Please enter the new address details:

2 Address

*

Postcode:

3 Telephone number.

*

4 Fax Number

5 Email address

6 Please enter the date on which the change becomes effective.

/ /

*

1 Please enter the following details to change your accounting reference date:

- (a) Current Accounting Reference Date (dd/mm) / *
- (b) New Accounting Reference Date (dd/mm) / *

2 What accounting periods will result from the change? The new accounting reference date that you have entered could result in several different periods depending on whether you want to extend or reduce your periods and which period is the first period affected.

Although the *FCA* or *PRA* may accept accounting periods of up to 18 months, SUP 16.3.18G advises firms that accounting periods longer than 15 months may be deemed unacceptable as this may hinder the timely provision of relevant and important information to the *FCA* or *PRA*. If a firm wishes to have an accounting period of longer than 18 months (sole traders and certain partnerships), the firm must apply to the *FCA* in writing.

Please detail the start and end dates for the current accounting period and the two following periods below:

- | | | | | | | | | | | | |
|-----|----------------|----------------------|---|----------------------|---|----|----------------------|---|----------------------|---|---|
| (a) | Current Period | <input type="text"/> | / | <input type="text"/> | / | to | <input type="text"/> | / | <input type="text"/> | / | * |
| (b) | Next Period | <input type="text"/> | / | <input type="text"/> | / | to | <input type="text"/> | / | <input type="text"/> | / | * |
| (c) | Next Period 2 | <input type="text"/> | / | <input type="text"/> | / | to | <input type="text"/> | / | <input type="text"/> | / | * |

Note the change that you have requested will result in a change to your reporting timetable.

3 I confirm the change requested above and that it is correctly represented by the accounting periods listed.

Please enter the new website address:

1 Website (format – www.fca.org.uk):

Please enter the following details to change your Auditor's details:

1 Firm name

2 Address

*

Postcode:

3 Telephone number.

*

4 Fax Number

5 Email address

6 Effective date

/ /

*

Change Locum Details†

Section H2

Please enter the following details to change your Locum's details:

1 Title

2 Forename(s)

3 Surname

4 Firm name

*

5 Address

*

Postcode:

6 Telephone number.

[Redacted] *

7 Fax Number

[Redacted]

8 Email address

[Redacted]

6 Effective date

[Redacted] / / *

Warning

Knowingly or recklessly giving the *FCA* 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 15.6.4R requires an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* or *PRA* and to notify the *FCA* or *PRA* *immediately if materially inaccurate information has been provided*. *Contravention of these requirements* may lead to disciplinary sanctions or other enforcement action by the *FCA* or *PRA*. It should not be assumed that information is known to the *FCA* or *PRA* merely because it is in the public domain or has previously been disclosed to the *FCA* or *PRA* 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, the personal information in this form will be used by the Financial Conduct Authority and the Prudential Regulation Authority to discharge their 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.

Declaration

By submitting this notification form

I/we confirm that the information contained in this form 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* or *PRA* information that is false or misleading in a material particular.

I/we confirm that, for those questions that do not require supporting evidence, the records which demonstrate the firm's compliance with the rules in relation to the questions will be available to the *FCA* or *PRA* on request.

I/we will notify the *FCA* or *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 enforcement action.

Date

Name of first signatory¹

Position² of first signatory

Individual Reference Number (IRN)

Signature

Name of second signatory¹

Position² of second signatory

Individual Reference Number (IRN)

Signature

¹ For a sole trader, the signature of the principal is required.
For a limited company, the signature of two directors or one director and the company secretary is required.
For a partnership, the signature of at least one partner is required.

² e.g. director, partner or sole trader

Annex E
Notification Form



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Notification Form

(April 2013)

Firm name

("The Firm")

Firm Reference Number

Address

Please return the form, marked for the attention of your relevant supervisory contact as appropriate:

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London
E14 5HS United Kingdom
www.fca.org.uk
fcc@fca.org.uk

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA

www.bankofengland.co.uk/PRA

PRA.firmenquiries@bankofengland.co.uk

Telephone +44 (0) 20 7066 1000

Telephone +44 (0) 20 3461 7000

Facsimile +44 (0) 20 7066 1099

The Financial Conduct Authority is registered as a Limited Company in England and Wales No 1920623. Registered Office as above.

The Prudential Regulation Authority is registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

1 Contact Name for this form *

2 Contact's Details:

a Position in the firm *

b Daytime telephone number *

c E-mail address

d Individual reference number (IRN), if applicable

Type of notification

Section B

There are circumstances where a firm must disclose information to the FCA and/or PRA in a timely manner, including:-

- where a rule has been breached;
- where the firm fails to satisfy a threshold condition (these can be found in Schedule 6 of the Financial Services and Markets Act 2000);
- where a matter occurs which could have a significant adverse impact on a firm, including its ability to provide adequate services to a customer;
- where a particular notifiable event may have occurred.

A consolidated summary of some of the notification rules is in the Handbook, Schedule 2 of the Supervision Modules (SUP). Also, Principle for Businesses No 11 requires a firm to disclose appropriately any information of which the FCA and/or PRA would reasonably expect notice. Other notification requirements are listed in Schedule 2 of many of the other FCA and PRA Modules within the Handbook. This form allows you to make any of these notifications.

3 To help us process your notification efficiently, please select at least one of the categories below:*

Finance/capital issues †

For example:

- breach of capital requirements;
- excess in allowed large exposures requirements;
- qualification in audited annual accounts (financial issue); and
- insolvency, bankruptcy or winding up.

Client money issues



For example:

- negative client money account; and
- notifiable issue in client assets report.

Professional indemnity insurance (PII) cover



For example:

- cover not renewed;
- cover exhausted; and
- cover does not meet FCA or PRA requirements.

Complaints, including a decision not to pay a Financial Ombudsman Service award



Fraud, error or other irregularities



For example:

- fraud on the firm (actual or attempted);
- fraud by staff (actual or attempted); and
- money laundering issues.

Litigation/disciplinary issues, including civil, criminal or disciplinary proceedings against the firm or any of its representatives.



Other rule breaches (not included above).



Other notification requirements (not relating to a rule breach)



For example:

- a repayment of a subordinated loan (see the Supervision manual (SUP) 15.3.8(3)(a**b**)G for more information); or
- any proposed restructuring, reorganisation or business expansion that could have a significant impact on the firm's risk profile and resources.

This Notification should form should not be used for the following purposes:

- changes to Standing Data e.g. change of firm name, address, contact details, website, auditor, accounting reference date. (These changes need to be made via the FCA and PRA Standing Data form); or
- Whistle blowing e.g. revealing a suspected wrongdoing in an organisation. In these circumstances you should email whistle@fca.org.uk or write in or phone us.

Please see our website for more details.

Yes No

4 Has the notifiable event occurred? *

4a If selected 'Yes', on what date did the event occur (record last applicable date)?

/ /

4b If selected 'No', what is the probability of the event occurring?

5 If this notification is about a specific rule, threshold condition and/or principle, please record its reference if known:

6 What are the details of the notification? *

7 What (if any) is the impact of the notification?

Yes No N/A

8 If relevant, have you resolved the issue?

† † †

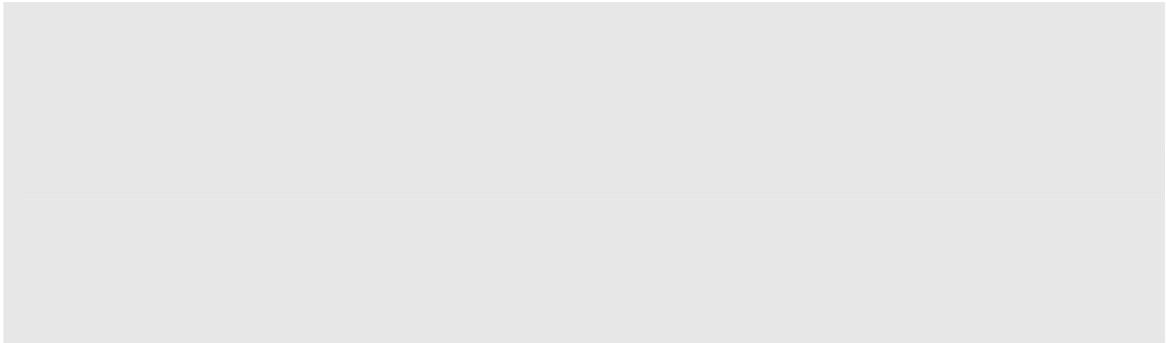
8a If answered 'Yes'. When did you resolve the issue (end date)?

/ /

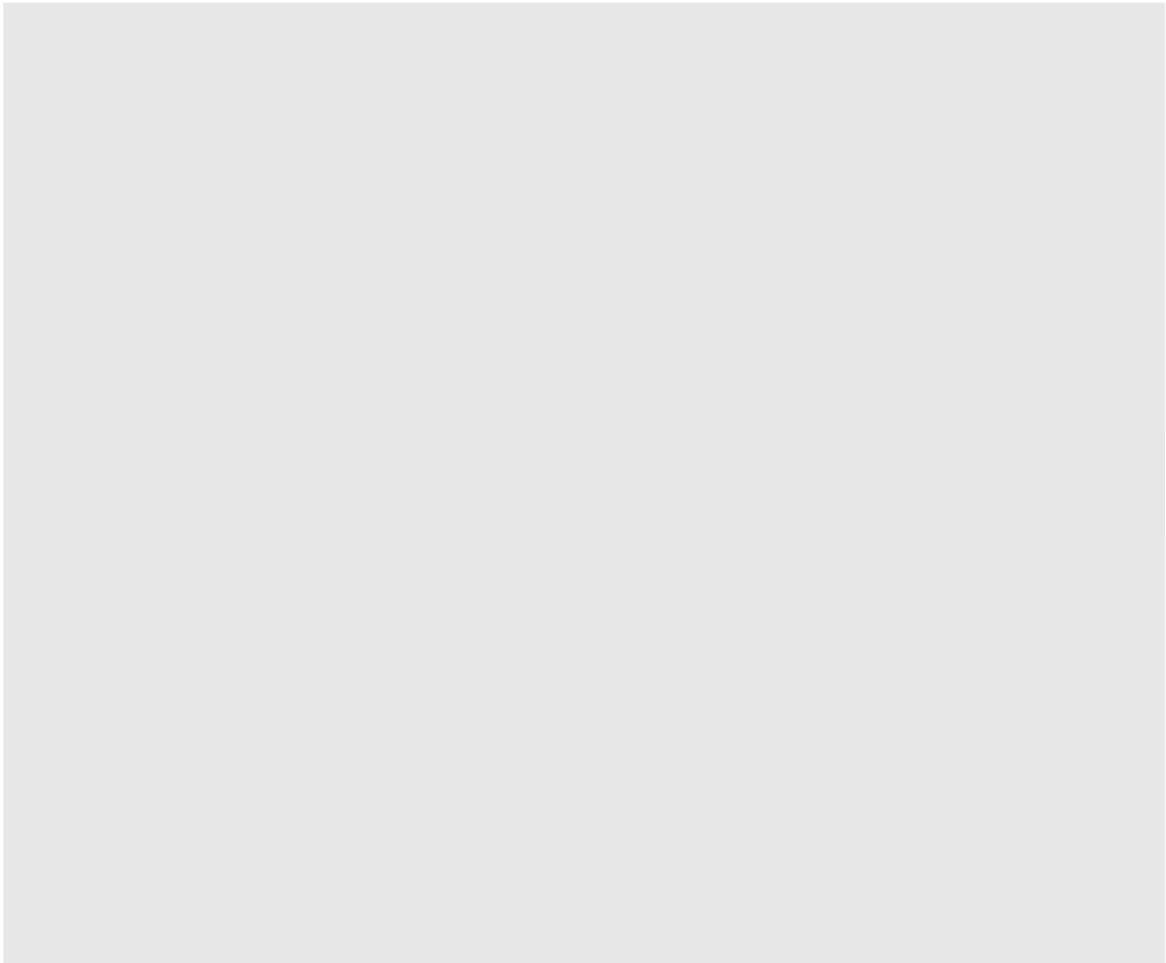
How was the issue resolved?

8b If answered 'No', what action (if any) will you be taking?

8c If answered 'Not applicable', please explain why below:

A large, empty grey rectangular box intended for the user to provide an explanation if they answered 'Not applicable' to question 8c.

9 If you have any additional information to add to this form, please enter it below or attach it as a document. (Please remember to mark attachments with the firm's name and FRN, and the question number to which the document relates.)

A large, empty grey rectangular box intended for the user to provide additional information or attach documents related to question 9.

Warning

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 15.6.4R requires 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. 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. 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, the personal information in this form will be used by the Financial Conduct Authority and/or the Prudential Regulation Authority 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.

Declaration

By signing this form

- 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 and/or PRA information that is false or misleading in a material particular.
- Some questions do not require supporting evidence. However, the records, which demonstrate the applicant firm's compliance with the rules in relation to the questions, must be available to the FCA and/or PRA on request.
- I/we will notify the FCA and/or 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.

Date	<input type="text"/>
Name of first signatory ¹	<input type="text"/>
Position ² of first signatory	<input type="text"/>
Individual Registration Number	<input type="text"/>
Signature	<input type="text"/>
Name of second signatory	<input type="text"/>
Position of second signatory	<input type="text"/>
Individual Registration Number	<input type="text"/>
Signature	<input type="text"/>

¹ For a sole trader, the signature of the principal is required.
 For a limited company, the signature of two directors or one director and the company secretary is required.
 For a partnership, the signature of at least one partner is required.

² e.g. Director, Partner or Sole Trader.