

## Chapter 5

# Concentration risk



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## Notification under MIFIDPRU 5.6.3R and 5.9.3R that limits for concentration risk have been exceeded

[Editor's note: The forms can be found at this address: [https://www.handbook.fca.org.uk/form/MIFIDPRU 5 Annex 1R\(A\) Notification under MIFIDPRU 5.6.3R that the concentration risk soft limit has been exceeded.pdf](https://www.handbook.fca.org.uk/form/MIFIDPRU%205%20Annex%201R(A)%20Notification%20under%20MIFIDPRU%205.6.3R%20that%20the%20concentration%20risk%20soft%20limit%20has%20been%20exceeded.pdf)]

[https://www.handbook.fca.org.uk/form/MIFIDPRU 5 Annex 1R\(B\) Notification under MIFIDPRU 5.9.3R of the concentration risk hard limit breach.pdf](https://www.handbook.fca.org.uk/form/MIFIDPRU%205%20Annex%201R(B)%20Notification%20under%20MIFIDPRU%205.9.3R%20of%20the%20concentration%20risk%20hard%20limit%20breach.pdf)