

MIFIDPRU 1 Annex 3R

Notification under MIFIDPRU 1.2.13R(2)(b) that a non-SNI investment firm/group qualifies to be reclassified as an SNI investment firm/group

Details of Senior Manager responsible for this notification:

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

Name of individual	
Job title / position	
Individual reference number (if applicable)	

You must use this form to notify the FCA that the firm/group qualifies to be reclassified as a small and non-interconnected investment firm/group (SNI). The reclassification will be effective from the date of this notification.

1. Please confirm in respect of which of the following this notification is being made (select one):

- a. the SNI status of a MIFIDPRU investment firm
- b. the consolidated SNI status of an investment firm group
- c. the SNI status of a MIFIDPRU firm and the investment firm group it is part of

This option should be selected if both the MIFIDPRU investment firms and the group it is part of qualify to be reclassified from the same date. Otherwise, separate notification forms should be submitted.

2. Please confirm the FRN(s) and name(s) of the MIFIDPRU investment firm and/or the consolidating UK parent entity on whose behalf this notification is being made:

FRN	Entity name

3. Please confirm that the firm/group has continued to satisfy all the conditions in MIFIDPRU 1.2.1R for a continuous period of at least 6 months up to the date of this notification.

Yes