MIFIDPRU 3 Annex 5R

Notification under MIFIDPRU 3.6.3R of the intended reduction in own funds instruments where a condition in MIFIDPRU 3.6.4R applies

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)	

1. Please confirm which of the following the notifying entity is:

a.	MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking	☐
b.	MIFIDPRU investment firm that is a consolidating UK parent entity	☐
c.	MIFIDPRU investment firm that is a GCT parent undertaking	☐
d.	Consolidating UK parent entity (other than a MIFIDPRU investment firm)	☐
e.	GCT parent undertaking (other than a MIFIDPRU investment firm)	☐

If the notification concerns more than one firm in the consolidated group, please submit separate notifications for each firm.

2. Please confirm to which of the following the application relates:

   a. Permission to reduce, redeem or repurchase any of its CET1 instruments ☐

   b. Permission to reduce, distribute or reclassify as another own funds item the share premium accounts related to any of its own funds instruments; or ☐

   c. Permission to effect the call, redemption, repayment or repurchase of its additional tier 1 instruments or tier 2 instruments prior to the date of their contractual maturity. ☐

3. Date of the intended capital reduction:

DD/MM/YYYY

The intended reduction must not take place until at least 20 business days after this notification is made.

4. The amount of the intended reduction:

£

5. A firm may only make use of this notification procedure if one of the conditions in MIFIDPRU 3.6.4R are met, otherwise it must apply for permission under MIFIDPRU 3.6.2R. Please explain the basis on which the firm has concluded that one of the conditions in MIFIDPRU 3.6.4R applies.