

## Notification under MIFIDPRU for which there is no dedicated notification form

**NOTE:** This form must **not** be used to:

- submit a notification where MIFIDPRU contains a separate dedicated form for that notification. In that case, the dedicated form must be used instead; or
- make a notification for purposes that are not connected with MIFIDPRU. A firm that needs to make a notification for other purposes should refer to the provisions in SUP 15.

This form is relevant only to notifications under MIFIDPRU for which no other notification form is provided.

Name 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 is making this notification:

- 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)

2. If this application is being made on behalf of other entities within the same group, please identify those other entities below:

FRN	Entity name

3. Please identify below the rule in MIFIDPRU that relates to the notification you are making. Where the notification relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard **and** the MIFIDPRU rule that applies it.

MIFIDPRU rule	
UK CRR provision (if applicable)	
Binding technical standard provision (if applicable)	

4. Please provide details of the matter to which this notification relates.

Where a MIFIDPRU rule, UK CRR provision or binding technical standard provision that you have identified in question 3 requires particular information to be provided in the notification, you must include that information.

If you attach supporting documents relating to this notification, please tick the box below.

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Supporting document(s) attached