



Application number  
(for FCA/PRA use only)

The FCA and PRA have produced notes which will assist both the applicant and the candidate in answering the questions in this form. Please read these notes, which are available on both FCA and PRA websites at:

- <https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>
- <http://www.bankofengland.co.uk/PRA>

Both the applicant and the candidate 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.

## Long Form A – UK and Overseas Firms (not Incoming EEA)

### Application to perform controlled functions under the approved persons regime

FCA Handbook Reference: SUP 10A Annex 4D

PRA Handbook Reference: SUP 10B Annex 4D

18 September 2015

Name of *candidate*<sup>†</sup>  
(to be completed by applicant firm)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

*Firm* reference number<sup>†</sup>  
(as entered in 2.02)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 300 500 0597  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto: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](mailto:PRA.firmenquiries@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

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

Registered as a Limited Company in England and Wales No 07854923. Registered Office: 8 Lothbury Road, London, EC2R 7HH

1.01	a	<i>Candidate</i> Individual Reference Number (IRN) †	
	b	OR name of previous regulatory body †	
	c	AND previous reference number (if applicable) †	
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 (dd/mm/yyyy) †	
1.07		National Insurance number †	
1.08		Previous name †	
1.09		Date of name change †	
1.10	a	Nationality †	
	b	Passport number (if National Insurance number not available) †	
1.11		Place of birth †	


**I have supplied further information related to this page 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

1.12 a Private address<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]

1.14 a Previous address 2<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

2.01	Name of <i>firm</i> making the application	
2.02	Firm Reference Number (FRN)	
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	
b	Position	
c	Telephone	
d	Fax	
e	E-mail	



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

**3.01** Nature of the arrangement between the candidate and the applicant.

<i>a</i>	Employee	<input type="checkbox"/>
<i>b</i>	Group employee	<input type="checkbox"/>
	Name of group	
<i>c</i>	Contract for services	<input type="checkbox"/>
<i>d</i>	Partner/Sole trader	<input type="checkbox"/>
<i>e</i>	Appointed representative/tied agent – customer function	<input type="checkbox"/>
	AR firm name and reference number	
<i>f</i>	Appointed representative/tied agent – governing function	<input type="checkbox"/>
	AR firm name and reference number	
<i>g</i>	Other	<input type="checkbox"/>
	Give details	

**3.02** For applications from a single firm, please tick the boxes that correspond to the controlled functions to be performed. If the controlled functions are to be performed for more than one firm, please go to question **3.05**

<b>a</b>	<b>Significant influence functions</b>	<table border="0"> <tr><td>CF 1</td><td>Director function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 2</td><td>Non-executive director function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 3</td><td>Chief executive function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 4</td><td>Partner function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 5</td><td>Director of an unincorporated association function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 6</td><td>Small friendly society function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> </table>	CF 1	Director function	<input type="checkbox"/>	CF 2	Non-executive director function	<input type="checkbox"/>	CF 3	Chief executive function	<input type="checkbox"/>	CF 4	Partner function	<input type="checkbox"/>	CF 5	Director of an unincorporated association function	<input type="checkbox"/>	CF 6	Small friendly society function	<input type="checkbox"/>															
CF 1	Director function	<input type="checkbox"/>																																	
CF 2	Non-executive director function	<input type="checkbox"/>																																	
CF 3	Chief executive function	<input type="checkbox"/>																																	
CF 4	Partner function	<input type="checkbox"/>																																	
CF 5	Director of an unincorporated association function	<input type="checkbox"/>																																	
CF 6	Small friendly society function	<input type="checkbox"/>																																	
	<b>Significant influence functions</b>	<table border="0"> <tr><td>CF 8</td><td>Apportionment and oversight function <small>(this function is not applicable to all firms please refer to Notes for Completing Form A)</small></td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 10</td><td>Compliance oversight function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 10a</td><td>CASS operational oversight function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 11</td><td>Money laundering reporting function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 12</td><td>Actuarial function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 12A</td><td>With-profits actuary function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 12B</td><td>Lloyd's Actuary function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 28</td><td>System and controls function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 29</td><td>Significant management function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 40</td><td>Benchmark submission function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> <tr><td>CF 50</td><td>Benchmark administration function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> </table>	CF 8	Apportionment and oversight function <small>(this function is not applicable to all firms please refer to Notes for Completing Form A)</small>	<input type="checkbox"/>	CF 10	Compliance oversight function	<input type="checkbox"/>	CF 10a	CASS operational oversight function	<input type="checkbox"/>	CF 11	Money laundering reporting function	<input type="checkbox"/>	CF 12	Actuarial function	<input type="checkbox"/>	CF 12A	With-profits actuary function	<input type="checkbox"/>	CF 12B	Lloyd's Actuary function	<input type="checkbox"/>	CF 28	System and controls function	<input type="checkbox"/>	CF 29	Significant management function	<input type="checkbox"/>	CF 40	Benchmark submission function	<input type="checkbox"/>	CF 50	Benchmark administration function	<input type="checkbox"/>
CF 8	Apportionment and oversight function <small>(this function is not applicable to all firms please refer to Notes for Completing Form A)</small>	<input type="checkbox"/>																																	
CF 10	Compliance oversight function	<input type="checkbox"/>																																	
CF 10a	CASS operational oversight function	<input type="checkbox"/>																																	
CF 11	Money laundering reporting function	<input type="checkbox"/>																																	
CF 12	Actuarial function	<input type="checkbox"/>																																	
CF 12A	With-profits actuary function	<input type="checkbox"/>																																	
CF 12B	Lloyd's Actuary function	<input type="checkbox"/>																																	
CF 28	System and controls function	<input type="checkbox"/>																																	
CF 29	Significant management function	<input type="checkbox"/>																																	
CF 40	Benchmark submission function	<input type="checkbox"/>																																	
CF 50	Benchmark administration function	<input type="checkbox"/>																																	
<b>b</b>	<b>Customer function</b>	<table border="0"> <tr><td>CF 30</td><td>Customer function</td><td style="text-align: right;"><input type="checkbox"/></td></tr> </table>	CF 30	Customer function	<input type="checkbox"/>																														
CF 30	Customer function	<input type="checkbox"/>																																	

**3.03** Effective date of controlled functions indicated above †

**3.04** Job title (mandatory for controlled function 28 & 29) †  
Please refer to notes on the

† 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

requirements for submitting a CV

**Insurance mediation**

Will the candidate be responsible for Insurance mediation at the firm?

(Note: Yes can only be selected if the individual is applying for (CF1, 3-8 or 29)

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

**3.05**

**Complete this section only if the application is on behalf of more than one firm.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.<sup>†</sup>

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Controlled function</b>	<b>Job title</b> (mandatory for controlled function 28 & 29)	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



I have supplied further information related to this page in Section 6

YES

NO

<sup>†</sup> 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

N.B.: ALL gaps must be accounted for

**4.01 Employment details (1) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details		<input type="text"/>		
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
		<input type="text"/>			
<b>h</b>	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> ?	
		<input type="text"/>			
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<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	<input type="text"/>			

† 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16



**4.02 Employment details (2) †**

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details				
	<input type="text"/>				
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
		<input type="text"/>			
<b>h</b>	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> ?	
		<input type="text"/>			
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<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	<input type="text"/>			



I have supplied further information related to this page 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

**5.01 Criminal Proceedings**

When answering the questions in this section the candidate should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the candidate is subject to the law of England and Wales, the candidate must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the candidate is subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

<b>5.01.1a</b>	Has the <i>candidate</i> <b>ever</b> been convicted of any criminal offence (whether spent or not and whether or not in the <i>United Kingdom</i> ): <ul style="list-style-type: none"> <li>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</li> <li>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>?</li> </ul>	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	Has the <i>candidate</i> <b>ever</b> been given a caution in relation to any criminal offence?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.2</b>	Has the <i>candidate</i> any convictions for any offences other than those in 5.01.1 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"/>
<b>5.01.3</b>	Is the <i>candidate</i> the subject of any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.01.4</b>	Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?	YES <input type="checkbox"/> NO <input type="checkbox"/>

In answering question 5.01.4, you should include all matters even where the candidate was not the subject of the investigation.

I have supplied further information related to this page in Section 6<sup>†</sup>    YES       NO

<sup>†</sup> 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 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

**5.01.5** Has any firm at which the *candidate* holds or has held a position of influence ever:

- |          |  |                              |                             |
|----------|--|------------------------------|-----------------------------|
| <b>a</b> | Been convicted of any criminal offence?<br>(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been the subject of any criminal proceeding which has not resulted in a conviction?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

## 5.02 Civil Proceedings

- 5.02.1** Has the candidate, **ever** been the subject of a judgement debt or award against the candidate? YES  NO
- Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.
- You should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and
- i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and
- ii) the total number of all judgment debts, awards or CCJs ordered.
- 5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.02.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.) YES  NO
- 5.02.3** Is the candidate aware of:
- a** Any proceedings that have begun or anyone's intention to begin proceedings against the candidate, for a CCJ or another judgement debt? YES  NO
- b** More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt? YES  NO
- c** Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the candidate? YES  NO
- 5.02.4** Does the candidate have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part? YES  NO
- 5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made? YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

<b>5.02.6</b>	Has the <i>candidate</i> ever:		
<b>a</b>	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the candidate'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"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:		
<b>a</b>	Party to any civil proceedings? (including those covered in 5.02.7 above)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the candidate? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.10</b>	Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been:		
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	The subject of a judgement debt or award against the firm? (You should include all CCJs made against the firm, whether satisfied or not.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16

**5.02.11** Is any firm at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, 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



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

### 5.03 Business and Employment Matters

5.03.1 Has the *candidate* ever been:

**a** Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the candidate?

YES  NO

**e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)

YES  NO

5.03.2 Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

5.03.3 Does the *candidate* have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

**5.04 Regulatory Matters**

**5.04.1** In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see section 5 guidance notes), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the candidate is or has been a controller, director, senior manager, partner or company secretary, during the candidate's association with the entity and for a period of three years after the candidate ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	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 <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	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 indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>

➔ I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16



**5.04.2** In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any firm at which the *candidate* holds or has held a position of influence at any time during and within one year of the candidate's association with the firm ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?                 | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?                      | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought

YES  NO

**5.05.2** Are you aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES  NO

<sup>†</sup> 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  
Long Form A – UK and Overseas  
Application to perform controlled functions under the approved persons regime  
Version 16

- 6.00
- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
  - If this application relates to a Significant influence controlled function then please provide full details of
    - why the candidate is competent and capable to carry out the controlled function(s) applied for;
    - why the appointment complements the firm's business strategy, activity and market in which it operates;
    - how the appointment was agreed including details of any discussions at governing body level (where applicable).
  - Please also include here any additional information indicated in previous sections of the Form.
  - **Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)**
  - If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
  - **Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.**

Question	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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

**Declaration of *Candidate***

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.

For the purposes of complying with the Data Protection Act, the personal information provided in this Form will be used by the *FCA* and *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant.

With reference to the above, the *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. This may include a credit reference check.

In signing the form below:

**a) I authorise the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application.**

**b) 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.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Statements of Principle and Code of Practice for Approved Persons**

(<https://handbook.fca.org.uk/handbook/APER>)

(<http://www.bankofengland.co.uk/PRA>)

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

7.01 *Candidate's* full name<sup>†</sup>

7.02 Signature\*

Date <sup>†</sup>

<sup>†</sup> 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  
 Long Form A – UK and Overseas  
 Application to perform controlled functions under the approved persons regime  
 Version 16

**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 candidate is a fit and proper person to perform the controlled function(s) listed in section 3. The firm also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfil the duties required in the performance of such function(s).**

**In signing this form on behalf of the firm:**

- a) 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.
- b) I confirm that I have authority to make this application, and sign this Form, on behalf of each *firm* identified in section 3.05. I also confirm that a copy of this Form, as submitting 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*.
- c) I confirm the candidate has been made aware of the regulatory responsibilities of the proposed role as set out in the Statements of Principle and Code of Practice for Approved Persons

(<https://handbook.fca.org.uk/handbook/APER>)

(<http://www.bankofengland.co.uk/PRA>)

7.03	Name of the <i>firm</i> submitting the application <sup>†</sup>	
7.04	Name of <i>person</i> signing on behalf of the <i>firm</i> <sup>†</sup>	
7.05	Job title <sup>†</sup>	
7.06	Signature <sup>*</sup>	
	Date <sup>†</sup>	

<sup>†</sup> 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 Long Form A – UK and Overseas Application to perform controlled functions under the approved persons regime Version 16