



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for FCA/PRA use only)

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

<https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex7.html>

www.bankofengland.co.uk/PRA

Both the applicant and the approved person 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.

Form D

Notification of changes in personal information or application details

FCA Handbook Reference: SUP 10A Annex 7R

PRA Handbook Reference: SUP 10B Annex 7R

16 December 2015

Name of individual
(to be completed by applicant)

Name of firm
(as entered in 4.01)

Financial Conduct Authority
25 The North Colonnade
Canary Wharf, London E14 5HS, United Kingdom
Telephone +44 (0) 300 500 0597
E-mail iva@fca.org.uk
Website <http://www.fca.org.uk>

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

Prudential Regulation Authority
20 Moorgate
London, EC2R 6DA, United Kingdom
Telephone +44 (0) 203 461 7000
Email PRA-ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA

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

What sections should you complete?

The question will below will help you determine the sections of the form you must complete

Please select the outcome

Change in personal details

YES You must complete sections 1, 2, 6 (if applicable) & 7

Change in arrangements

YES You must complete sections 1, 2, 3, 4, 6 (if applicable) & 7

Change to Fitness and Propriety information

YES You must complete sections 1,2, 5, 6 (if applicable) & 7

CONTACT FOR THIS NOTIFICATION

1.01 Title
(e.g. Mr, Mrs, Ms, etc)

1.02 First name

1.03 Surname

1.04 Job Title

1.05 Business address

Postcode

1.06 Phone number (including STD code)

1.07 Email address

1.08 Mobile No

1.09 Fax No.

2.01 *Approved person* Individual Reference Number (IRN)

2.02 Title
(e.g. Mr, Mrs, Ms, etc)

2.03 Surname

2.04 ALL forenames

2.05 National Insurance number

2.06 Nationality

2.07 Passport number

2.08 Effective date of change (dd/mm/yy)

2.09 Reason for change

Add New Arrangement

3.01 State the nature of the arrangement between the candidate and the applicant firm?

Employee Continue to Section 4

Group Employee Continue to Question 3.02

Contract Services for Continue to Section 4

Appointed Representative Continue to Question 3.04

Other Arrangement Continue to Question 3.03

3.02 Name of Group
(Once completed continue to Section 4)

3.03 Details of the Other Arrangement
(Once completed continue to Section 4)

Appointed Representatives

3.04 Please provide details of the Appointed Representatives you would like to add and/or remove.
If you are removing an Appointed Representative you will need to consider whether to submit a withdrawal of a CF and/or an Appointed Representative termination.

You must use a separate sheet of paper if necessary.
If you have used separate sheets of paper, you must indicate how many here.

Appointed Representative 1

Are you adding or removing an Appointed Representative?

Add Remove

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 2

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 3

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

Appointed Representative 4

Are you adding or removing an Appointed Representative?

Adding Removing

AR FRN

Firm Name

Effective date (dd/mm/yy)

Please continue to Section 4

4.01 Name of *firm*

4.02 Firm Reference Number (FRN)

4.03 Other *firms* for whom the individual performs *controlled functions*

| | FRN | Name of <i>firm</i> | <i>Controlled function</i> |
|----------|----------------------|----------------------------|-----------------------------------|
| a | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| b | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| c | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| d | <input type="text"/> | <input type="text"/> | <input type="text"/> |
| e | <input type="text"/> | <input type="text"/> | <input type="text"/> |

Please continue to Section 6

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, the *candidate* 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.-

If you answer Yes to any of the questions in Section 5 you will be asked for further details in Section 6.02.

| | | |
|----------------|---|--|
| 5.01.1a | Has the <i>candidate</i> ever 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"> 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 ii. relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i> | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 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"/> |
| c | Has the <i>candidate</i> ever been given a caution in relation to any criminal offence? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 5.01.2 | 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"/> |
| 5.01.3 | Is the <i>candidate</i> the subject of any ongoing criminal investigation? | YES <input type="checkbox"/> NO <input type="checkbox"/> |
| 5.01.4 | 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, the <i>candidate</i> should include all matters even where the <i>candidate</i> was not the subject of the investigation. | |

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

a Been convicted of any criminal offence?
(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 NO

b Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

YES NO

c Been the subject of any criminal proceeding which has not resulted in a conviction?

YES NO

d 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?

In answering question 5.01.5, the *candidate* 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.

YES NO

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 judgement 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

| | | | |
|----------------|---|------------------------------|-----------------------------|
| 5.02.6 | Has the <i>candidate</i> ever: | | |
| a | Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the candidate? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Been adjudged bankrupt? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | 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"/> |
| d | 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"/> |
| e | Had assets sequestrated? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| f | 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 <i>candidate</i> or result in any kind of agreement with the candidate? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 5.02.7 | 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"/> |
| 5.02.8 | 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"/> |
| 5.02.9 | Is the <i>candidate</i> currently: | | |
| a | Party to any civil proceedings? (including those covered in 3.02.7 above) | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (you should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .) | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 5.02.10 | Has any firm at which the <i>candidate</i> holds or has held a position of influence ever been: | | |
| a | Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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"/> |
| c | 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"/> |

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

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

5.04 Regulatory Matters

5.04.1 In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see 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 –

| | | | |
|----------|--|------------------------------|-----------------------------|
| a | 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 | 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"/> |
| c | Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the firm? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the firm? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e | 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"/> |
| f | 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"/> |
| g | 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"/> |
| h | 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"/> |
| i | 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"/> |
| j | Provided payment services or distributed or redeemed e-money on behalf of a regulated <i>firm</i> or itself under any contractual agreement where that agreement was terminated by the regulated <i>firm</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| k | 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"/> |

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:

- a** 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 NO
- 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 NO
- c** 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 NO
- d** 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 NO
- e** 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 NO
- f** 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 NO

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

6.01 Indicate the required supporting documents to accompany this form

| Documents | Mode (by email, fax, post) |
|-----------|----------------------------|
| | |

6.02 Full details must be provided here if any questions have been answered 'yes' in Section 5 (Fitness and Propriety)

| Question | Information |
|----------|-------------|
| | |

DECLARATION OF APPROVED PERSON

The *firm* must ask the individual to make the declaration only where the *firm* becomes aware of information that would reasonably be material to the assessment of the *approved person's* continuing fitness and propriety.

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.

Data Protection

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

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.

The *FCA* and/or *PRA* may seek to verify the information given in this Form including answers pertaining to fitness and propriety. 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. I also understand that the results of these checks may be disclosed to my employer.

7.01 Full name of *approved person*
i.e. Title, forenames, SURNAME

7.02 Signature

Date

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.

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.

| | | |
|------|--|--|
| 7.03 | Name of the <i>firm</i> | |
| 7.04 | Name of <i>person</i> signing on behalf of the <i>firm</i> | |
| 7.05 | Position | |
| 7.06 | Signature | |
| | Date | |

These questions should only be completed if submission of this form is online. They should not be completed if the form is being submitted in one of the other ways set out in *SUP* 15.7