



Application number
(for FCA/PRA use only)

The *FCA* has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on both the *FCA* and *PRA* websites at: <https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex3D.html>

Both the applicant *firm* and the *candidate* will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing this form. Terms defined in either or both of the *FCA* Handbook or the *PRA* Rulebook are italicised and should be construed accordingly.

Long Form A – Dual-regulated firms (including EEA and third country firms)

Application to perform *controlled functions* including *senior management functions*

FCA Handbook Reference: SUP 10C Annex 3D

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications¹

1 October 2020

Name of *candidate*
(to be completed by applicant *firm*)

Name of applicant *firm*
(as entered in 2.01)

Firm reference number
(as entered in 2.02)

Financial Conduct Authority
12 Endeavour Square
Stratford
London E20 1JN
United Kingdom
Telephone +44 (0) 300 500 0597
E-mail firm.queries@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
E-mail PRA-
ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA

¹ The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

| | | |
|---------------|--|--|
| 1.01 a | <i>Candidate</i> Individual Reference Number (IRN) | |
| b | OR name of previous <i>regulatory body</i> | |
| c | AND previous reference number (if applicable) | |
| 1.02 | Title (e.g. Mr, Mrs, Ms) | |
| 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 | |
| 1.12 | Phone number | |
| 1.13 | Email address | |



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

YES

NO

1.14 a Private address

[Redacted address field]

b

Postcode

c

Dates resident at this address (dd/mm/yyyy)

From

[Redacted date field]

To

PRESENT

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

1.15 a Previous address 1

[Redacted address field]

b

Postcode

c

Dates resident at this address (dd/mm/yyyy)

From

[Redacted date field]

To

[Redacted date field]

1.16 a Previous address 2

[Redacted address field]

b

Postcode

c

Dates resident at this address (dd/mm/yyyy)

From

[Redacted date field]

To

[Redacted date field]



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

YES

NO

| | | |
|--------|---|--|
| 2.01 | Name of <i>firm</i> making the application | |
| 2.02 | <i>Firm</i> 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 | Phone number | |
| d | E-mail | |

Please note that the contact at the *firm* cannot be the same person as the *candidate*



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

YES

NO

Complete this section if the application is for a *senior management function*. If you are submitting an application for a *controlled function* at an *appointed representative*, then please complete Section 3B.

3A.01 Nature of the arrangement between the candidate and the applicant firm

a Employee

b Group employee

Name of group

c Contract for services

d Partner

e Other

Give details

Proposed date of appointment

Length of appointment (if applicable)

3A.02 For applications from a single *firm*, please tick the boxes that correspond to the *senior management functions* to be performed. If the *senior management functions* are to be performed for more than one *firm*, please leave the boxes below blank and go to question **3A.04**

The table below sets out the full list of *senior management functions* (SMFs). Please refer to the *PRA Rulebook* and *FCA Handbook* for the mandatory SMFs for your *firm*.

| Function | Description of a Senior Management Function | UK banks* | UK branches of EEA banks and insurers | UK branches of non-EEA banks | Credit unions | Solvency II firms & large NDFs | Small NDFs | ISPVs | Small firms in run off | UK branches of non-EEA insurers |
|----------|---|--------------------------|---------------------------------------|------------------------------|--------------------------|--------------------------------|--------------------------|--------------------------|--------------------------|---------------------------------|
| SMF 1 | Chief Executive | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 2 | Chief Finance | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 3 | Executive Director | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 4 | Chief Risk | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 5 | Head of Internal Audit | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 6 | Head of Key Business Area | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | |

| Function | Description of a Senior Management Function | UK banks* | UK branches of EEA banks and insurers | UK branches of non-EEA banks | Credit unions | Solvency II firms & large NDFs | Small NDFs | ISPVs | Small firms in run off | UK branches of non-EEA insurers |
|----------|--|--------------------------|---------------------------------------|-------------------------------------|--------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|-------------------------------------|
| SMF 7 | Group Entity Senior Manager | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF 8 | Credit Union Senior Manager | | | | <input type="checkbox"/> | | | | | |
| SMF 9 | Chair of the Governing Body | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF10 | Chair of the Risk Committee | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF11 | Chair of the Audit Committee | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF12 | Chair of the Remuneration Committee | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF13 | Chair of the Nomination Committee | <input type="checkbox"/> | | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | | | | |
| SMF14 | Senior Independent Director | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> |
| SMF15 | Chair of With Profits Committee | | | | | <input checked="" type="checkbox"/> | | | | <input checked="" type="checkbox"/> |
| SMF16 | Compliance Oversight | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF17 | Money Laundering Reporting Officer (MLRO) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF18 | Other Overall Responsibility | <input type="checkbox"/> | | | <input type="checkbox"/> | <input type="checkbox"/> | | | | |
| SMF19 | Head of Third Country Branch/ Head of Overseas | | | <input type="checkbox"/> | | | | | | <input checked="" type="checkbox"/> |
| SMF20 | Chief Actuary | | | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF20a | With-Profits Actuary | | | | | <input type="checkbox"/> | <input type="checkbox"/> | | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF21 | EEA Branch Senior Manager (EBSM) | | <input type="checkbox"/> | | | | | | | |
| SMF22 | Other Local Responsibility | | | <input checked="" type="checkbox"/> | | | | | | <input checked="" type="checkbox"/> |
| SMF23 | Chief Underwriting Officer | | | | | <input type="checkbox"/> | | | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF23a | Underwriting Risk Oversight (Lloyd's) | | | | | <input type="checkbox"/> | | | | |
| SMF23b | Conduct Risk Oversight (Lloyd's) | | | | | <input type="checkbox"/> | | | | |

| Function | Description of a Senior Management Function | UK banks* | UK branches of EEA banks and insurers | UK branches of non-EEA banks | Credit unions | Solvency II firms & large NDFs | Small NDFs | ISPVs | Small firms in run off | UK branches of non-EEA insurers |
|----------|---|--------------------------|---------------------------------------|------------------------------|--------------------------|--------------------------------|--------------------------|-------|-------------------------------------|-------------------------------------|
| SMF24 | Chief Operations | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | | | <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> |
| SMF25 | Small Insurer Senior Management Function | | | | | | <input type="checkbox"/> | | | |
| SMF26 | Head of Small Run-Off Firm | | | | | | | | <input type="checkbox"/> | |
| SMF27 | Partner | <input type="checkbox"/> | | <input type="checkbox"/> | | <input type="checkbox"/> | <input type="checkbox"/> | | <input type="checkbox"/> | |

*UK Banks' refers to UK banks, building societies and PRA designated investment firms

3A.03 Job title

Insurance distribution

Will the *candidate* be responsible for insurance distribution at the *firm*? YES NO

Mortgage Credit Directive

Will the *candidate* be responsible for Mortgage Credit Directive Intermediation at the *firm*? YES NO



I have supplied further information related to this page in Section 6 YES NO

3A.04

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 *senior management function* for that *firm*.

| | <i>Firm Reference Number</i> | <i>Name of firm</i> | <i>Senior Management Function</i> | <i>Job title</i> | <i>Responsible for insurance distribution?</i> | <i>Responsible for mortgage credit intermediation?</i> | <i>Effective date</i> |
|----------|-------------------------------------|----------------------------|--|-------------------------|---|---|------------------------------|
| a | | | | | | | |
| b | | | | | | | |
| c | | | | | | | |
| d | | | | | | | |
| e | | | | | | | |



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

YES

NO

Arrangements and controlled functions – Appointed Representatives Section 3B

Complete this section if the application is for a *controlled function* at an *appointed representative (AR)*. If you are submitting an application for a *senior management function*, then please complete Section 3A.

For *limited permission consumer credit firms* that are also *appointed representatives*, only the *customer function* is relevant in this section. For these firms, relevant *senior management functions* apply instead of the *governing functions* (ie CF1 (AR), CF3 (AR), CF4 (AR) and CF5 (AR)). We do not expect this to apply to many *firms*.

3B.01 Nature of the arrangement between the candidate and the applicant.

a Appointed representative/tied agent – customer function

AR firm name and reference number

b Appointed representative/tied agent – governing function

AR firm name and reference number

c Other

Give details

3B.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 **3B.05**.

a **Significant influence functions**

| | |
|--|--------------------------|
| CF 1 (AR) Director function | <input type="checkbox"/> |
| CF 3 (AR) Chief executive function | <input type="checkbox"/> |
| CF 4 (AR) Partner function | <input type="checkbox"/> |
| CF 5 (AR) Director of an unincorporated association function | <input type="checkbox"/> |

b **Senior Management Functions**

(This section is only applicable for limited permission consumer credit firms that are ARs for other business)

| | |
|---------------------------------------|--------------------------|
| SMF1 (AR) Chief Executive function | <input type="checkbox"/> |
| SMF3 (AR) Executive Director function | <input type="checkbox"/> |
| SMF4 (AR) Partner function | <input type="checkbox"/> |

c **Customer function**

| | |
|------------------------------|--------------------------|
| CF 30 (AR) Customer function | <input type="checkbox"/> |
|------------------------------|--------------------------|

3B.03 Effective date of *controlled functions* indicated above

3B.04 Job title

Please refer to notes on the requirements for submitting a CV.

➔ I have supplied further information related to this page in Section 6 YES NO

3B.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*.

| | Firm Reference Number | Name of firm | Controlled function | Job title | Effective date |
|----------|------------------------------|---------------------|----------------------------|------------------|-----------------------|
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |



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

YES

NO

N.B.: ALL gaps must be accounted for

4.01 Employment details (1)

| | | | | | |
|----------|---|------------------------------|-----------------------------|--------------------------------|----------------------|
| a | Period (dd/mm/yyyy) | From | <input type="text"/> | To | <input type="text"/> |
| 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"/> | | | | |
| c | Name of employer | <input type="text"/> | | | |
| d | Nature of business | <input type="text"/> | | | |
| e | Previous / other names of employer | <input type="text"/> | | | |
| f | Last known address of employer | <input type="text"/> | | | |
| g | Is/was employer regulated by a <i>regulatory body</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | Name of <i>regulatory body</i> | |
| | | | | <input type="text"/> | |
| h | 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"/> | |
| i | Position held | <input type="text"/> | | | |
| j | Responsibilities | <input type="text"/> | | | |
| k | 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"/> | |
| | If 'other', please specify | | | | |
| | <input type="text"/> | | | | |

4.02 Employment details (2)

| | | | | | |
|----------|---|------------------------------|-----------------------------|--------------------------------|----------------------|
| a | Period (dd/mm/yyyy) | From | <input type="text"/> | To | <input type="text"/> |
| 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"/> | | | |
| c | Name of employer | <input type="text"/> | | | |
| d | Nature of business | <input type="text"/> | | | |
| e | Previous / other names of employer | <input type="text"/> | | | |
| f | Last known address of employer | <input type="text"/> | | | |
| g | Is/was employer regulated by a <i>regulatory body</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> | Name of <i>regulatory body</i> | |
| | | <input type="text"/> | | | |
| h | 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"/> | | | |
| i | Position held | <input type="text"/> | | | |
| j | Responsibilities | <input type="text"/> | | | |
| k | 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"/> | |
| | If 'other', please specify | <input type="text"/> | | | |

➔ I have supplied further information related to this page in Section 6 YES NO

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 any question has been answered ‘yes’ in Section 5, further details should be provided in Section 6.

If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included in Section 6.

| | |
|--|---|
| <p>5.01.1a</p> <p>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>):</p> <p style="margin-left: 20px;">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</p> <p style="margin-left: 20px;">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></p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |
| <p>b</p> <p>Is the <i>candidate</i> currently the subject of any criminal proceedings, whether in the UK or elsewhere?</p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |
| <p>c</p> <p>Has the <i>candidate</i> ever been given a caution in relation to any criminal offence?</p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |
| <p>5.01.2</p> <p>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)?</p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |
| <p>5.01.3</p> <p>Is the <i>candidate</i> the subject of any ongoing criminal investigation?</p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |
| <p>5.01.4</p> <p>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?</p> <p>In answering question 5.01.4, you should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p> | <p>YES <input type="checkbox"/> NO <input type="checkbox"/></p> |



I have supplied further information related to this page in Section 6 YES NO

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

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

- | | | | |
|----------|--|------------------------------|-----------------------------|
| a | Been convicted of any criminal offence? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | Been the subject of any criminal proceeding which has not resulted in a conviction? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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? | 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 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* (whether satisfied or not)? YES NO

Please give a full explanation of the events in question,
The candidate 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 judgement 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)? (the *candidate* 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

5.02.4 Does the *candidate* have any **current** judgement 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 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 <i>candidate</i> ? | 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 <i>candidate</i> '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 <i>candidate</i> ? | 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? Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved? | 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 5.02.7 above)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (<i>Candidate</i> 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 | During the period over which the <i>candidate</i> has held a position of influence and/or in the 10 years after this, has any <i>firm</i> at which the <i>candidate</i> holds or has held a position of influence ever been: | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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 <i>firm</i> ? (<i>Candidate</i> should include all CCJs made against the <i>firm</i> , 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 <i>firm</i> 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

YES NO

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; and/or

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 UK 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

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

5.03.4 Has the *candidate* ever participated in arbitration proceedings? (This question only applies where the applicant *firm* is a Solvency II insurance *firm*).

YES NO



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

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*, has:

- the *candidate*, or
- any company, partnership or unincorporated association 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 <i>firm</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Been the subject of an investigation by any <i>regulatory body</i> , whether or not such an investigation resulted in a finding against the <i>candidate</i> or the <i>firm</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| e | Been required or requested to produce documents or any other information to any <i>regulatory body</i> in connection with such an investigation (whether against the <i>firm</i> 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 <i>regulatory body</i> ? | 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 <i>regulatory body</i> (other than as indicated in this group of questions)? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| l | Been on a board of directors in an operating undertaking that has not been granted a release from liability? (This question only applies where the applicant <i>firm</i> is a Solvency II insurance <i>firm</i>). | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



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

YES

NO

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 <i>FCA/PRA</i> or any other <i>regulatory body</i> is required without the requisite authorisations? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| b | Been investigated for the possible carrying on of activities requiring authorisation or registration by the <i>FCA/PRA</i> or any other <i>regulatory body</i> without the requisite authorisation whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| c | Been found to have performed a <i>senior management function</i> or other <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other <i>regulatory body</i>) without the requisite approval? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| d | Been investigated for the possible performance of a <i>senior management function</i> or other <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other <i>regulatory body</i>) without the requisite approval, whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| 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 <i>FCA/PRA</i> 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"/> |
| f | Been the subject of a prohibition order under section 56 of the Financial Services and Markets Act 2000, 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 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 *senior management functions* for which approval is now being sought? YES NO

5.05.2 **Question 5.05.2 should only be answered if the applicant firm is a Solvency II Insurer.**
Does the *candidate* have, or know of any:

a Qualifying ownership² or any other form of substantial influence in the *firm* or *group*, or any other companies YES NO

- If yes, please provide:
1. Company name and registration number
 2. Nature and scope of the operations
 3. The registered office of the company
 4. Possession in percentage

b Close relatives with any other financial relations in the *firm* or *group* YES NO

c Any other commitments that may give rise to a conflict of interest YES NO

If the response is 'yes' to any of the above, please provide, in Section 6, explanations of the circumstances and how the *candidate* intends to mitigate this.

5.05.3 Is the *candidate* or the *firm* aware of any other information relevant to this notification that the *FCA/PRA* might reasonably expect from the *candidate*? YES NO

5.05.4 Has the *firm* undertaken a criminal records check in accordance with the requirements of the *FCA* or *PRA*? YES NO

Please note that a *firm* is required, under *PRA* rules, to request and under *FCA* rules, to obtain the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the *UK* or any part of the *UK* before making the application (*SUP* 10C.10 and *PRA* Rulebook: Fitness and Propriety).³

If yes, please enter date the check was undertaken

Date (dd/mm/yy):

Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details why in Section 6

5.05.5 Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the *FCA* or *PRA*? YES NO

If no, please provide details why the reference or references has/have not been obtained.

² As defined in Article 13(21) of the Solvency II Directive, qualifying ownership is 'direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking'.

³ The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying.



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

YES

NO

Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Fitness and Propriety 2 in the PRA Rulebook). "Employer" has an extended meaning for these purposes.

6.01 Please provide full details of:

- a) why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for;
- b) why the appointment complements the *firm's* business strategy, activity and market in which it operates;
- c) how the appointment was agreed including details of any discussions at governing body level (where applicable);
- d) 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); and
- e) if the *candidate* currently holds more than one directorship, please provide a breakdown on the *candidate's* time commitment to each directorship.

6.02 If there is any additional information indicated in previous sections or any other information the *candidate* or the *firm* considers being relevant to this application it must be included here. (Please also provide full details of 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 |
|----------|-------------|
| | |

Note: 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.

6.03 Firms must also provide the following supporting documents required with this form (please tick)

It is for firms to assess which supporting documents they should submit but, in the majority of cases, it is expected that firms will submit all of the listed supporting documents.

- Statement of responsibilities**
- Candidate's Curriculum Vitae (C.V)**
- Role(s) description**
- A copy of the *firm's* management responsibilities map (SYSC 25 and Allocation of Responsibilities in the *PRA Rulebook*).⁴ This requirement does not apply to all *firms*.**
- A summary of any handover material (as referred to in SYSC 25.9 and SUP 10C.10 and senior management functions in the *PRA Rulebook*).⁵ This requirement does not apply to all *firms*.**

⁴ The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying

⁵ The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying.

| | |
|--|---|
| | A description or copy of the <i>candidate's</i> Skills Gap Analysis. |
| | A description or copy of the <i>candidate's</i> Induction programme |
| | A description or copy of the <i>candidate's</i> Learning and Development plan (including the name of the individual responsible for monitoring the <i>candidate's</i> progress against the development points and the time frame for completion) |
| | A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role). |

Declaration of *Candidate*

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000 –‘FSMA’). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

The *candidate* confirms that the information provided in this application is accurate and complete to the best of their knowledge and that they have read the notes to this form. The *candidate* will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

The *candidate* confirms that the attached *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *candidate* will be responsible for managing. The *candidate* confirms that they have accepted all the responsibilities set out in this *statement of responsibilities*.

The *candidate* agrees that the *FCA* and/or *PRA* may use the address specified for the *candidate* in this form as the proper address for service in the United Kingdom (as defined in the Financial Services and Markets Act 2000 (Service of Notices) Regulations (SI 2001/1420)) to serve any notices on the *candidate*.

For the purposes of complying with data protection legislation, please read our privacy notices:

FCA's privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the *FCA* and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

The *candidate* confirms that they understand the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA*'s *COCON* or *APER* and/or the *PRA Rulebook*: Conduct Rules, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards, and Large Non-Solvency II Firms – Conduct Standards.

The *candidate* is aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

In addition to other regulatory responsibilities, *firms* and *candidates/approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

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

7.01 Name of *candidate*

7.02 Signature

Date

Declaration of *Firm*

It is a criminal offence, knowingly or recklessly, to give the *FCA* and/or *PRA* information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* are reasonably likely to consider the information material).

In addition to other regulatory responsibilities, *firms* and *candidates/ approved persons* have a responsibility to disclose to the *FCA* and/or *PRA*, matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the Applicant and/or the *candidate*.

The Applicant confirms that the information provided in this application is accurate and complete to the best of its knowledge and that it has read the notes to this form. The Applicant will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

The Applicant authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

Where applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 and any related subordinate legislation of the *UK* or any part of the *UK*, and (where available) has given due consideration to that information in determining that *candidate* to be fit and proper.

In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in *FIT* in the *FCA Handbook* and/or the Fitness and Propriety part of the *PRA Rulebook* that the *candidate* is a fit and proper person to perform the *controlled function(s)* listed in Section 3.

The Applicant 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). Note: For *EEA firms*, this would only apply to those *firms* undertaking any non MiFID business.

The Applicant confirms that it has complied with its obligations under equality and diversity legislation when selecting the *candidate* to perform the function(s) applied for.

The Applicant confirms that it has made the *candidate* aware of their regulatory responsibilities as set out in the rules of conduct in the *FCA's COCON or APER* and/or the *PRA Rulebook*: Conduct Rules, Insurance – Conduct Standards, Non-Solvency II Firms – Conduct Standards and Large Non-Solvency II Firms – Conduct Standards.

The Applicant confirms that the *statement of responsibilities* submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the *candidate* will be responsible for managing.

The Applicant is aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

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These notices will tell you what to expect when the *FCA* and/or the *Bank of England* collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

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

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.

I confirm that I have authority to make this application and provide the declarations given by the Applicant, and sign this form, on behalf of the *firm* identified in Section 2.01 and/or each *firm* identified in Section 3.04. I also confirm that a copy of this form, as submitted 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*.

7.03 Name of the *firm* submitting the application

7.04 Name of *person* signing on behalf of the
Applicant firm

7.05 Job title

7.06 Signature

Date