



MIFID members of the management body and key function holders - Article 4 Information Form (SMR)

Full name of applicant firm and Firm Reference Number (FRN)

Important information you should read before completing this form

We require all MIFID firms making changes to their management body or key function holders to provide these details as part of their application for the individual to hold a senior management function or internal transfer of an approved person (for firms and individuals subject to the senior managers regime).

Please keep a copy of the forms you complete and the supporting documents that you include with the application for your future reference.

The notes that accompany this form will help you complete the questions and they also explain why we require the information we ask you for.

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000 (FSMA) and other relevant legislation and may be disclosed to third parties for those purposes.

It is important that you provide accurate and complete information and disclose all relevant information. If you do not, it will call into question your suitability to be authorised, and you may be committing a criminal offence and could face prosecution under section 398A of the FSMA regardless of the status of your application.

Terms in this form

In this application pack we use the following terms:

- 'you' refers to the person(s) signing the form on behalf of the applicant firm;
- 'the individual' refers to the person holding the controlled function
- 'the applicant firm' refers to the firm applying for authorisation of the individual;
- 'we', 'us' or 'our' refers to the appropriate regulator;
- 'the FCA' refers to the Financial Conduct Authority;
- 'the PRA' refers to the Prudential Regulation Authority; and
- FSMA refers to the Financial Services and Markets Act 2000.

Purpose of this form

MIFID II requires certain information to be provided by the applicant firm when making changes to their management body or key function holders. The information in this form is required to enable us to fulfil our obligations in obtaining this information.

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1 Long Form A completed	4
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Filling in the form using Connect

- **1** If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
 - save all the parts of the form you have completed and attach to your application.
- 2 If you think a Question is not relevant to you, write 'not applicable' and explain why.
- **3** If you leave a Question blank or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- **4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- **5** Ensure you have:
 - completed the relevant Long Form A, Form E or Form M
 - completed the Annex III ESMA template;
 - completed this additional information form; and
 - attached any supporting documents.

When you are required to attach supporting documents (e.g. Disclosure and Barring Service check where relevant) to your application, failure to do so will mean your application will not be progressed and you will be prevented from being able to submit your application through Connect.

Filling in the form using the paper application forms on the FCA website

- 1 If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
- 2 If you are filling in the form by hand:-
 - use black ink;
 - write clearly; and
 - sign the declaration in the 'checklist and declaration' form.
- 3 If you think a Question is not relevant to you, write 'not applicable' and explain why.
- **4** If you leave a Question blank, do not sign the declaration or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- **5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- **6** Post the application consisting of:
 - completed the relevant Long Form A or Form E
 - completed the Annex III ESMA template;
 - completed this additional information form; and
 - attached any supporting documents.

For Solo Regulated Firms:-

Permissions Department
The Financial Conduct Authority
12 Endeavour Square
Stratford
London
E20 1JN

For Dual Regulated Firms:-

The Prudential Regulation Authority 20 Moorgate London EC2R 6DA

If you have completed a Long Form A, please provide the information below

1 Personal details

Phone number (incode)	icluding STD	
Email address		
2 Curricu	ılum Vitae	
a.Relevant e	education and professional training	
	nay already have been included in the CV or page 4 of the Annex dy provided, there is no need to detail here.	III ESMA
Complete any infor	rmation not already provided	
Relevant Education		
Professional Training		

b. Professional experience, including the names of all organisation for which the person has worked and nature and duration of the functions performed

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the Long Form A (Section 4) or CV.

The Long Form A requests employment history for the past 5 years. If you have not provided the information above, or need to provide information for a further 5 years, you can detail below.

From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control
3 Reputation	n and experience		
1	1		
employers (Section 5.	.05) during the last six y	ed a reference/references f rears in accordance with S	
Propriety 2 in the PRA	Rulebook.		
a. Please provid	le a list of reference pe	ersons including contact	information
Reference		Contact information	
	_		_
h Please attack	any letters of recomm	nendation to the applicat	ion
	-	iendation to the applicat	1011
4 Investigati	ons		
If a question in section	n 5 of the Long Form Δ is	and the second s	
provided through an o	_	o far as it is available from	nformation could be the relevant Member
provided through an o State or third country) In the Long form A (So records check in accor	ifficial certificate (if and so), or through another equi ection 5) firms are asked	o far as it is available from ivalent document. to confirm if they have undents of the FCA or PRA. In t	the relevant Member ertaken a criminal
provided through an o State or third country) In the Long form A (So records check in accor copy of this check cou	official certificate (if and so), or through another equi- ection 5) firms are asked dance with the requirement and be provided as the office	o far as it is available from ivalent document. to confirm if they have undents of the FCA or PRA. In t	the relevant Member ertaken a criminal he United Kingdom, a
provided through an o State or third country) In the Long form A (So records check in accor copy of this check cou For on-going investiga	official certificate (if and so), or through another equi- ection 5) firms are asked dance with the requirement and be provided as the office	o far as it is available from ivalent document. to confirm if they have undents of the FCA or PRA. In the cial certificate requested. e provided through a declar	the relevant Member ertaken a criminal he United Kingdom, a
provided through an o State or third country) In the Long form A (So records check in accordopy of this check country) For on-going investigated Assessment MIFID II requires informacquirer or as a person	official certificate (if and son), or through another equivection 5) firms are asked redance with the requiremental be provided as the official of reputation and formation on whether and the who directs the busines	o far as it is available from ivalent document. to confirm if they have undents of the FCA or PRA. In the cial certificate requested. e provided through a declar	the relevant Member Tertaken a criminal he United Kingdom, a ration of honour. The and experience as a sed (including the date of
provided through an o State or third country) In the Long form A (So records check in accordopy of this check country) For on-going investigated Assessment MIFID II requires informacquirer or as a personal the assessment, the interpretation of the session of	official certificate (if and son), or through another equivection 5) firms are asked redance with the requiremental be provided as the official of reputation and formation on whether and the who directs the business dentity of that authority and the control of	o far as it is available from ivalent document. to confirm if they have undents of the FCA or PRA. In the cial certificate requested. e provided through a declar desperience a assessment of reputations has already been conducted evidence of the outcomes.	the relevant Member lertaken a criminal he United Kingdom, a ration of honour. In and experience as a sed (including the date of this assessment).

Identity of the authority that conducted the assessment					
Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document)					
6 Financial and non-financial interests					
If you have not already provided this information in section 5 of the Long Form A, please provide information on any financial and non-financial interests or relationships of the person and the person's close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders					
7 Time devoted to the performance of functions					
MIFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).					
Please provide this information below:					
8 Human and financial resources					
MIFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).					
Please provide this information below:					

9 Collective knowledge, skills and experience Please provide a statement of your assessment of the collective suitability of the management body as a whole, including how the individual is to be situated in the overall suitability of the management body. You may also provide this information in the Suitability Matrix in Annex 1 of the EBA Suitability Guidelines¹ or using another method.

 $^{^1\} https://www.esma.europa.eu/document/joint-esma-and-eba-guidelines-assessment-suitability-members-management-body-and-key-0$

If you have completed a Form E, please provide the information below

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II CIBOTICI	actails					
Phone number (incode)	cluding STD					
Email address						
2 Curricu	2 Curriculum Vitae					
a.Relevant e	ducation and	professional training				
	-	ve been included in any CV provide ded, there is no need to detail here	· -			
Complete any infor	mation not alr	eady provided				
Relevant Education						
Professional Training						
b. Professional experience, including the names of all organisation for which the person has worked and nature and duration of the functions performed						
This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.						
Complete any information not already provided						
Name of organisati	ion	Nature of functions performed	Duration			

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the CV.

If you have not provided the information above, or need to provide further information about positions held in the previous 10 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control
-	and experience	ersons including contact	information
Reference		Contact information	
	-	nendation to the applicat	ion
4 Investigati	ons		
MIFID II requires infor	mation on:		
 criminal record 	ds and information on cri	minal investigations and pr	oceedings
 disciplinary ac 	and administrative cases, tions opened against the ruptcy, insolvency and si	m (including disqualification	ns as a company
		official certificate (if and so y), or through another equi	
heck in accordance w		confirm if they have undert ne FCA or PRA. In the Unite ficate requested.	
For on-going investiga	cions information could be	e provided through a declar	ration of honour.
If not already provid	ed, please provide info	ormation on:	
criminal records and in	formation on criminal inv	estigations and proceeding	s
relevant civil and admi	nistrative cases, and		

disciplinary actions opened against them (including disqualifications as a company director, bankruptcy, insolvency and similar procedures).
5 Previous registration, authorisation, membership or licence
MIFID II requires information on:
 refusal of registration, authorisation, membership or licence to carry out a trade, business or profession; or
 the withdrawal, revocation or termination of such a registration, authorisation, membership or licence; or
expulsion by a regulatory or government body or by a professional body or association
If not already provided, please provide information on:
refusal of registration, authorisation, membership or licence to carry out a trade, business or profession
the withdrawal, revocation or termination of such a registration, authorisation, membership or licence
expulsion by a regulatory or government body or by a professional body or association
6 Previous dismissals
MIFID II requires information on dismissal from employment or a position of trust, fiduciary relationship, or similar situation.
If not already provided, please provide this information:

7 Assessment of reputation and experience

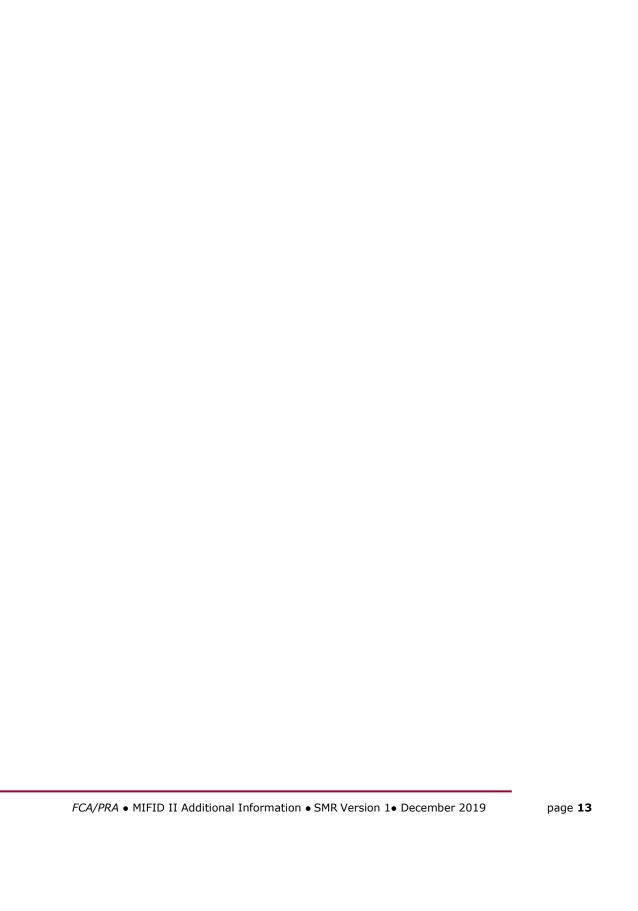
MIFID II requires information on whether an assessment of reputation and experience as an acquirer or as a person who directs the business has already been conducted (including the date of the assessment, the identity of that authority and evidence of the outcome of this assessment).

If an assessment of reputation and experience as an acquirer or as a person who directs the business already been conducted please provide details of:

Date of assessment
Identity of the authority that conducted the assessment
Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document)
8 Financial and non-financial interests
If you have not already provided this information, please provide information on any financial and non-financial interests or relationships of the person and the person's close relatives to members of the management body and key function
holders in the same institution, the parent institution and subsidiaries and shareholders
shareholders
9 Time devoted to the performance of functions MIFID II requires information on the minimum time that will be devoted to the performance of the
9 Time devoted to the performance of functions MIFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).
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10 Human and financial resources					
MIFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).					
Please provide this information below:					
11 Executive and non executive	directorships				
MIFID II requires a list of executive and non-ex	ecutive directorships currently held by the person.				
If not already provided, please provide a li directorships held by the person:	st of executive and non-executive				
Organisation name	Type of directorship				
12 Collective knowledge, skills and experience					
including how the individual is to be situated in the or	ollective suitability of the management body as a whole, verall suitability of the management body. You may also nnex 1 of the EBA Suitability Guidelines ² or using another				

 $^{^2\} https://www.esma.europa.eu/document/joint-esma-and-eba-guidelines-assessment-suitability-members-management-body-and-key-0$



If you have completed a Form M, please provide the information below

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	т стаонаі	uctans

Professional Training

Phone number (incode)	cluding STD	
Γ	ī	\neg
Email address		
2 Curricu	lum Vitae	
	nay already have been included in any CV provided or pag f already provided, there is no need to detail here.	e 4 of the Annex III
Complete any infor	rmation not already provided	
Relevant Education		

b. Professional experience, including the names of all organisation for which the person has worked and nature and duration of the functions performed

This information may already have been included in any CV provided or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in any CV provided.

If you have not provided the information above, or need to provide information for a further 5 years, you can detail below.

From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control
3 Reputation	n and experience		
a. Please provid	de a list of reference pe	Contact information	information
Kererence		Contact inioiniation	
b. Please attach	n any letters of recomm	nendation to the applicat	ion
4 Investigation If a question in section through an official certhird country), or thro	Ons n 4 of the Form M is answ tificate (if and so far as it ugh another equivalent d		ation could be provided ant Member State or
4 Investigation If a question in section through an official certhird country), or thro In the United Kingdom	Ons n 4 of the Form M is answ tificate (if and so far as it ugh another equivalent d	vered positively, the informatic is available from the releva	ation could be provided ant Member State or
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MIFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication). Please provide this information below: 7 Collective knowledge, skills and experience Please provide a statement of your assessment of the collective suitability of the management body as a whole, including how the individual is to be situated in the overall suitability of the management body. You may also provide this information in the Suitability Matrix in Annex 1 of the EBA Suitability Guidelines³ or using another method.

6 Human and financial resources

 $^{^3\} https://www.esma.europa.eu/document/joint-esma-and-eba-guidelines-assessment-suitability-members-management-body-and-key-0$