



Application number
(for FCA/PRA use only)

Form H

Notification of Conduct Rules Breaches and Disciplinary Action relating to certification employees and other conduct rules staff

FCA Handbook Reference: SUP 15 Annex 7R

7 March 2016

Name of *firm*
(as entered in 2.01)

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 845 606 9966
Facsimile +44 (0) 207 066 0017
E-mail iva@fca.org.uk
Website <http://www.fca.org.uk>

Contact for this notification

1.01	Title	
1.02	First Name	
1.03	Surname	
1.04	Job Title	
1.05	Business address	
1.06	Post code	
1.07	Phone number (including STD code)	
1.08	Email address	
1.09	Mobile No	
1.10	Fax No.	

2.01 Name of *firm*

2.02 Firm Reference Number (FRN)

Fitness and Propriety - Notifications under section 64B(5) or 64C of the Financial Services and Markets Act 2000.

Section 3

This section should be completed by a firm to:

- (a) make an annual notification under section 64B(5) (Breach of conduct rules) of the Financial Services and Markets Act 2000 of known or suspected breach by any certification employees or other conduct rules staff of the individual conduct rules set out in the FCA's Code of Conduct (COCON);
- (b) make an annual notification of disciplinary action (as defined in section 64C ((Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000) if the reason for taking the disciplinary action is any action, failure to act or circumstance that amounts to a breach of the individual conduct rules set out in the FCA's Code of Conduct (COCON);
- (c) make a follow up notification to update a notification that has been previously made by the firm in relation to (a) or (b) (section 5.01)

For each individual that is the subject of a notification under this Form, please provide the details requested below, in so far as applicable.

Title	Surname	Forenames	IRN (if available)	Date of Birth	National Insurance Number or Passport Number / National ID Number	Nationality <i>If providing passport number or National ID please provide nationality</i>	Job Title / Position And Department / Division	Please identify the relevant conduct rule(s) that have been breached <i>Refer to Conduct Rules</i>	Please indicate whether it is a known or suspected breach <i>Enter one of the bullets below</i> - Known breach - Suspicion of breach, under investigation - Suspicion of breach, cannot be closed	Please provide more information in relation to the conduct rule breached <i>Free text description (300 words only) anything greater than this please provide an attachment</i>

For each individual that is the subject of a notification under this Form, please provide the details requested below, in so far as applicable.

Title	Surname	Forenames	IRN (if available)	Date of Birth	National Insurance Number or Passport Number / National ID Number	Nationality <i>If providing passport number or National ID please provide nationality</i>	Job Title / Position And Department / Division	Please identify the relevant conduct rule(s) that have been breached <i>Refer to Conduct Rules</i>	Please indicate whether it is a known or suspected breach <i>Enter one of the bullets below</i> - Known breach - Suspicion of breach, under investigation - Suspicion of breach, cannot be closed	Please provide more information in relation to the conduct rule breached <i>Free text description (300 words only) anything greater than this please provide an attachment</i>

Declaration

It is a criminal offence, knowingly or recklessly, to give us information that is materially false, misleading or deceptive. Even if you believe information has been provided to us 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. If there is any doubt about the relevance of information, it should be included.

The firm confirms that the information provided is accurate and complete to the best of the firm's knowledge. The firm will notify the *FCA*, immediately if there is a material change to the information provided.

The firm authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate to verify information that it considers relevant to this notification.

The firm understands that the *FCA* and/or *PRA* may require it to provide further information or documents at any time.

For the purpose of complying with the Data Protection Act 1998, personal data about an individual that is the subject of a notification under 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, and will not be disclosed for other purposes without the permission of the firm.

In addition to other regulatory responsibilities, *firms*, have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it or they 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 firm.

By signing below, the person submitting this Form on behalf of the firm confirms that this form is accurate and complete to the best of his or her knowledge and he or she has read and understood the notes to this form.

Name of the *firm*

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

Position

Signature

Date