

Application number
(for FCA use only)

Form K - Conversion Notification Form

Solvency II¹ and large non-directive firms²

FCA Handbook Reference: SUP TP 10.23.1R

If a *firm* intends that any *individual* will not perform any *controlled function* that they would be eligible to take up through conversion (including those functions where information is not required to be submitted in this form), it should submit a Form C (notice of ceasing to perform *controlled functions*) accordingly.

Name of *firm*

Firm Reference Number (FRN)

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

¹ Including EEA and Third Country branches but excluding *Insurance Special Purpose Vehicles*

² Please see the *FCA Handbook Glossary* for the definitions of *large non-directive insurer* and *small non-directive insurer*.

1.01 Contact for this notification

1.01 Title	
1.02 First name	
1.03 Surname	
1.04 Job title	
1.05 Business address	
1.06 Postcode	
1.07 Phone number	
1.08 Email address	
1.09 Mobile number	

2.01 The table below provides a breakdown of possible applicable *senior management functions*. Please tick all of the *senior management functions* which have been allocated in this conversion notification. Only those *senior management functions* potentially applicable to the *firm* types below are listed.

Function	Description of a <i>Senior Management Function</i>	Allocated
SMF 3	Executive Director	<input type="checkbox"/>
SMF13	Chairman of the Nomination Committee	<input type="checkbox"/>
SMF15	Chairman of With Profits Committee	<input type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>
SMF17	Money Laundering Reporting Officer (MLRO)	<input type="checkbox"/>
SMF18	Other overall responsibility function	<input type="checkbox"/>
SMF21	EEA Branch Senior Manager (EBSM)	<input type="checkbox"/>
SMF22	Other local responsibility function	<input type="checkbox"/>
SMF23b	Conduct Risk Oversight Function (Lloyd's)	<input type="checkbox"/>

2.02 Provide details of each currently approved person who will perform a *senior management function* following the commencement date, in accordance with the Bank of England and Financial Services Act 2016 and SYSC 25 and SUP 10C of the *FCA Handbook*, and provide details of which *senior management functions* are to be carried out by each such *approved person*. **If this is an update to a previous conversion notification please complete Section 3.**

Function	Description of a <i>senior management function</i>	Name of <i>person to whom allocation of senior management function is proposed</i>	Current <i>controlled function(s)</i> held	IRN
SMF 3	Executive Director			

Function	Description of a <i>senior management function</i>	Name of person to whom allocation of <i>senior management function</i> is proposed	Current <i>controlled function(s)</i> held	IRN
SMF13	Chairman of the Nomination Committee			
SMF15	Chairman of With Profits Committee			
SMF16	Compliance Oversight			
SMF17	Money Laundering Reporting Officer (MLRO)			
SMF18	Other overall responsibility function			
SMF23b	Conduct Risk Oversight Function (Lloyd's)			

2.03 If you have submitted any applications for approval of *individuals* to perform one or more *significant influence functions* that are currently subject to determination by the *FCA* and any of these *individuals* will perform a *senior management function* following commencement date in accordance with the Bank of England and Financial Services Act 2016, and the Bank of England and Financial Services Act 2016 (Commencement No. 5 and Transitional Provisions) Regulations 2018, provide details below of which *senior management functions* are to be carried out by each such *approved person*.

Function	Description of a <i>Senior Management Function</i>	Name of person to whom allocation of senior management function is proposed	<i>Controlled functions</i> applied for	IRN or application reference
SMF 3	Executive Director			
SMF13	Chairman of the Nomination Committee			
SMF15	Chairman of With Profits Committee			
SMF16	Compliance Oversight			
SMF17	Money Laundering Reporting Officer (MLRO)			
SMF18	Other overall responsibility function			
SMF23b	Conduct Risk Oversight Function (Lloyd's)			

3.01 If you need to update a previous conversion notification, please provide details of updates to the *firm's* Conversion Notification Form below.

IRN	Name of <i>individual</i>
<i>Controlled Function</i>	<i>Proposed Senior Management Function(s)</i>
Details of change and reasons for such change.	

IRN	Name of <i>individual</i>
<i>Controlled Function</i>	<i>Proposed Senior Management Function(s)</i>
Details of change and reasons for such change.	

Statements of Responsibilities and Management Responsibilities Map **Section 4**

4.01 Please attach a *statement of responsibilities* for each *individual* identified in this form as being converted to perform one or more *senior management functions*.
Please also attach the *firm's management responsibilities map*

4.02 How many additional sheets are being submitted?

Declaration

In this declaration, the *firm* making the notification in relation to each *individual* is referred to as the “**applicant**”.

The applicant must ensure that it has the authority of each *individual* in relation to whom it is making a notification for conversion to a *senior management function* to cause the information contained in this form relating to such *individual* to be submitted, and that it has made each such individual aware of their prospective regulatory responsibilities as set out in the *FCA*'s Code of Conduct (*COCOM*).

It is a criminal offence, knowingly or recklessly, to give the *FCA* information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

The applicant must notify the *FCA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided.

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

For the purposes of complying with data protection legislation, please read the *FCA*'s privacy notice at <https://www.fca.org.uk/data-protection>. This notice will tell you what to expect when the *FCA* 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 *person* signing on behalf of the applicant confirms that:

- they have read this declaration in full;
- they have confirmed that the information supplied is accurate and complete to the best of their knowledge, and that each *statement of responsibilities* submitted with this form accurately reflects the aspects of the affairs of the applicant which it is intended that the relevant *individual* will be responsible for managing in performing their proposed *senior management functions*.

Name of the applicant

Name of person signing on behalf of the applicant

Position

Signature

Date