

Notes to assist in completing the Form B - Notice to withdraw an application to perform *controlled functions* under the approved persons regime

Full details of the *approved persons* regime and the application process are given in SUP 10A and SUP 10B of the FCA's and PRA's Supervision manuals.

The purpose of this form

This Form is referred to in SUP 10A.13 and SUP 10B.11 of the FCA's and PRA's Supervision manuals. This Form must be used when a *firm* or applicant wishes to withdraw an application to perform *controlled functions* under the *approved persons* regime (Form A) **before** the application has been determined and with immediate effect.

Firms are asked to email iva@fca.org.uk and/or PRA.firmenquiries@bankofengland.co.uk as soon as it is apparent that an application is to be withdrawn, in order that the Approval process can be halted at the earliest opportunity.

Completing this Form

The Form must be completed in black ink and (if in manuscript) in BLOCK LETTERS.

A Notice to withdraw an application may be submitted in relation to all or some of the *controlled functions* or *firms* listed on the original application (Form A). If it is submitted in relation to only some of the *controlled functions* or *firms*, you must list at section 4.01 the *controlled functions* and *firms* to which the withdrawal relates. If section 4.01 is left blank it will be assumed that the withdrawal relates to all of the *controlled functions* listed on the original application.

Any issues that arose in relation to this withdrawal, such as resignation or termination of contract, must be explained in section 4.01.

Additional information can be attached to the Form. It must be securely attached to the rest of the Form and you must indicate at question 4.02 the number of additional sheets attached.

Under section 61(5) of the Financial Services & Markets Act (Determination of applications) the *firm* may withdraw the application only if it also has the consent of the *candidate* and the *person* by whom the *candidate* is or would have been employed, if this is not the *firm* making the application

Along with the candidate, an appropriate individual must sign the declaration for the firm submitting the Form. The FCA and/or PRA considers that an appropriate individual would either be an individual approved for a *controlled function* described under section 59(7B) of the Financial Services & Markets Act (the *significant influence functions – controlled functions* 1 to 12B, 28, 29, 40 or 50) or someone to whom the *firm* has delegated the authority to notify the FCA and/or PRA. If this authority has been delegated, the *firm* should keep records of those individuals authorised to sign on behalf of the *firm*.

N.B.: Please keep these notes before returning the completed Form to the FCA and/or PRA.

If you have any questions or need additional information, please contact the FCA Contact Centre on 0300 500 05997 or PRA Firm Enquiries on 020 34 61 700 0 or e-mail iva@fca.org.uk or PRA.firmenquiries@bankofengland.co.uk.

PLEASE RETURN COMPLETED FORM TO:

FINANCIAL CONDUCT AUTHORITY
25 THE NORTH COLONNADE
CANARY WHARF
LONDON E14 5HS
UNITED KINGDOM

PRUDENTIAL REGULATION AUTHORITY
20 MOORGATE
LONDON
EC2R 6DA
UNITED KINGDOM