Powers exercised

A. The Financial Conduct Authority makes this instrument in the exercise of the powers in section 60 (Applications for Approval) of the Financial Services and Markets Act 2000.

Commencement

B. This instrument comes into force on 12 September 2017.

Amendments to the Handbook

C. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

D. This instrument may be cited as the Approved Persons (Amendment to Application Forms) Instrument 2017.

By order of the Board
20 July 2017
Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text, except where indicated otherwise.

10A 4D

**Form A: Application to perform controlled functions under the approved person regime**

...  

Long Form A for Solvency II firms (excluding incoming EEA firms and large non-directive insurers):

...  

<table>
<thead>
<tr>
<th>Name of candidate†</th>
<th>(to be completed by applicant firm)</th>
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<table>
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<tr>
<th>Name of applicant firm†</th>
<th>(as entered in 2.01)</th>
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<table>
<thead>
<tr>
<th>Applicant firm reference number†</th>
<th>(as entered in 2.02)</th>
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</table>

2.02  

**Firm Firm Reference Number (FRN)**

3.02  

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 3.04

<table>
<thead>
<tr>
<th>Function</th>
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</table>
3.04 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 controlled function for that firm.

<table>
<thead>
<tr>
<th>Firm Reference Number</th>
<th>Name of firm</th>
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</table>

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, you 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.

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.)

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.

5.02 Civil Proceedings

5.02.1 Has the candidate ever been the subject of a judgment debt or award against the candidate?

Please give a full explanation of the events in question. The candidate should include all County Court Judgment(s) (CCJs) made against the candidate, whether satisfied or not; and

i) the sum and date of all judgment debts, awards or CCJs (whether satisfied or not); and

ii) the total number of all judgment 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 judgment debt or award referred
to in 5.02.1 above)? (The candidate should include, for example, injunctions and employment tribunal proceedings.)

5.02.9 Is the candidate currently:

a Party to any civil proceedings? (including those covered in 5.02.73 above)

b Aware of anybody’s intention to begin civil proceedings against the candidate? (The candidate should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)

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

a Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?

b The subject of a judgment debt or award against the firm? (The candidate should include all CCJs made against the firm, whether satisfied or not).

c Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.02.10a and 5.02.10b above?

5.03.4 Has the candidate ever participated in an arbitration proceedings board?

5.04 Regulatory Matters

5.04.1 In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see note section 5), has:

- The candidate, or
- Any company, partnership or unincorporated associate 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 –

j Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?
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 controlled functions for which approval is now being sought?

YES ☐ NO ☐

5.05.2 Does the candidate have, or know of, any:

a Qualifying ownership or any other form of substantial influence in the firm or group, or any other companies

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

YES ☐ NO ☐

b Close relatives with ownership shares in the firm or group

YES ☐ NO ☐

c Close relatives with any other financial relations in the firm or group

YES ☐ NO ☐

...

6.00 • If there is any other information the candidate or the firm considers to be relevant to the application, it must be included here.

• Please provide full details of
  o why the candidate is competent and capable to carry out the controlled function(s) applied for.
  o why the appointment complements the firm’s business strategy, activity and market in which it operates.
  o how the appointment was agreed including details of any discussions at governing body level (where applicable).

• Provide a copy of the candidate’s:-
  o Scope of Responsibilities with this form. This is not required for candidates for controlled function CF30 only.
  o Roles description
  o Curriculum Vitae (C.V.)
  o Place in the Applicant’s organisational chart

• Please also include here any additional information indicated in previous sections of the form.

• Please include 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 of the PRA Rulebook.)

• 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.

• Full details must be provided here if there were 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.
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 Financial Services and Markets Act 2000). 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 its 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 is 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 his/her knowledge and that he or she has 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 Scope 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 Scope of Responsibilities.

The candidate 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.

The candidate acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the employer/Applicant.

Where applicable, the candidate agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the firm submitting this application.

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 Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on the candidate.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this Form will be used by the FCA and PRA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the candidate.

The candidate confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA’s COCON and/or PRA Rulebook: Solvency II firms: Insurance- Conduct Standards (as applicable).

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 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 firm and/or individuals Applicant and/or the candidate.

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 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 its 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 is reasonably likely to consider the information material).

In addition to other regulatory responsibilities, firms, and 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 firm and/or individuals 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 required under Section 5 Where applicable, the applicant confirms that it has obtained the fullest information that it is lawfully able to obtain about the individual candidate under Part V of the Police Act 1997 and any related subordinated legislation of the UK or any part of the UK, and (where available) has given due consideration to that information in determining that individual to be fit and proper.

In making this application the firm 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 sections in 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).

The applicant confirms that it has complied with its obligations under Equality and Diversity legislation when selecting the Individual 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 and/or PRA Rulebook: Solvency II firms: Insurance - Conduct Standards (as applicable).
The **applicant** confirms that the Scope 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.

In signing this form on behalf of the **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 **firm**, 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**.

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

<table>
<thead>
<tr>
<th></th>
<th>Name of the <strong>firm</strong> submitting the application †</th>
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<tbody>
<tr>
<td>7.03</td>
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<tr>
<td></td>
<td>Name of <strong>person</strong> signing on behalf of the <strong>firm</strong> Applicant †</td>
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<tr>
<td>7.04</td>
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<td></td>
<td>Job title †</td>
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<td>7.05</td>
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<td></td>
<td>Signature*</td>
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<td>7.06</td>
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<td></td>
<td>Date †</td>
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</table>

Short Form A for Solvency II firms (excluding incoming EEA firms and large non-directive insurers):

... 

The **FCA** and **PRA** have produced notes which will assist both the applicant and the **candidate** in answering the questions in this form. Please read these notes, which are available on both **FCA** and **PRA** websites at:  
[http://www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)  
Both the applicant and the **candidate** will be treated by the **FCA** and **PRA** as having taken these notes into consideration when completing this form.

**Short Form A – Solvency II firms only**

**Application to perform controlled functions**

*FCA Handbook* Reference: SUP 10A Annex 4D  
*PRA Rulebook* Reference: Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications
Name of candidate†
(to be completed by applicant firm)

Name of applicant firm†
(as entered in 2.01)

Applicant Firm reference number†
(as entered in 2.02)

... 3.02 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 3.04.

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</table>

Insurance mediation
Will the candidate be responsible for Insurance mediation at the firm? YES ☐ NO ☐
Note: Yes can only be selected if the individual is applying for a governing function (other than controlled functions CF2a and CF2b) (MIPRU 2.2.2)

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.†

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5.05.4 Has the firm undertaken a criminal records check in accordance with the requirements of the PRA?
Please note that a firm is required to obtain request the fullest information that it is lawfully able to obtain about the candidate under Part V of the Police Act.

YES ☐ NO ☐
1997 (Certificates of Criminal Records, etc) and related subordinated legislation of the UK or any part of the UK before making the application. (Applications and Notifications in the PRA Rulebook)

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.

6.00

- If there is any other information the candidate or the firm considers to be relevant to the application, it must be included here.
- Please provide full details of
  - why the candidate candidate is competent and capable to carry out the controlled function(s) controlled function(s) applied for.
  - why the appointment complements the firm's firm's business strategy, activity and market in which it operates.
  - how the appointment was agreed including details of any discussions at governing body level (where applicable).
- Provide a copy of the candidate candidate's:
  - Scope of Responsibilities with this form. This is not required for candidates for controlled function CF30 only.
  - Roles description
  - Curriculum vitae (C.V.)
  - Place in the applicant's organisational chart
- Please also include here any additional information indicated in previous sections of the Form.
- Please include 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.)
- 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.
- Full details must be provided here if there were 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.

Declaration of Candidate

The candidate agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the firm firm submitting this application.

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 Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this Form will be used by the FCA and PRA to discharge their statutory functions under the Financial Services and Markets Act 2000.
Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant candidate.

The candidate confirms that he or she understands the regulatory responsibilities of my proposed role as set out in the rules of conduct in the FCA’s COCON and/or PRA Rulebook: Solvency II firms: Insurance Conduct Standards (as applicable).

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 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 appropriate regulator of such information may lead to the FCA and/or PRA taking disciplinary or other action against the firm and/or individuals.

Declaration of Firm

It is a criminal offence, knowingly or recklessly, to give the appropriate regulator information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act). Even if you believe or know that information has been provided to the appropriate regulator 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 appropriate regulator 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 appropriate regulator exercising its powers (including but not limited to taking disciplinary/Enforcement action). You must notify the appropriate regulator immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the appropriate regulator is reasonably likely to consider the information material).

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

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 appropriate regulator immediately if there is a material change to the information provided.

The Applicant authorises the appropriate regulator 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 required under Section 5 Where applicable, the applicant confirms that it has obtained the fullest information that it is lawfully able to obtain about the Individual under Part V of the Police Act 1997 and any related subordinated legislation of the UK or any part of the UK, and has given due consideration to that information in determining that Individual to be fit and proper.

In making this application the firm believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT that the candidate is a fit and proper person to perform the controlled function(s) listed in section 3. The firm 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).

The applicant confirms that it has complied with its obligations under Equality and Diversity legislation when selecting the Individual 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 and/or PRA Rulebook: Solvency II firms Insurance Conduct Standards (as applicable).

The applicant confirms that the Scope 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.

In signing this form on behalf of the 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 firm, 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.

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

7.03 Name of the firm submitting the application

7.04 Name of person signing on behalf of the firm

7.05 Job title

7.06 Signature

Date

Scope of responsibilities form for Solvency II firms:

For candidates for approval, this form must be submitted as an attachment to a Form A application or a Form E application.

PRA Rulebook Reference: Solvency II firms: Senior Insurance Managers Regime - Applications and Notifications

Please note: this form does NOT need to be completed for candidates for controlled function CF30 only.

Name of individual (to be completed by firm)

Name of firm (as entered in 2.01)

2.02 Firm Reference Number (FRN)

Controlled Functions

A Scope of Responsibilities should be drafted to clearly show the responsibilities that the candidate is to perform as part of their controlled function and other relevant responsibilities and how they fit in with the firm’s overall governance and management arrangements.

A Scope of Responsibilities should be drafted in such a way as to be practical and useable by regulators. The FCA and the PRA consider that this would be achieved by succinct, clear descriptions of each responsibility which avoid unnecessary detail. Firms have the opportunity to provide details of each responsibility allocated to an individual using the free text boxes in this form, however, the PRA and FCA would not usually expect the description of each responsibility to exceed 300 words.
A Scope of Responsibilities must be a self-contained document. There should be one document per Senior Insurance Management Function (SIMF) or Significant Influence Function (SIF) holder per firm. Each individual performs a senior insurance manager or significant influence function on behalf of more than one firm within a group, one Scope of Responsibilities is required for each firm. Any supplementary information may be provided in section 4 or submitted electronically in a single attachment. A Scope of Responsibilities must not cross-refer to or include other documents, attachments or links.

If the appropriate regulator considers that the Scope of Responsibilities is not sufficiently clear to be practical and useable, it could be challenged as part of a candidate’s application for approval, or in ongoing supervision.

Details of the individual’s responsibilities should be set out in sections 3.2 and 3.3, as appropriate:

- Section 3.2 covers those responsibilities required by regulators to be allocated to one or more controlled functions.
- Section 3.3 covers anything else, not otherwise included, for which a candidate is responsible.

### 3.1 Effective date and relevant Controlled Functions

3.1.1 Please state the effective date of this scope of responsibilities: / / 

3.1.2 List all SIMFs and SIFs which the approved person is to perform and the effective date the person commenced or will commence the performance of the functions. Please include those FCA functions that are included in a PRA controlled function under PRA Rulebook: Solvency II firms: Insurance—Senior Insurance Management Functions Chapter 2.

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### 3.2 PRA Prescribed Responsibilities

This section deals with those responsibilities required by PRA rules to be allocated to one or more controlled functions.

If the responsibilities that the candidate or a person performing SIMFs or SIFs is to carry out as described in the scope of responsibilities go beyond those set out in this section, those additional responsibilities should not reduce or alter the scope of the prescribed requirements set out in this section.

3.2.1 Please indicate below which of the responsibilities listed are/will be allocated to this individual. Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming controlled functions work together temporarily as part of a handover), please provide details.

If the individual has not been allocated a prescribed responsibility in this list, please go to section 3.3.

<table>
<thead>
<tr>
<th>Ref</th>
<th>Prescribed Responsibilities</th>
<th>Tick if applicable</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ensuring that the firm has complied with the obligation to ensure that every person who performs a key function is fit and proper</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Leading the development of the firm's culture by the governing body as a whole</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Overseeing the adoption of the firm's culture in its day-to-day management</td>
<td></td>
</tr>
<tr>
<td>Ref</td>
<td>Prescribed Responsibilities</td>
<td>Tick if applicable</td>
</tr>
<tr>
<td>-----</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
<td>--------------------</td>
</tr>
<tr>
<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4:</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Production and integrity of the firm’s financial information and regulatory reporting</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Management of the allocation and maintenance of the firm’s capital and liquidity</td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Development and maintenance of the firm’s business model by the governing body</td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Performance of the firm’s Own Risk and Solvency Assessment (ORSA)</td>
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<td>8</td>
<td>Policies and procedures for the induction, training and professional development for all members of the firm’s governing body</td>
<td></td>
</tr>
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<td>9</td>
<td>Policies and procedures for the induction, training and professional development for all the firm’s key function holders (other than members of the firm’s governing body)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3.3 Other Responsibilities</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3.3.1 Please set out below anything else, not otherwise included in this statement, for which a candidate or SIMF or SIF is to be responsible as part of their FCA and/or PRA controlled function(s), controlled function(s) or key function(s) role.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>For a firm that is not significant, which outsources its internal audit function to an external third party service provider (that is, a service provider outside the firm or the firm’s group), this should include the allocation, where applicable, of the responsibility for the provision of an effective internal audit function, and oversight of the performance of that function [see Insurance – Allocation of Responsibilities 3.3]</td>
<td></td>
</tr>
<tr>
<td></td>
<td>For a small run-off firm, this should include the allocation, where applicable, of each of the following responsibilities that are set out in Insurance – Allocation of Responsibilities 3.2</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Providing governing body with business plan and management information</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Management of financial resources</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Ensuring governing body is kept informed of legal &amp; regulatory obligations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Oversight of systems &amp; controls, and risk management policies and procedures</td>
<td></td>
</tr>
<tr>
<td></td>
<td>4.1 Is there any other information the individual or the firm considers to be relevant?</td>
<td></td>
</tr>
</tbody>
</table>
Declarations and signatures  

Section 5

Declaration by Individual*

The individual confirms that this Scope of Responsibilities form accurately reflects the aspects of the affairs of the firm which it is intended that the individual will be responsible for managing. The individual confirms that they have accepted all the responsibilities set out in this Scope of Responsibilities.

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

5.01 Individual’s full name

5.02 Signature*

Date

Declaration by Firm*

The Firm confirms that this Scope of Responsibilities form accurately reflects the aspects of the affairs of the Firm which it is intended that the individual will be responsible for managing.

In signing this form on behalf of the 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 firm, and sign this Form, on behalf of the firm identified in section 2.01.

5.03 Name of the firm submitting the scope of responsibilities

5.04 Name of person signing on behalf of the firm

5.05 Job title

5.06 Signature*

Date

Scope of responsibilities form for large non-directive insurers:

Name of individual†
(to be completed by firm)

2.02 Eiopa Firm Reference Number (FRN)

Controlled Functions  

Section 3
A Scope of Responsibilities should be drafted to clearly show the responsibilities that the candidate individual is to perform as part of their controlled function and other relevant responsibilities and how they fit in with the firm’s overall governance and management arrangements.

A Scope of Responsibilities should be drafted in such a way as to be practical and useable by regulators. The FCA and the PRA consider that this would be achieved by succinct, clear descriptions of each responsibility which avoid unnecessary detail. Firms have the opportunity to provide details of each responsibility allocated to an individual using the free text boxes in this form, however, the PRA and FCA would not usually expect the description of each responsibility to exceed 300 words.

A Scope of Responsibilities must be a self-contained document. There should be one document per Senior Insurance Management Function (SIMF) Senior Insurance Management Function (SIMF) holder or Significant Influence Function (SIF) Significant Influence Function (SIF) holder per firm. Where an individual performs a SIMF or SIF on behalf of more than one firm within a group group, one Scope of Responsibilities is required for each firm. Any supplementary information may be provided in section 4 (or if submitting electronically, in a single attachment). A Scope of Responsibilities must not cross refer to or include other documents, attachments or links.

If the appropriate regulator considers that the Scope of Responsibilities is not sufficiently clear to be practical and usable, it could be challenged as part of a candidate’s application for approval, or in ongoing supervision. Details of the individual’s responsibilities should be set out in sections 3.2 and 3.3, as appropriate:

- Section 3.2 covers those responsibilities required by regulators to be allocated to one or more controlled functions.
- Section 3.3 covers anything else, not otherwise included, for which a candidate individual is to be responsible.

### 3.1 Effective date and relevant Controlled Functions

3.1.1 Please state the effective date of this Scope of Responsibilities (dd/mm/yyyy):

3.1.2 List all SIMFs SIMFs and SIFs SIFs which the approved person individual is to perform and the effective date the person commenced or will commence the performance of the functions. Please include those FCA functions that are included in a PRA controlled function under PRA Rulebook: Large Non-Solvency II Firms: Senior Insurance Management Functions.

<table>
<thead>
<tr>
<th>Function</th>
<th>Description of a controlled function</th>
<th>Tick (if applicable)</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>…</td>
<td>…</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SIMF21</td>
<td>With profits Profits Actuary*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>…</td>
<td>…</td>
<td></td>
<td></td>
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### 3.2 PRA Prescribed Responsibilities

This section deals with those responsibilities required by PRA rules to be allocated to one or more controlled functions.

If the responsibilities that the candidate or a person performing SIMFs SIMFs or SIFs SIFs is to carry out as described in the scope of responsibilities go beyond those set out in this section, those additional responsibilities should not reduce or alter the scope of the prescribed requirements set out in this section.

3.2.1 Please indicate below which of the responsibilities listed are/will be allocated to this individual. Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming controlled functions work together temporarily as part of a handover), please provide details.

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<td>1</td>
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<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
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<td>2</td>
<td>Leading the development of the firm’s culture by the governing body as a whole</td>
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<tr>
<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
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<td>6</td>
<td>Development and maintenance of the firm’s business model by the governing body</td>
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<tr>
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<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
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<td>Policies and procedures for the induction, training and professional development for all members of the governing body</td>
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<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
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<td>9</td>
<td>Policies and procedures for the induction, training and professional development for all the firm’s key function holders (other than members of the governing body)</td>
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</tr>
<tr>
<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>Oversight of the independence, autonomy and effectiveness of the whistleblowing policies and procedures, including those for the protection of staff raising concerns</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Oversight of the firm’s remuneration policies and practices</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Is this responsibility shared with another SIMF or SIF? If ‘yes’ please provide further details in section 4.</td>
<td></td>
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</table>
### 3.3 Other Responsibilities

3.3.1 Please set out below anything else, not otherwise included in this statement, for which a candidate or SIMF or SIF is to be responsible as part of their FCA and/or PRA controlled function(s) or key function(s) role.

For a firm which outsources its internal audit function to an external third party service provider (that is, a service provider outside the firm or the firm’s group), this should include the allocation, where applicable, of the responsibility for the provision of an effective internal audit function, and oversight of the performance of that function [see Large Non-Solvency II firms - Allocation of Responsibilities 3.2]

### Declarations and signatures

#### Section 5

**Declaration by Individual**

The individual confirms that this Scope of Responsibilities form accurately reflects the aspects of the affairs of the firm which it is intended that the individual will be responsible for managing. The individual confirms that they have accepted all the responsibilities set out in this Scope of Responsibilities.

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

<table>
<thead>
<tr>
<th>5.01</th>
<th>Individual’s full name</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.02</td>
<td>Signature*</td>
</tr>
<tr>
<td></td>
<td>Date</td>
</tr>
</tbody>
</table>

**Declaration by Firm**

The Firm confirms that this Scope of Responsibilities form accurately reflects the aspects of the affairs of the Firm which it is intended that the individual will be responsible for managing.

In signing this form on behalf of the 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 firm, and sign this Form, on behalf of the firm identified in section 2.01.

<table>
<thead>
<tr>
<th>5.03</th>
<th>Name of the firm submitting the scope of responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.04</td>
<td>Name of person signing on behalf of the firm</td>
</tr>
<tr>
<td>5.05</td>
<td>Job title</td>
</tr>
<tr>
<td>5.06</td>
<td>Signature*</td>
</tr>
<tr>
<td></td>
<td>Date</td>
</tr>
</tbody>
</table>

### 10A

**Annex 8D**

**Form E: Internal transfer of an approved person**

Form E for Solvency II firms:
The FCA and PRA have produced notes which will assist both the applicant and the candidate candidate in answering the questions in this form. Please read these notes, which are available on the FCA and PRA’s websites at https://www.handbook.fca.org.uk/handbook/SUP/10A/Annex8 www.bankofengland.co.uk/PRA. Both the applicant and the candidate candidate will be treated by the FCA and PRA as having taken these notes into consideration when completing this form.

1.01 Candidate Individual Reference Number (IRN) †

2.02 Firm Reference Number (FRN)

3.01 List all controlled functions which the approved person approved person is ceasing to perform. The effective date is the date the person will cease to perform the functions.

4.02 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 4.04.

<table>
<thead>
<tr>
<th>Function</th>
<th>Description of a controlled function</th>
<th>Tick (if applicable)</th>
<th>Effective Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>SIMF 21</td>
<td>With profits Profits Actuary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SIMF 22</td>
<td>Underwriting function</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SIMF 23</td>
<td>Underwriting Risk Oversight Officer (Lloyd's)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SIMF 26</td>
<td>Head of small run-off firm function</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Insurance mediation

Will the candidate be responsible for Insurance mediation at the firm firm? YES NO

4.04 List all firms within the group (including the firm entered in 2.01) for which the applicant requires approval and the requested controlled function for that firm.

<table>
<thead>
<tr>
<th>Firm</th>
<th>Name of firm</th>
<th>Controlled function</th>
<th>Job title (mandatory)</th>
<th>Effective date</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td></td>
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</tbody>
</table>

...
5.00

- If there is any other information the candidate or the firm considers to be relevant to the application, it must be included here.
- Please provide full details of
  - why the candidate is competent and capable to carry out the controlled function(s) applied for.
  - why the appointment complements the firm's business strategy, activity and market in which it operates.
  - how the appointment was agreed including details of any discussions at governing body level (where applicable).
- Provide a copy of the candidate's:
  - Scope of Responsibilities with this form. This is not required for candidates for controlled function CF30 only.
  - Role(s) description
  - Curriculum Vitae (C.V.)
  - Organisational Place in the applicant's organisational chart

Declaration of Candidate

For the purposes of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the FCA and PRA to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for any other purpose without the permission of the applicant candidate.

Declaration of Firm

Knowingly or recklessly giving the FCA and/or PRA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). SUP 15.6.1R and SUP 15.6.4R of the FCA Handbook and Notification 6 of the PRA Rulebook require an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and/or PRA and to notify the FCA and/or PRA immediately if materially inaccurate information has been provided.

In addition to other regulatory responsibilities, firms, senior managers and other 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 firm and/or individuals.

It should not be assumed that information is known to the FCA and/or PRA merely because it is in the public domain or has previously been disclosed to the FCA and/or PRA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

In making this application the firm believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in FIT that the candidate candidate is a fit and proper person to perform the controlled function(s) listed in section 3. The firm also believes, on the basis of due and diligent enquiry, that the candidate candidate is competent to fulfill the duties required in the performance of such function(s).

IF UNDERTAKING ANY NON MiFID BUSINESS FOR WHICH THE FIRM HAS NOT PREVIOUSLY APPLIED

FOR AUTHORISATION, PLEASE ALSO COMPLETE THE FOLLOWING

The firm also believes, on the basis of due and diligent enquiry, that the candidate is competent to fulfill the duties required of such function(s).  YES ☐  NO ☐

Where applicable, the firm confirms that it has had sight of a criminal records certificate prepared within the past 3 months in relation to the Individual and has given due consideration to the information contained in that certificate in determining that Individual to be fit and proper. Alternatively, where a certificate is not obtained the firm has provided an explanation in section 5.

In signing this form on behalf of the firm:
a) 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.
b) I confirm that I have authority to make this application and provide the declarations given by the firm, and sign this form, on behalf of the firm identified in section 2.01 and/or each firm identified in section 4.04. 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.
c) I confirm the candidate has been made aware of the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA’s Conduct Rules (COCON) and/or PRA Rulebook: Solvency II firms: Insurance- Conduct Standards (as applicable).
d) I confirm that the Scope of Responsibility 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.

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

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>6.03</td>
<td>Name of the firm submitting the application†</td>
</tr>
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<td>6.04</td>
<td>Name of person signing on behalf of the firm†</td>
</tr>
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<td>6.05</td>
<td>Job title†</td>
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<td>6.06</td>
<td>Signature</td>
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