

SUPERVISION MANUAL (AMENDMENT No 23) INSTRUMENT 2017

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the power in section 60 (Applications for approval) in the Financial Services and Markets Act 2000 (“the Act”).

Commencement

- B. This instrument comes into force on 23 February 2018.

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 Supervision Manual (Amendment No 23) Instrument 2017.

By order of the Board
7 December 2017

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text.

The forms ‘Short Form A (UK Relevant Authorised Persons and Third Country Relevant Authorised Persons only)’ and ‘Short Form A (EEA Relevant Authorised Persons only)’ at SUP 10C Annex 2D (Form A: Application to perform senior management functions) are amended as shown.

10C Annex 2D Form A: Application to perform senior management functions



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY

Application number
(for FCA/PRA use only)

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:

<https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex2D.html>

<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 – UK Relevant Authorised Persons and Third Country Relevant Authorised Persons only

Application to perform senior management functions

FCA Handbook Reference: SUP 10C Annex 2D

PRA Rulebook Reference: Senior Managers Regime - Applications and Notifications

~~12 November 2017~~ 23 February 2018

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Fitness and Propriety

Section 5

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5.2

Has the *firm* undertaken a criminal records check in accordance with the requirements of the FCA or PRA?

Please note that a *firm* is required to request the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of criminal records, etc) and related subordinated legislation of the UK or any part of the UK before making the application. (SUP 10C.10.16R and PRA Rulebook: Fitness and Propriety).

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.

YES NO



Application number
(for FCA use only)

The FCA has 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 the FCA website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex2D.html>

Both the applicant and the candidate will be treated by the FCA as having taken these notes into consideration when completing this form.

Short Form A – EEA Relevant Authorised Persons Only

Application to perform senior management functions

FCA Handbook Reference: SUP 10C Annex 2D

7 March 2017 23 February 2018

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Fitness and Propriety

Section 5

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5.2

Has the firm undertaken a criminal records check in accordance with the requirements of the FCA?

Please note that a firm is required to request the fullest information that it is lawfully able to obtain about the candidate under Part V of the Police Act 1997 (Certificates of criminal records, etc) and related subordinated legislation of the UK or any part of the UK before making the application. (SUP 10C.10.16R).

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.

YES NO