

**MiFID 2 APPROVED PERSONS AND SENIOR MANAGERS (FORM
AMENDMENTS) INSTRUMENT 2017**

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (the “Act”):
- (1) section 55A (Application for permission);
 - (2) section 55U (Applications under this Part);
 - (3) section 59 (Approval for particular arrangements);
 - (4) section 60 (Applications for approval);
 - (5) section 60A (Vetting candidates by relevant authorised persons);
 - (6) section 61 (Determination of applications);
 - (7) section 62A (Changes to responsibilities of senior managers);
 - (8) section 64A (Rules of conduct);
 - (9) section 137A (The FCA’s general rules);
 - (10) section 137T (General supplementary powers);
 - (11) section 138D (Action for damages);
 - (12) section 139A (Power of the FCA to give guidance); and
 - (13) section 226 (Compulsory jurisdiction).
- B. The rule-making powers listed above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 3 January 2018.

Amendments to the Handbook

- D. The Glossary of definitions is amended in accordance with Annex A to this instrument.
- E. The Supervision manual (SUP) is amended in accordance with Annex B to this instrument.

Citation

- F. This instrument may be cited as the MiFID 2 Approved Persons and Senior Managers (Form Amendments) Instrument 2017.

By order of the Board
7 December 2017

Annex A

Amendments to the Glossary of definitions

Insert the following new definition in the appropriate alphabetical position. The text is not underlined.

MiFID II ITS

MiFID II/MiFIR draft Technical Standards ESMA/2015/1006 of 29 June 2015 on authorisation, passporting, registration of third country firms and cooperation between competent authorities.

Annex B

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text, unless otherwise stated.

10A FCA Approved Persons

...

10A.13 Application for approval and withdrawing an application for approval

...

How to apply for approval

...

10A.13. G ...
4

10A.13. 4A G When a *MiFID investment firm* (except a *credit institution*) notifies the FCA of a change using Form A or Form E, they must also submit the MiFID Article 4 APER Information Form. The details can be found in SUP 10A.14.4BD.

...

10A.14 Changes to an FCA-approved person's details

...

Moving within a firm

10A.14. D ...
4

10A.14. 4A G (1) The *MiFID II ITS* requires that *MiFID investment firms* (except *credit institutions*) submit the Annex III information on the ESMA template available at <https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx> ('Annex III template') where there is a change to a member of the *management body* or a *person who effectively directs the business*.

(2) *MiFID investment firms* (except *credit institutions*) need to submit this Annex III template within ten *business days* of the change in the *online notification and application system* (also known as Connect).

- (3) In summary, where there is a change to a member of the management body or a person who effectively directs the business of a MiFID investment firm (excluding a credit institution) then the firm is required to submit the following forms (in addition to the relevant Form A, C, or E about a candidate):
- (a) Where a new member of the management body or a person who effectively directs the business is appointed:
- (i) The Annex III template; and
(ii) MiFID Article 4 APER Information Form.
- (b) Where a person ceases being a member of the management body or a person who effectively directs the business, the Annex III template (in addition to the relevant Form E).
- (4) Where the Annex III template requires the firm to provide information which is also contained in Form A and/or E, the firm may, instead of duplicating the information, cross-refer to the information in the relevant Form A or E and annex those forms to the Annex III template (see SUP 10A.14.4C).

10A.14.4B D Where there is a change to a member of the management body or person who directs the business, MiFID investment firms (except credit institutions) must submit to the FCA the completed form found in SUP 10A Annex 10D (MiFID Article 4 APER Information Form) at the same time as submitting Form A and/or E about a candidate.

[Editor's note: This is in accordance with the information required in article 4 of the Commission Delegated Regulation of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on information and requirements for the authorisation of investment firms.]

10A.14.4C G Therefore, MiFID investment firms (except credit institutions) who submit:

- (a) Form A and/or E; and
... (b) the MiFID Article 4 APER Information Form

about a candidate may complete the Annex III template outlined in SUP 10A.14.4A(1) by cross-referring to the information in the relevant Form A and/or E where it has already been provided by the firm, and this would then be annexed to the relevant Form A and/or Form E.

...

Ceasing to perform an FCA controlled function

10A.14.8 R (1) A firm must submit to the FCA a completed Form C, in the form set out in SUP 10A Annex 6R, no later than ~~seven~~ ten business days

after an *FCA-approved person* ceases to perform an *FCA controlled function*.

...

...

- 10A.14. G A *firm* can submit Form C or Form E and the MiFID Article 4 APER
 13 Information Form to the *FCA* in advance of the cessation date. When a *person* ceases the arrangement under which ~~he performs~~ they perform an *FCA controlled function*, ~~he~~ they will automatically cease to be an *FCA-approved person* in relation to that *FCA controlled function*. A *person* can only be an *FCA-approved person* in relation to a specific *FCA controlled function*. Therefore, a *person* is not an *FCA-approved person* during any period between ceasing to perform one *FCA controlled function* (when ~~he is~~ they are performing no other *FCA controlled function*) and being approved in respect of another *FCA controlled function*.

...

After SUP 10A Annex 9 Form G (The Retail Investment Adviser Complaints Alerts Form) insert the following new annex SUP 10A Annex 10D (MiFID Article 4 APER Information Form). The text is not underlined.



MiFID Article 4 APER Information Form

Full name of *applicant firm* and Firm Reference Number (FRN)

Purpose of this form

MiFID II requires certain information to be provided by the *applicant firm* when making changes to their *management body* or key function holders. The information required is detailed in the MiFID II Regulatory Technical Standards (RTS)¹ and Implementing Technical Standards (ITS)². The information in this form is required to enable us to fulfil our obligations in obtaining this information.

Contents of this form

	<u>Page</u>
1 Long Form A	5
2 Form E	8

Important information you should read before completing this form

We require all *MiFID investment firms* (except *credit institutions*) making changes to their *management body* or key function holders to provide these details as part of their application for the *individual* to hold a *controlled function* or internal transfer of an *approved person*.

Please keep a copy of the forms you complete and the supporting documents that you include with the application for your future reference.

The notes that accompany this form will help you complete the questions and they also explain why we require the information we ask you for.

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under the Financial Services and Markets Act 2000 (FSMA) and other relevant legislation and may be disclosed to third parties for those purposes.

It is important that you provide accurate and complete information and disclose all relevant information. If you do not, it will call into question your suitability to be authorised, and you may be committing a criminal offence and could face prosecution under section 398A of the FSMA regardless of the status of your application.

Terms in this form

In this application pack we use the following terms:

- 'you' refers to the person(s) signing the form on behalf of the applicant firm;
- 'the individual' refers to the person holding the controlled function
- 'the applicant firm' refers to the firm applying for authorisation of the individual;
- 'we', 'us' or 'our' refers to the appropriate regulator;
- 'the FCA' refers to the Financial Conduct Authority;
- FSMA refers to the Financial Services and Markets Act 2000.

Filling in the form using Connect

- 1** If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
 - save all the parts of the form you have completed and attach to your application.
- 2** If you think a Question is not relevant to you, write 'not applicable' and explain why. When completing the Annex III ESMA template , you may cross refer to this form for any information already provided.
- 3** If you leave a Question blank or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 5** Ensure you have:
 - completed the relevant Long Form A or Form E;
 - completed the Annex III ESMA template and attached;
 - completed this additional information form; and
 - attached any supporting documents.

When you are required to attach supporting documents (e.g. Disclosure and Barring Service check where relevant) to your application, failure to do so will mean your application will not be progressed and you will be prevented from being able to submit your application through Connect.

Filling in the form using the paper application forms on the FCA website

- 1** If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
- 2** If you are filling in the form by hand:-
 - use black ink;
 - write clearly; and
 - sign the declaration in the 'checklist and declaration' form.
- 3** If you think a Question is not relevant to you, write 'not applicable' and explain why.
- 4** If you leave a Question blank, do not sign the declaration or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 6** Post the application consisting of:
 - completed the relevant Long Form A or Form E
 - completed the Annex III ESMA template;
 - completed this additional information form; and
 - attached any supporting documents.

**For Solo Regulated Firms:-
Permissions Department
The Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London
E14 5HS**

**For Dual Regulated Firms:-
The Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA**

1

If you have completed a Long Form A, please provide the information below

1 Personal details

Phone number (including STD code)	
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Email address	
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2 Curriculum Vitae

2.1 Relevant education and professional training

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Relevant Education	
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Professional Training	
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2.2 Professional experience, including the names of all organisations for which the person has worked and nature and duration of the functions performed

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

2.3 For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the Long Form A (Section 4) or CV.

The Long Form A requests employment history for the past 5 years. If you have not provided the information above, or need to provide information for a further 5 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control

3 Reputation and experience

3.1 Please provide a list of reference persons including contact information

Reference	Contact information

3.2 Please attach any letters of recommendation to the application as supporting documents

4 Investigations

If answered positively, the information could be provided through an official certificate (if and so far as it is available from the relevant Member State or third country), or through another equivalent document.

In the United Kingdom, this could be a Disclosure and Barring Service check (DBS) and attached as a supporting document to the application.

For on-going investigations information could be provided through a declaration of honour.

5 Assessment of reputation and experience

MiFID II requires information on whether an assessment of reputation and experience as an acquirer or as a person who directs the business has already been conducted (including the date of the assessment, the identity of that authority and evidence of the outcome of this assessment).

5.1 Please provide details of:

Date of assessment

Identity of the authority that conducted the assessment

Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document)

6 Financial and non-financial interests

If you have not already provided this information in section 5 of the Long Form A, please provide information on any financial and non-financial interests or relationships of the person and his/her close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders

7 Time devoted to the performance of functions

MiFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).

Please provide this information below:

8 Human and financial resources

MiFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).

Please provide this information below:

2

If you have completed a Form E, please provide the information below

1 Personal details

Phone number (including STD code)	
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Email address	
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2 Curriculum Vitae

2.1 Relevant education and professional training

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Relevant Education	
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Professional Training	
-----------------------	--

2.2 Professional experience, including the names of all organisations for which the person has worked and nature and duration of the functions performed

This information may already have been included in a CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

2.3 For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the CV.

If you have not provided the information above, or need to provide further information for positions held in the previous 10 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control

3 Reputation and experience

3.1 Please provide a list of reference persons including contact information

Reference	Contact information

3.2 Please attach any letters of recommendation to the application as supporting documents

4 Investigations

MiFID II requires information on:

- criminal records and information on criminal investigations and proceedings
- relevant civil and administrative cases, and
- disciplinary actions opened against them (including disqualifications as a company director, bankruptcy, insolvency and similar procedures).

The information could be provided through an official certificate (if and so far as it is available from the relevant Member State or third country), or through another equivalent document.

In the United Kingdom, this could be a Disclosure and Barring Service check (DBS) and attached as a supporting document to the application.

For on-going investigations information could be provided through a declaration of honour.

The FCA and PRA would generally only expect applicants to provide information in relation to ongoing investigations and proceedings.

By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, *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, the *candidate* must disclose spent convictions (other than a protected conviction).

4.1 If not already provided, please provide information on:

criminal records and information on criminal investigations and proceedings

relevant civil and administrative cases, and

disciplinary actions opened against them (including disqualifications as a company director, bankruptcy, insolvency and similar procedures).

5 Previous registration, authorisation, membership or licence

MiFID II requires information on:

- refusal of registration, authorisation, membership or licence to carry out a trade, business or profession; or
- the withdrawal, revocation or termination of such a registration, authorisation, membership or licence; or
- expulsion by a regulatory or government body or by a professional body or association.

If not already provided, please provide information on:

refusal of registration, authorisation, membership or licence to carry out a trade, business or profession

the withdrawal, revocation or termination of such a registration, authorisation, membership or licence

expulsion by a regulatory or government body or by a professional body or association.

6 Previous dismissals

MiFID II requires information on dismissal from employment or a position of trust, fiduciary relationship, or similar situation.

If not already provided, please provide information on:

dismissal from employment or a position of trust, fiduciary relationship, or similar situation.

7 Assessment of reputation and experience

MiFID II requires information on whether an assessment of reputation and experience as an acquirer or as a person who directs the business has already been conducted (including the date of the assessment, the identity of that authority and evidence of the outcome of this assessment).

Please provide details of:

Date of assessment

Identity of the authority that conducted the assessment

Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document).

8 Financial and non-financial interests

If you have not already provided, please provide information on any financial and non-financial interests or relationships of the person and his/her close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders.

9 Suitability assessment

If you have not already provided, please provide details of the result of any assessment of the suitability of the members of the management body, performed by the applicant firm itself.

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10 Time devoted to the performance of functions

MiFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).

Please provide this information below:

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11 Human and financial resources

MiFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).

Please provide this information below:

--

12 Executive and non executive directorships

MiFID II requires a list of executive and non-executive directorships currently held by the person.

If not already provided, please provide a list of executive and non-executive directorships held by the person:

Organisation name	Type of directorship

Amend the following as shown.

10C FCA senior management regime for approved persons in relevant authorised persons

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10C.10 Application for approval and withdrawing an application for approval

...

How to apply for approval

...

10C.10.9 D ...

- 10C.10.9 A G (1) The MiFID II ITS requires that MiFID investment firms (except credit institutions) submit the Annex III information on the ESMA template available at <https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.doc> ('Annex III template') where there is a change to a member of the *management body* or a *person who effectively directs the business*.
- (2) MiFID investment firms (except credit institutions) need to submit this Annex III template within ten *business days* of the change in the *online notification and application system* (also known as Connect).
- (3) In summary, where there is a change to a member of the *management body* or a *person who effectively directs the business of a MiFID investment firm* (except a *credit institution*) then the *firm* is required to submit the following forms (in addition to the relevant Form A, C, or E about a *candidate*):
- (a) Where a new member of the *management body* or a *person who effectively directs the business* is appointed :
- (i) the Annex III template; and
- (ii) MiFID Article 4 SMR Information Form.
- (b) Where a person ceases being a member of the *management body* or a *person who effectively directs the business*, then the *firm* must submit the Annex III template (in addition to the relevant Form E).
- (4) Where the Annex III template requires the *firm* to provide information which is also contained in Form A and/or E, the *firm*

may, instead of duplicating the information, cross-refer to the information in the relevant Form A or E and annex those forms to the Annex III template (see SUP 10C.10.9C).

10C.10.9 D B Where there is a change to a member of the *management body* or *person* who directs the business, *MiFID investment firms* (except *credit institutions*) must submit to the *FCA* the completed form found in *SUP 10C Annex 7D* (*MiFID Article 4 SMR Information Form*) at the same time as submitting Form A and/or E about a *candidate*.

[Editor's note: This is in accordance with the information required in article 4 of the Commission Delegated Regulation of 14 July 2016 supplementing Directive 2014/65/EU of the European Parliament and of the Council with regard to regulatory technical standards on information and requirements for the authorisation of investment firms.]

10C.10.9 G C *MiFID investment firms* (except *credit institutions*) who submit:

- (a) Form A and/or E; and
- (b) the MiFID Article 4 SMR Information Form

about a *candidate* can complete the Annex III template outlined in *SUP 10C.10.9A* by cross-referring to the information in the relevant Form A and/or E where it has already been provided by the *firm*, and this would then be annexed to the relevant Form A and/or Form E.

...

10C.10.1 G 8 Subject to *SUP 10C.10.18A*, ~~The~~ the *firm* should not send a copy of the certificate to the *FCA*.

10C.10.1 G 8A *MiFID investment firms* (except *credit institutions*) should provide a copy of the certificate in cases where they disclose the existence of a criminal conviction in response to the questions in:

- (a) Long Form A; and
- (b) The MiFID Article 4 SMR Information Form accompanied by Form E.

...

10C.11 Statements of responsibilities

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Revised statements of responsibilities: Procedure

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- 10C.11.8 G Broadly, the intention of *SUP* 10C.11.7D(2) is that there is no need for Form J if the revised *statement of responsibilities* is being submitted together with Form A, Form E, the MiFID Article 4 SMR Information Form or Form I for the same *firm*.

...

10C.14 Changes to an FCA-approved person's details

Moving within a firm

...

- 10C.14.2 G (1) A *firm* should generally use Form E where an *approved person* is both ceasing to perform one or more *controlled functions* and needs to be approved in relation to one or more *FCA-designated senior management functions* within the same *firm* or *group*.
- (2) In certain cases, a *firm* should use Form A.
- (2A) When a *MiFID investment firm* (except a *credit institution*) notifies the *FCA* of a change using Form A or Form E, they must also submit the MiFID Article 4 SMR Information Form (see *SUP* 10C.10.9BD).
- (3) The details can be found in *SUP* 10C.10.8D to *SUP* 10C.10.9CG.

...

Ceasing to perform an FCA-designated senior management function

- 10C.14.5 R (1) A *firm* must notify the *FCA* no later than ~~seven~~ ten *business days* after an *FCA-approved SMF manager* ceases to perform an *FCA-designated senior management function*.

...

...

- 10C.14.1 G (1) A *firm* can submit Form C or Form E and the MiFID Article 4 SMR Information Form to the *FCA* in advance of the cessation date.
- (2) If the actual cessation date turns out to be different from the one notified in advance, the *firm* should notify the *FCA*.
- (3) If the *firm* does not submit Form C (including a qualified one), the MiFID Article 4 SMR Information Form, or Form E, it should inform the *FCA* in due course of the reason. This could be done using Form D, if appropriate.

...

10C.15 Forms and other documents and how to submit them to the FCA

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Forms and documents

...

10C.15.3 G Table: FCA approved persons forms and other documents

Form or other document		Purpose	Handbook requirement
...			
Relevant statement of responsibilities	<i>SUP 10C Annex 5D</i>		<i>SUP 10C.11</i>
<u>MiFID Article 4 SMR Information Form</u>	<u><i>SUP 10C Annex 7D</i></u>		<u><i>SUP 10C.11</i></u>
<u>Annex III template</u>	https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx	<u>As required by <i>MiFID II ITS</i></u>	<u><i>SUP 10C.10.9B</i></u>
...			

10C.15.1 R Table: Method of submission
0

Form or other document	Firms that are not credit unions	Credit unions
...		
Relevant statement of responsibilities	In accordance with the requirements for the form with which it is	In accordance with the requirements for the form with which it is

	submitted	submitted
<u>MiFID Article 4 SMR Information Form</u>	<u>Submit at the same time as Form A and/or E</u>	<u>Not applicable</u>
<u>Annex III template</u>	<u>Submit at the same time as Form A, C and/or E</u>	<u>Not applicable</u>

...

After SUP 10C Annex 6D (Form J: Notification of significant change to a statement of responsibilities) insert the following new annex SUP 10C Annex 7D (MiFID Article 4 SMR Information Form). The text is not underlined.



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



MiFID Article 4 SMR Information Form

Full name of applicant firm and Firm Reference Number (FRN)

Important information you should read before completing this form

We require all *MiFID investment firms* (except *credit institutions*) making changes to their *management body* or key function holders to provide these details as part of their application for the *individual* to hold a *controlled function* or internal transfer of an *approved person*.

Please keep a copy of the forms you complete and the supporting documents that you include with the application for your future reference.

The notes that accompany this form will help you complete the questions and they also explain why we require the information we ask you for.

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- 'we', 'us' or 'our' refers to the appropriate regulator;
- 'the FCA' refers to the Financial Conduct Authority;
- 'the PRA' refers to the Prudential Regulation Authority; and
- FSMA refers to the Financial Services and Markets Act 2000.

Purpose of this form

MIFID II requires certain information to be provided by the applicant firm when making changes to their management body or key function holders. The information required is detailed in the MiFID II Regulatory Technical Standards (RTS)¹ and Implementing Technical Standards (ITS)². The information in this form is required to enable us to fulfil our obligations in obtaining this information.

Contents of this form

		<u>Page</u>
1	Long Form A completed	5
2	Form E completed	9
3	Form M (PRA only) completed	14

Filling in the form using the paper application forms on the FCA website

- 1** If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
- 2** If you are filling in the form by hand:-
 - use black ink;
 - write clearly; and
 - sign the declaration in the 'checklist and declaration' form.
- 3** If you think a Question is not relevant to you, write 'not applicable' and explain why. When completing the Annex III ESMA template, you may cross refer to this form for any information already provided.
- 4** If you leave a Question blank, do not sign the declaration or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 6** Post the application consisting of:
 - completed the relevant Long Form A or Form E;
 - completed the Annex III ESMA template;
 - completed this additional information form; and
 - attached any supporting documents.

For Solo Regulated Firms:- Permissions Department The Financial Conduct Authority 25 The North Colonnade Canary Wharf London E14 5HS	For Dual Regulated Firms:- The Prudential Regulation Authority 20 Moorgate London
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Filling in the form using Connect

- 1** If you are using your computer to complete the form:
 - use the TAB key to move from Question to Question and press SHIFT TAB to move back to the previous Question; and
 - save all the parts of the form you have completed and attach to your application.
- 2** If you think a Question is not relevant to you, write 'not applicable' and explain why. . When completing the Annex III ESMA template, you may cross refer to this form for any information already provided.
- 3** If you leave a Question blank or do not attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time taken to assess your application.
- 4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant Question number.
- 5** Ensure you have:
 - completed the relevant Long Form A, Form E or Form M;
 - completed the Annex III ESMA template;
 - completed this additional information form; and
 - attached any supporting documents.

When you are required to attach supporting documents (e.g. Disclosure and Barring Service check where relevant) to your application, failure to do so will mean your application will not be progressed and you will be prevented from being able to submit your application through Connect.

1

If you have completed a Long Form A, please provide the information below

1 Personal details

Phone number (including STD code)	
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Email address	
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2 Curriculum Vitae

a. Relevant education and professional training

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Relevant Education	
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Professional Training	
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b. Professional experience, including the names of all organisations for which the person has worked and nature and duration of the functions performed

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the Long Form A (Section 4) or CV.

The Long Form A requests employment history for the past 5 years. If you have not provided the information above, or need to provide information for a further 5 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control

3 Reputation and experience

The Long Form A queries if you have obtained a reference/references from current or previous employers (Section 5.05) during the last six years in accordance with SYSC 22 and Fitness and Propriety 2 in the PRA Rulebook.

a. Please provide a list of reference persons including contact information

Reference	Contact information

b. Please attach any letters of recommendation to the application

4 Investigations

If a question in section 5 of the Long Form A is answered positively, the information could be provided through an official certificate (if and so far as it is available from the relevant Member State or third country), or through another equivalent document.

In the Long form A (Section 5) firms are asked to confirm if they have undertaken a criminal records check in accordance with the requirements of the FCA or PRA. In the United Kingdom, a copy of this check could be provided as the official certificate requested.

For on-going investigations information could be provided through a declaration of honour.

5 Assessment of reputation and experience

MiFID II requires information on whether an assessment of reputation and experience as an acquirer or as a person who directs the business has already been conducted (including the date of the assessment, the identity of that authority and evidence of the outcome of this assessment).

If an assessment of reputation and experience as an acquirer or as a person who directs the business already been conducted please provide details of:

Date of assessment

Identity of the authority that conducted the assessment

Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document)

6 Financial and non-financial interests

If you have not already provided this information in section 5 of the Long Form A, please provide information on any financial and non-financial interests or relationships of the person and his/her close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders

7 Time devoted to the performance of functions

MiFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).

Please provide this information below:

8 Human and financial resources

MiFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).

Please provide this information below:

2

If you have completed a Form E, please provide the information below

1 Personal details

Phone number (including STD code)	
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Email address	
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2 Curriculum Vitae

a. Relevant education and professional training

This information may already have been included in any CV provided or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Relevant Education	
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Professional Training	
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b. Professional experience, including the names of all organisations for which the person has worked and nature and duration of the functions performed

This information may already have been included in the CV or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in the CV.

If you have not provided the information above, or need to provide further information about positions held in the previous 10 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control

3 Reputation and experience

a. Please provide a list of reference persons including contact information

Reference	Contact information

b. Please attach any letters of recommendation to the application

4 Investigations

MiFID II requires information on:

- criminal records and information on criminal investigations and proceedings
- relevant civil and administrative cases, and
- disciplinary actions opened against them (including disqualifications as a company director, bankruptcy, insolvency and similar procedures).

This information could be provided through an official certificate (if and so far as it is available from the relevant Member State or third country), or through another equivalent document.

In the Form E (Section 4.3) firms are asked to confirm if they have undertaken a criminal records check in accordance with the requirements of the FCA or PRA. In the United Kingdom, a copy of this check could be provided as the official certificate requested.

For on-going investigations information could be provided through a declaration of honour.

The FCA and PRA would generally only expect applicants to provide information in relation to ongoing investigations and proceedings.

By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, *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, the *candidate* must disclose spent convictions (other than a protected conviction).

If not already provided, please provide information on:

criminal records and information on criminal investigations and proceedings

relevant civil and administrative cases, and

disciplinary actions opened against them (including disqualifications as a company director, bankruptcy, insolvency and similar procedures).

5 Previous registration, authorisation, membership or licence

MiFID II requires information on:

- refusal of registration, authorisation, membership or licence to carry out a trade, business or profession; or
- the withdrawal, revocation or termination of such a registration, authorisation, membership or licence; or
- expulsion by a regulatory or government body or by a professional body or association

If not already provided, please provide information on:

refusal of registration, authorisation, membership or licence to carry out a trade, business or profession

the withdrawal, revocation or termination of such a registration, authorisation, membership or licence

expulsion by a regulatory or government body or by a professional body or association.

6 Previous dismissals

MiFID II requires information on dismissal from employment or a position of trust, fiduciary relationship, or similar situation.

If not already provided, please provide this information:

7 Assessment of reputation and experience

MiFID II requires information on whether an assessment of reputation and experience as an acquirer or as a person who directs the business has already been conducted (including the date of the assessment, the identity of that authority and evidence of the outcome of this assessment).

If an assessment of reputation and experience as an acquirer or as a person who directs the business already been conducted please provide details of:

Date of assessment

Identity of the authority that conducted the assessment

Evidence of the outcome of assessment (please detail if this evidence is attached as a supporting document)

If you have not already provided this information, please provide information on any financial and non-financial interests or relationships of the person and his/her close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders

9 Time devoted to the performance of functions

MiFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).

Please provide this information below:

10 Human and financial resources

MiFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).

Please provide this information below:

11 Executive and non executive directorships

MiFID II requires a list of executive and non-executive directorships currently held by the person.

If not already provided, please provide a list of executive and non-executive directorships held by the person:

Organisation name	Type of directorship

3

If you have completed a Form M (PRA only), please provide the information below

1 Personal details

Phone number (including STD code)	
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Email address	
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2 Curriculum Vitae

a. Relevant education and professional training

This information may already have been included in any CV provided or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Relevant Education	
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Professional Training	
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b. Professional experience, including the names of all organisation for which the person has worked and nature and duration of the functions performed

This information may already have been included in any CV provided or page 4 of the Annex III ESMA template. If already provided, there is no need to detail here.

Complete any information not already provided

Name of organisation	Nature of functions performed	Duration

c For positions held in the previous 10 years, when describing those activities, details shall be included on all delegated powers and internal decision-making powers held and the areas of operations under control

This information may already have been included in any CV provided.

If you have not provided the information above, or need to provide information for a further 5 years, you can detail below.

Period (mm/yyyy) From - To	Name of employer	Delegated powers and internal decision making powers	Areas of operation under control

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3 Reputation and experience

a. Please provide a list of reference persons including contact information

Reference	Contact information

b. Please attach any letters of recommendation to the application

4 Investigations

If a question in section 4 of the Form M is answered positively, the information could be provided through an official certificate (if and so far as it is available from the relevant Member State or third country), or through another equivalent document.

In the United Kingdom, a copy of any criminal records check could be provided as the official certificate requested.

For on-going investigations information could be provided through a declaration of honour.

5 Time devoted to the performance of functions

MiFID II requires information on the minimum time that will be devoted to the performance of the individual's functions within the firm (annual and monthly indications).

Please provide this information below:

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6 Human and financial resources

MiFID II requires information on human and financial resources devoted to the induction and training of the members (annual indication).

Please provide this information below:

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