Application under MIFIDPRU 4.14.6R for permission to exclude transactions with some counterparties from K-TCD requirement -Additional firm questions

For group applications, the below section must be completed separately for each entity requiring the permission, including for the consolidated situation of the UK parent if the application is also being made on a consolidated basis

1. Please confirm the FRN and name of the MIFIDPRU investment firm or consolidating UK parent this section relates to:

|  |  |
| --- | --- |
| FRN  |  |
| Name  |  |

1. Please provide the following information about the counterparty or counterparties that the applicant firm wishes to exclude from the calculation of its K-TCD requirement.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| * + - 1. **FRN/LEI**
 | * + - 1. **Name**
 | * + - 1. **Relationship**
 | * + - 1. **Type of firm**
 | * + - 1. **Location**
 |
|  |  | * + - 1. *Select one of the following:*
			2. *● Parent*
			3. *● Subsidiary*
			4. *● Subsidiary of parent*
			5. *● Linked by majority common management*
 | * + - 1. *Select one of the following:*
			2. *●* *Credit institution*
			3. *● Investment firm*
			4. *● Financial institution*
 |  |
|  |  |  |  |  |
|  |  |  |  |  |

1. Confirm whether the applicant firm and the counterparty or counterparties are:

|  |  |
| --- | --- |
| * + - 1. Part of the same prudential consolidation group under the UK CRR
 | * + - 1. *Yes/No*
 |
| * + - 1. Part of the same prudential consolidation group under MIFIDPRU 2.5
 | * + - 1. *Yes/No*
 |
| * + - 1. Supervised together for compliance with the group capital test under MIFIDPRU 2.6
 | * + - 1. *Yes/No*
 |

1. Please attach a group structure chart which clearly identifies the applicant firm and the above counterparty or counterparties.

[ ]  Attached

1. In order for a firm to be granted permission to exclude transactions with a counterparty or counterparties from its K-TCD requirement, the counterparty or counterparties concerned must be subject to the same risk evaluation measurement and control procedures as the firm.

Please explain how the firm’s counterparty or counterparties satisfy this requirement and provide supporting information to substantiate your response.

[ ]  Supporting information attached

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|  |

1. To the best of your knowledge, are there any current or foreseen material practical or legal impediments to the prompt transfer of own funds or repayment of liabilities from the counterparty, or counterparties, to the firm?

[ ]  Yes4 Give details below

[ ]  No

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| --- |
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