**Fif Financial Services AuthorityApplication for a Payment Institution:**



**Form I – Application to add, vary or remove a**

**conditional approval for the performance of a senior management function**FCA Handbook Reference: SUP 10C Annex 8D  
Terms defined in either or both of the FCA Handbook or the PRA Rulebook are italicised and should be construed accordingly.

**Name of individual** (to be completed by applicant firm)

|  |
| --- |
|  |

**Name of applicant firm** (as entered in 2.1)

|  |
| --- |
|  |

Financial Conduct Authority Prudential Regulation Authority  
12 Endeavour Square 20 Moorgate

Stratford London  
London E20 1JN EC2R 6DA  
United Kingdom United Kingdom  
Telephone +44 (0) 300 500 0597 Telephone +44(0) 203 461 7000  
E-mail [firm.queries@fca.org.uk](mailto:firm.queries@fca.org.uk) Email [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)

Website <http://www.fca.org.uk> Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)   
Registered as a Limited Company in   
England and Wales No 1920623. Registered   
Office as above

**Corporate**

|  |  |
| --- | --- |
| 1 | Contact Details |

**1.1 Contact for this application (at the applicant firm)**

|  |  |
| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First name |  |

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title |  |

|  |  |
| --- | --- |
| Business Address |  |
|  |
|  |
|  |
| Postcode |  |

|  |  |
| --- | --- |
| Phone number |  |

|  |  |
| --- | --- |
| Email address |  |

|  |  |
| --- | --- |
| 2 | Personal identification details |

**2.1 Individual Reference Number (IRN)**

|  |
| --- |
|  |

**2.2 Title (eg Mr, Mrs, Ms)**

|  |
| --- |
|  |

**2.3 Surname**

|  |
| --- |
|  |

**2.4 ALL forenames**

|  |
| --- |
|  |

**2.5 Date of birth (dd/mm/yy)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |

**2.6 National Insurance number**

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 3 | Firm identification details |

**3.1 Name of applicant firm**

|  |
| --- |
|  |

**3.2 Firm Reference Number (FRN)**

|  |
| --- |
|  |

**3.3 Who should the FCA/PRA contact at the applicant firm in relation to this notice?**

Name

|  |
| --- |
|  |

Business address

|  |
| --- |
|  |

Position

|  |
| --- |
|  |

Telephone

|  |
| --- |
|  |

Mobile

|  |
| --- |
|  |

Email

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 4 | Condition(s) |

**4.1 Are you applying to add, vary or remove a condition?**

Add

Vary

Remove

**4.2 If you are applying to vary an existing condition please provide details of the current condition, proposed variation and reason for the proposed variation.**

|  |  |
| --- | --- |
| **Applicable senior management function** |  |
| **Current condition** |  |
| **Proposed variation** |  |
| **Reason for variation** |  |

**4.3 If you are applying to add a condition to an existing conditional approval, please provide details and the reason for the proposed condition.**

|  |  |
| --- | --- |
| **Applicable senior management function** |  |
| **Proposed condition** |  |
| **Reason for proposed condition** |  |

**4.4 If you are applying to remove a condition from an existing conditional approval, please provide details of the current condition and the reason for the proposed removal.**

|  |  |
| --- | --- |
| **Applicable senior management function** |  |
| **Current condition** |  |
| **Reason for removal of condition** |  |

**I have supplied further information related to this page in Section 5**

Yes

No

|  |  |
| --- | --- |
| 5 | Supplementary information |

**5.1 Is there any other information that the applicant firm considers to be relevant to the application?**

**Please indicate clearly to which section the supplementary information relates.**

**Please submit an updated statement of responsibilities with this form**

|  |  |
| --- | --- |
| **Section** | **Information** |
|  |  |

**5.2 How many additional sheets are being submitted?**

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| --- |
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|  |  |
| --- | --- |
| 6 | Declarations and signatures |

**Declaration of Applicant Firm**

In this declaration, the firm seeking the variation of the conditional approval previously granted in relation to the performance of a senior management function by an individual is referred to as the “applicant firm”. The individual in relation to whom the FCA/PRA (as applicable) gave the conditional approval is referred to as the “Individual”.

It is a criminal offence, knowingly or recklessly, to give the FCA/PRA (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

The applicant firm will notify the FCA/PRA (as applicable) immediately if there is a material change to the information provided.

In addition to other regulatory responsibilities, firms and approved persons have a responsibility to disclose to the FCA/PRA (as applicable) matters of which it would reasonably expect to be notified. Failure to notify the FCA/PRA (as applicable) of such information may lead to the FCA/PRA (as applicable) taking disciplinary or other action against the applicant and/or the individual.

The applicant understands that the FCA/PRA (as applicable) may require it to provide further information or documents at any time.

For the purposes of complying with data protection legislation, please read our privacy notices:

FCA’s privacy notice <https://www.fca.org.uk/data-protection>

Bank of England’s privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

The applicant confirms that the statement of responsibilities submitted with this form accurately reflects the aspects of the affairs of the applicant which it is intended that the individual will be responsible for managing.

The person submitting this form on behalf of the applicant firm confirms that they have authority to submit this form and, on behalf of the applicant, confirms that they have read and understood the notes to this form and the declaration given by the applicant

**Name of applicant firm**

|  |
| --- |
|  |

**Name of person signing on behalf of the applicant firm**

|  |
| --- |
|  |

**Position**

|  |
| --- |
|  |

**Signature**

|  |
| --- |
|  |

**Date (dd/mm/yy)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |

**Declaration of candidate / approved person**

The approved person confirms that the attached statement of responsibilities accurately reflects the aspects of the affairs of the firm which it is intended that the approved person will be responsible for managing. The approved person confirms that they have accepted all the responsibilities set out in this statement of responsibilities.

It is a criminal offence, knowingly or recklessly, to give the FCA/PRA (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

For the purposes of complying with data protection legislation, The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018, please read our privacy notices:

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**Name of the candidate / approved person**

|  |
| --- |
|  |

**Signature**

|  |
| --- |
|  |

**Date (dd/mm/yy)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |