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

**Long Form A – Dual-regulated firms (including third country firms)**

**Application to perform controlled functions including senior management functions**

FCA Handbook Reference: SUP 10C Annex 3D

PRA Rulebook Reference: Senior Managers Regime – Applications and Notification[[1]](#footnote-2)

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

|  |
| --- |
|       |

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

|  |
| --- |
|       |

 **Firm reference number** (as entered in 2.2)

|  |
| --- |
|       |

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 Email 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 | Personal identification details |

 **1.1 Candidate Individual Reference Number (IRN)**

|  |
| --- |
|       |

 **OR name of previous regulatory body**

|  |
| --- |
|       |

 **AND previous reference number (if applicable)**

|  |
| --- |
|       |

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

|  |
| --- |
|       |

 **1.3 Surname**

|  |
| --- |
|       |

 **1.4 ALL forenames**

|  |
| --- |
|       |

 **1.5 Name commonly known by**

|  |
| --- |
|       |

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

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

 **1.7 National Insurance number**

|  |
| --- |
|       |

 **1.8 Previous name**

|  |
| --- |
|       |

 **1.9 Date of name change (dd/mm/yy)**

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

 **1.10 Nationality**

|  |
| --- |
|       |

 **Passport number** (if National Insurance number not available)

|  |
| --- |
|       |

 **1.11 Place of birth**

|  |
| --- |
|       |

 **1.12 Phone number**

|  |
| --- |
|       |

 **1.13 Email address**

|  |
| --- |
|       |

 **1.14 Private address**

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

 **Date resident at this address (dd/mm/yy)**From

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

 To Present

 **If address has changed in the last three years, please provide addresses for the previous three years**

 **Previous address 1**

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

 **Date resident at this address (dd/mm/yy)**From

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

 To

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

 **If address has changed in the last three years, please provide addresses for the previous three years**

 **Previous address 2**

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

 **Date resident at this address (dd/mm/yy)**From

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

 To

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

 I have supplied further information related to this page in Section 7

[ ]

|  |  |
| --- | --- |
| 2 | Firm identification details |

 **2.1 Name of firm making the application**

|  |
| --- |
|       |

 **2.2 Firm Reference Number (FRN)**

|  |
| --- |
|       |

 **2.3 Who should the FCA/PRA contact at the firm in relation to this application?**

 Name

|  |
| --- |
|       |

 Position

|  |
| --- |
|       |

 Phone number

|  |
| --- |
|       |

 Email address

|  |
| --- |
|       |

 I have supplied further information related to this page in Section 7

[ ]

|  |  |
| --- | --- |
| 3 | Arrangement and Senior management functions |

Complete this section if the application is for a senior management function. If you are submitting an application for a controlled function at an appointed representative, then please complete Section 4.

 **3.1 Nature of arrangement between the candidate and the applicant firm.**

[ ]  Employee

[ ]  Group employee 4Give name of group below

[ ]  Contract for services

[ ]  Partner

[ ]  Other4Give details below

|  |
| --- |
|       |

 **3.2 Proposed date of appointment (dd/mm/yy)**

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

 **3.3 Length of appointment (if applicable)**

|  |
| --- |
|       |

 **3.4 For applications from a single firm, please tick the boxes that correspond to the senior management functions to be performed.**

 **If the senior management functions are to be performed for more than one firm, please leave the boxes below blank and go to Question 3.8**

 The table below sets out the full list of senior management functions (SMFs). Please refer to the PRA Rulebook and FCA Handbook for the mandatory SMFs for your firm.

| **Function** | **Description of senior management function** | **UK banks [[2]](#footnote-3)** | **UK branches of third country banks and insurers** | **UK branches of third country banks** | **Credit unions** | **Solvency II firms & large NDFs** | **Small NDFs** | **ISPVs** | **Small firms in run off** | **Uk branches of third country insurers** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| SMF 1  | Chief Executive | [ ]  |  | [ ]  | [ ]  | [ ]  |  | [ ]  | [ ]  | [ ]  |
| SMF2 | Chief Finance | [ ]  |  | [ ]  | [ ]  | [ ]  |  | [ ]  | [ ]  | [ ]  |
| SMF 3 | Executive Director | [ ]  |  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| SMF 4 | Chief Risk | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 5 | Head of Internal Audit | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 6 | Head of Key Business Area | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  |  |
| SMF 7 | Group Entity Senior Manager  | [ ]  |  | [ ]  | [ ]  | [ ]  |  | [ ]  | [ ]  | [ ]  |
| SMF 8 | Credit Union Senior Manager |  |  |  | [ ]  |  |  |  |  |  |
| SMF 9 | Chair of the Governing body | [ ]  |  | [ ]  | [ ]  | [ ]  |  | [ ]  | [ ]  | [ ]  |
| SMF 10 | Chair of the Risk Committee | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 11 | Chair of the Audit Committee | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 12 | Chair of the Remuneration Committee | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 13 | Chair of the Nomination Committee | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  |  |  |
| SMF 14 | Senior Independent Director | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 15 | Chair of With Profits Committee |  |  |  |  | [ ]  |  |  |  | [ ]  |
| SMF 16 | Compliance Oversight | [ ]  |  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| SMF 17 | Money Laundering Reporting Officer (MLRO) | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |  | [ ]  | [ ]  |
| SMF 18 | Other overall responsibility function | [ ]  |  |  | [ ]  | [ ]  |  |  |  |  |
| SMF 19 | Head of Overseas Branch |  |  | [ ]  |  |  |  |  |  | [ ]  |
| SMF 20 | Chief Actuary |  |  |  |  | [ ]  | [ ]  | [ ]  | [ ]  | [ ]  |
| SMF 20a | With-Profits Actuary |  |  |  |  | [ ]  | [ ]  |  | [ ]  | [ ]  |
| SMF 21 | EEA Branch Senior Manager (EBSM) |  | [ ]  |  |  |  |  |  |  |  |
| SMF 22 | Other Local Responsibility |  |  | [ ]  |  |  |  |  |  | [ ]  |
| SMF 23 | Chief Underwriting Officer |  |  |  |  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 23a | Underwriting Risk Oversight (Lloyd’s) |  |  |  |  | [ ]  |  |  |  |  |
| SMF 23b | Conduct Risk Oversight (Lloyd’s) |  |  |  |  | [ ]  |  |  |  |  |
| SMF 24 | Chief Operations | [ ]  |  | [ ]  | [ ]  | [ ]  |  |  | [ ]  | [ ]  |
| SMF 25 | Small Insurer Senior Management Function |  |  |  |  |  | [ ]  |  |  |  |
| SMF 26 | Head of Small Run-Off Firm |  |  |  |  |  |  |  | [ ]  |  |
| SMF 27 | Partner | [ ]  |  | [ ]  |  | [ ]  | [ ]  |  | [ ]  |  |

 **3.5 Job title**

|  |
| --- |
|       |

 Insurance Distribution

 **3.6 Will the candidate be responsible for Insurance distribution at the firm?**

[ ]  Yes

[ ]  No

 Mortgage Credit Directive

 **3.7 Will the candidate be responsible for Mortgage Credit Order Intermediation at the firm?**

[ ]  Yes

[ ]  No

 **3.8 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 Question 2.1) for which the candidate requires approval and the requested senior management function for that firm.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **FRN** | **Name of firm** | **Senior Management Function** | **Job title** | **Responsible for insurance distribution?** | **Responsible for mortgage credit intermediation?** | **Effective date** |
|  |       |       |       |       |       |       |
|  |  |  |  |       |       |       |
|  |       |       |       |       |       |       |
|  |       |       |       |       |       |       |
|  |       |       |       |       |       |       |

 I have supplied further information related to this section in Section 7

[ ]

|  |  |
| --- | --- |
| 4 | Arrangements and controlled functions – Appointed Representatives |

Complete this section if the application is for a controlled function at an appointed representative (AR). If you are submitting an application for a senior management function then please complete Section 3.

For limited permission consumer credit firms that are also appointed representatives, only the customer function is relevant in this section. For these firms, relevant senior management functions apply instead of the governing functions (ie CF1 (AR), CF3 (AR), CF4 (AR) and CF5 (AR)). We do not expect this to apply to many firms.

 **4.1 Nature of arrangement between the candidate and the applicant.**

[ ]  Appointed representative/tied agent – customer function 4Give AR firm name and reference number below

[ ]  Appointed representative/tied agent – governing function 4Give AR firm name and reference number below

[ ]  Other4Give details below

|  |
| --- |
|       |

 **4.2 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 4.5.**

**Significant influence functions**

[ ]  CF 1 (AR) Director function

[ ]  CF 3 (AR) Chief executive function

[ ]  CF 4 (AR) Partner function

[ ]  CF 5 (AR) Director of an unincorporated association function

**Senior Management functions** (only applicable for limited permission consumer credit firms that are ARs for other businesses)

[ ]  SMF 1 (AR) Chief Executive function

[ ]  SMF 3 (AR) Executive Director function

[ ]  SMF 4 (AR) Partner function

**Customer function**

[ ]  CF 30 (AR) Customer function

 **4.3 Effective date of controlled functions indicated above**

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

 **4.4 Job title**

|  |
| --- |
|       |

Please refer to notes on the requirements for submitting a CV

 I have supplied further information related to this page in Section 7

[ ]

 **4.5 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 Question 2.1) for which the candidate requires approval and the requested controlled function for that firm.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FRN** | **Name of firm** | **Controlled Function** | **Job title** | **Effective date** |
|       |       |       |       |       |
|  |  |  |  |  |
|       |       |       |       |       |
|       |       |       |       |       |
|       |       |       |       |       |

 I have supplied further information related to this section in Section 7

[ ]

|  |  |
| --- | --- |
| 5 | Employment history in the past 5 years |

NB – All gaps must be accounted for.

 **5.1 Employment details (1)**

 **a Period (dd/mm/yy)**From

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

 To

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

 **b Nature of employment**

[ ]  Employed

[ ]  Self-employed

[ ]  Not employed4Give details below

[ ]  Full-time education4Give details below

|  |
| --- |
|       |

 **c Name of employer**

|  |
| --- |
|       |

 **d Nature of business**

|  |
| --- |
|       |

 **e Previous / other names of employer**

|  |
| --- |
|       |

 **f Last known address of employer**

|  |
| --- |
|       |

 **g Is/was employer regulated by a regulatory body?**

[ ]  Yes4Give name of regulatory body below

[ ]  No

|  |
| --- |
|       |

 **h Is/was employer an appointed representative / tied agent?**

[ ]  Yes4Give name of firm below

[ ]  No

|  |
| --- |
|       |

 **i Position held**

|  |
| --- |
|       |

 **j Responsibilities**

|  |
| --- |
|       |

 **k Reason for leaving**

[ ]  Resignation

[ ]  Redundancy

[ ]  Retirement

[ ]  Termination/dismissal

[ ]  End of contract

[ ]  Other4Give details below

|  |
| --- |
|       |

 **5.2 Employment details (2)**

 **a Period (dd/mm/yy)**From

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

 To

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

 **b Nature of employment**

[ ]  Employed

[ ]  Self-employed

[ ]  Not employed4Give details below

[ ]  Full-time education4Give details below

|  |
| --- |
|       |

 **c Name of employer**

|  |
| --- |
|       |

 **d Nature of business**

|  |
| --- |
|       |

 **e Previous / other names of employer**

|  |
| --- |
|       |

 **f Last known address of employer**

|  |
| --- |
|       |

 **g Is/was employer regulated by a regulatory body?**

[ ]  Yes4Give name of regulatory body below

[ ]  No

|  |
| --- |
|       |

 **h Is/was employer an appointed representative / tied agent?**

[ ]  Yes4Give name of firm below

[ ]  No

|  |
| --- |
|       |

 **i Position held**

|  |
| --- |
|       |

 **j Responsibilities**

|  |
| --- |
|       |

 **k Reason for leaving**

[ ]  Resignation

[ ]  Redundancy

[ ]  Retirement

[ ]  Termination/dismissal

[ ]  End of contract

[ ]  Other4Give details below

|  |
| --- |
|       |

 I have supplied further information related to this section in Section 7

[ ]

|  |  |
| --- | --- |
| 6 | Fitness and propriety |

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, 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

If any question has been answered ‘yes’ in Section 6, further details should be provided in Section 7

If there is any other information the candidate or the firm considers to be relevant to the application, it must be included in Section 7.

 Criminal Proceedings

 **6.1.1 a) Has the candidate ever been convicted of any criminal offence (whether spent or not and whether or not in the United Kingdom):**

1. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or
2. ii. relating to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?

[ ]  Yes

[ ]  No

 **6.1.1 b) Is the candidate currently the subject of any criminal proceedings, whether in the UK or elsewhere?**

[ ]  Yes

[ ]  No

 **6.1.1 c) Has the candidate ever been given a caution in relation to any criminal offence?**

[ ]  Yes

[ ]  No

 **6.1.2 Has the candidate any convictions for any offences other than those in 6.1.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?**

[ ]  Yes

[ ]  No

 **6.1.3 Is the candidate the subject of any ongoing criminal investigation?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

**6.1.4 Has the candidate been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation? In answering question 6.1.4, you should include all matters even where the candidate was not the subject of the investigation.**

[ ]  Yes

[ ]  No

**6.1.5 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.)**

 **a Been convicted of any criminal offence?**

[ ]  Yes

[ ]  No

 **b Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?**

[ ]  Yes

[ ]  No

 **c Been the subject of any criminal proceeding which has not resulted in a conviction?**

[ ]  Yes

[ ]  No

 **d Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?**

[ ]  Yes

[ ]  No

In answering question 6.1.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 6.1.5d, 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.

 Civil Proceedings

 **6.2.1 Has the candidate, ever been the subject of a judgement debt or award against the candidate (whether satisfied or not)?**

[ ]  Yes

[ ]  No

Please give a full explanation of the events in question,

The candidate should include all County Court Judgement(s) (CCJs) made against the candidate, whether satisfied or not); and

1. the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and
2. ii) the total number of all judgement debts, awards or CCJs ordered.

 I have supplied further information related to this page in Section 7

[ ]

 **6.2.2 Has the candidate ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 6.2.1 above)? (the candidate should include, for example, injunctions and employment tribunal proceedings.)**

[ ]  Yes

[ ]  No

 **6.2.3 Is the candidate aware of:**

 **a Any proceedings that have begun, or anyone’s intention to begin proceedings against the candidate, for a CCJ or another judgement debt?**

[ ]  Yes

[ ]  No

 **b More than one set of proceedings, or anyone’s intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?**

[ ]  Yes

[ ]  No

**6.2.4 Does the candidate have any current judgement debts (including CCJs) made under a court order still outstanding, whether in full or in part?**

[ ]  Yes

[ ]  No

**6.2.5 Has the candidate ever failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?**

[ ]  Yes

[ ]  No

**6.2.6 Has the candidate ever:**

 **a Filed for the candidate’s own bankruptcy or had a bankruptcy petition served on the candidate?**

[ ]  Yes

[ ]  No

 **b Been adjudged bankrupt?**

[ ]  Yes

[ ]  No

 **c Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?**

[ ]  Yes

[ ]  No

 **d Made any arrangements with the candidate’s creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?**

[ ]  Yes

[ ]  No

 **e Had assets sequestrated?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

 **f Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?**

[ ]  Yes

[ ]  No

**6.2.7 Does the candidate, or any undertaking under their management, have any outstanding financial obligations arising from regulated activities, which have been carried out in the past (whether or not in the UK or overseas)?**

[ ]  Yes

[ ]  No

**6.2.8 Has the candidate ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct? Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved?**

[ ]  Yes

[ ]  No

**6.2.9 Is the candidate currently:**

 **a Party to any civil proceedings (including those covered in 6.2.7 above)?**

[ ]  Yes

[ ]  No

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

[ ]  Yes

[ ]  No

**6.2.10 During the period over which the candidate has held a position of influence and/or in the 10 years after this, has any firm at which the candidate holds or has held a position of influence ever been:**

[ ]  Yes

[ ]  No

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

[ ]  Yes

[ ]  No

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

[ ]  Yes

[ ]  No

 **c Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 6.2.10a and 6.2.10b above?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

**6.2.11 Is any firm at which the candidate currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:**

 **a a party to civil proceedings; and/or**

[ ]  Yes

[ ]  No

 **b aware of anyone’s intention to begin civil proceedings against them?**

[ ]  Yes

[ ]  No

**6.2.12 Has any company, partnership or unincorporated association of which the candidate is or has been a controller, director, senior manager, partner or company secretary, in the UK or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?**

[ ]  Yes

[ ]  No

 Business and Employment Matters

**6.3.1 Has the candidate ever been:**

 **a Disqualified from acting as a director or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?**

[ ]  Yes

[ ]  No

 **b The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the candidate)?**

[ ]  Yes

[ ]  No

 **c The subject of any investigation which has led or might lead to disciplinary proceedings?**

[ ]  Yes

[ ]  No

 **d Notified of any potential proceedings of a disciplinary nature against the candidate?**

[ ]  Yes

[ ]  No

 **e The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.)**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

**6.3.2 Has the candidate ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?**

[ ]  Yes

[ ]  No

**6.3.3 Does the candidate have any material written complaints made against the candidate by the candidate’s clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?**

[ ]  Yes

[ ]  No

**6.3.4 Has the candidate ever participated in arbitration proceedings? (This question only applies where the applicant firm is a Solvency II insurance firm).**

[ ]  Yes

[ ]  No

 Regulatory Matters

 **6.4.1 In relation to activities regulated by the FCA and/or PRA or any other regulatory body, has:**

* the candidate, or
* any company, partnership or unincorporated association 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 –

 **a Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?**

[ ]  Yes

[ ]  No

 **b Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?**

[ ]  Yes

[ ]  No

 **c Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?**

[ ]  Yes

[ ]  No

 **d Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or the firm?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

 **e Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?**

[ ]  Yes

[ ]  No

 **f Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?**

[ ]  Yes

[ ]  No

 **g Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?**

[ ]  Yes

[ ]  No

 **h Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?**

[ ]  Yes

[ ]  No

 **i Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?**

[ ]  Yes

[ ]  No

 **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?**

[ ]  Yes

[ ]  No

 **k Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions)?**

[ ]  Yes

[ ]  No

 **l Been on a board of directors in an operating undertaking that has not been granted a release from liability? (This question only applies where the applicant firm is a Solvency II insurance firm).**

[ ]  Yes

[ ]  No

 **5.4.2 In relation to activities regulated by the FCA/PRA or any other regulatory body, has the candidate or any firm at which the candidate holds or has held a position of influence at any time during and within one year of the candidate’s association with the firm ever:**

 **a Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

 **b Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the candidate?**

[ ]  Yes

[ ]  No

 **c Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?**

[ ]  Yes

[ ]  No

 **d Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the candidate?**

[ ]  Yes

[ ]  No

 **e Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services (Amendment and Transitional Provisions) (EU Exit) Regulations 20018 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?**

[ ]  Yes

[ ]  No

 **f Been the subject of a prohibition order under section 56 of the Financial Services and Markets Act 2000, or received a warning notice proposing that such a direction or order be made, or received a private warning?**

[ ]  Yes

[ ]  No

 Other Matters

 **6.5.1 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 senior management functions for which approval is now being sought?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

 **Question 6.5.2 should only be answered if the applicant firm is a Solvency II Insurer.**

 **6.5.2 Does the candidate have, or know of any:**

 **a Qualifying ownership[[3]](#footnote-4) or any other form of substantial influence in the firm or group, or any other companies**

[ ]  Yes4Give details as below

[ ]  No

1. Company name and registration number

2. Nature and scope of the operations

3. The registered office of the company

4. Possession in percentage

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 **b close relatives with any other financial relations in the firm or group**

[ ]  Yes

[ ]  No

 **c Any other commitments that may give rise to a conflict of interest**

[ ]  Yes

[ ]  No

If the response is ‘yes’ to any of the above, please provide, in Section 7, explanations of the circumstances and how the candidate intends to mitigate this.

**6.5.3 Is the candidate or the firm aware of any other information relevant to this notification that the FCA/PRA might reasonably expect from the candidate?**

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 7

[ ]

**6.5.4 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, under PRA rules, to request and under FCA rules, to obtain 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 and PRA Rulebook: Fitness and Propriety).[[4]](#footnote-5)

[ ]  Yes4Please enter date the check was undertaken (dd/mm/yy)

[ ]  No

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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 7.

**6.5.5 Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the FCA or PRA?**

[ ]  Yes

[ ]  No4Please provide details why the reference or references has/have not been obtained.

Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22 and Fitness and Propriety 2 in the PRA Rulebook). “Employer” has an extended meaning for these purposes.

 I have supplied further information related to this page in Section 7

[ ]

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| 7 | Supplementary information for Senior Management Functions |

 **7.1 Please provide full details of:**

1. why the candidate is competent and capable to carry out the controlled function(s) applied for;
2. why the appointment complements the firm’s business strategy, activity and market in which it operates;
3. how the appointment was agreed including details of any discussions at governing body level (where applicable)
4. 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); and
5. if the candidate currently holds more than one directorship, please provide a breakdown on the candidate’s time commitment to each directorship.

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 **7.2 If there is any additional information indicated in previous sections or any other information the candidate or the firm considers being relevant to this application it must be included here.**

(Please also provide full details of any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in Section 5 or if any question has been answered ‘yes’ in Section 6)

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| --- | --- |
| **Question** | **Information** |
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Note: 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

 **7.3 Firms must also provide the following supporting documents required with this form (please tick)**

It is for firms to assess which supporting documents they should submit but, in the majority of cases, it is expected that firms will submit all of the listed supporting documents.

[ ]  Statement of responsibilities

[ ]  Candidate’s Curriculum Vitae (C.V)

[ ]  Role(s) description

[ ]  A copy of the firm’s management responsibilities map (SYSC 25 and Allocation of Responsibilities in the PRA Rulebook. This requirement does not apply to all firms.

[ ]  A summary of any handover material (SYSC 25.9 and SUP 10C.10). This requirement does not apply to all firms.

[ ]  A description or copy of the candidate’s Skills Gap Analysis

[ ]  A description or copy of the candidate’s Induction programme

[ ]  A description or copy of the candidate's Learning and Development plan (including the name of the individual responsible for monitoring the candidate's progress against the development points and the time frame for completion)

[ ]  A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role).

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| 8 | Application fee |

**The application fee is only applicable for standalone Form A applications. There is no charge if you are submitting this form as part of a New Authorisation or a Variation of Permission.**

You must be ready to pay the application fee in full at the same time as submitting your application, by credit/debit card (you may pay by credit transfer (eg BACS) only if it is not possible to pay by credit or debit card). If the fee is not paid in full within five working days of the date that we contact you after you submit this form, your application will be returned to you. This fee is non-refundable.

**FCA bank details**

Account name: FCA Collection account
Bank name: Lloyds Bank
Account number: 00828179
Sort code: 30-00-02
Swift code: LOYD GB 2LCTY
Iban code: GB68 LOYD 3000 0200 8281 79

### Application fee

 **8.1 You must confirm how you will pay the application fee below**

[ ]  Credit/debit card

[ ]  Credit transfer4Give details of the reference you have used below

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| 9 | Declarations and signatures |

**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 of the Financial Services and Markets Act 2000 –‘FSMA’). 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 their 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 are 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 their knowledge and that they have 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 statement 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 statement of responsibilities.

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

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 candidate confirms that they understand the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA’s COCON or APER and/or the PRA Rulebook: Conduct Rules, Insurance – Conduct Standards, NonSolvency II Firms – Conduct Standards, and Large Non-Solvency II Firms – Conduct Standards.

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 candidates/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 Applicant and/or the candidate.

Tick here to confirm you have read and understood this declaration

[ ]

**Name of candidate**

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**Signature**

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

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**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 of the 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 their 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 are reasonably likely to consider the information material).

In addition to other regulatory responsibilities, firms and candidates/ 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 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 applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the candidate under Part V of the Police Act 1997 and any related subordinate legislation of the UK or any part of the UK, and (where available) has given due consideration to that information in determining that candidate to be fit and proper.

In making this application the Applicant 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 part of 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). Note: For third country this would only apply to those firms undertaking any non MiFID business.

The Applicant confirms that it has complied with its obligations under equality and diversity legislation when selecting the candidate 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 or APER and/or the PRA Rulebook: Conduct Rules, Insurance – Conduct Standards, NonSolvency II Firms – Conduct Standards and Large Non-Solvency II Firms – Conduct Standards.

The Applicant confirms that the statement 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.

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.

In signing this form on behalf of the Applicant 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 Applicant, and sign this form, on behalf of the firm identified in Section 2.1 and/or each firm identified in Section 3.4. 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

**Name of the firm submitting the application**

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

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**Job title**

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**Signature**

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

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1. The relevant section of the PRA Rulebook should be referred to depending on which firm is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications [↑](#footnote-ref-2)
2. UK Banks refers to UK banks, building societies and PRA-designated investment firms [↑](#footnote-ref-3)
3. As defined in Article 13(21) of the Solvency II Directive, qualifying ownership is ‘direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking’ [↑](#footnote-ref-4)
4. The relevant section of the PRA Rulebook should be referred to depending on which firm is applying [↑](#footnote-ref-5)