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

**Long Form A – UK and Overseas Firms (not incoming third country) for MiFID authorisation applications[[1]](#footnote-2)**

**Application to perform senior management functions**

FCA Handbook Reference: SUP 10C Annex 3D

**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
12 Endeavour Square

Stratford
London E20 1JN
United Kingdom
Telephone +44 (0) 300 500 0597
E-mail firm.queries@fca.org.uk

Website <http://www.fca.org.uk>
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 6

[ ]

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

 **2.1 Name of firm making the application**

|  |
| --- |
|       |

 **2.2 Firm Reference Number (FRN)**

|  |
| --- |
|       |

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

 Name

|  |
| --- |
|       |

 Position

|  |
| --- |
|       |

 Phone number

|  |
| --- |
|       |

 Fax

|  |
| --- |
|       |

 Email

|  |
| --- |
|       |

 I have supplied further information related to this page in Section 6

[ ]

|  |  |
| --- | --- |
| 3 | Arrangement and senior management functions |

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

[ ]  Employee

[ ]  Group employee 4Give name of group below

[ ]  Contract for services

[ ]  Partner / Sole trader

[ ]  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 go to Question 3.8**

|  |  |  |
| --- | --- | --- |
| **Function** | **Description of Senior Management Function** | **Tick (if applicable** |
| **Core firms** | **Enhanced scope SMCR firms** |
| **Limited scope SMCR firms** | **UK core SMCR firms** | **Third country branches** |
| SMF 1  | Chief Executive |  | [ ]  |  | [ ]  |
| SMF 2 | Chief Finance |  |  |  | [ ]  |
| SMF 3 | Executive Director |  | [ ]  | [ ]  | [ ]   |
| SMF 4 | Chief Risk Officer |  |  |  | [ ]   |
| SMF 5 | Head of Internal Audit |  |  |  | [ ]   |
| SMF 7 | Group Entity 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 16 | Compliance Oversight | [ ]   | [ ]   | [ ]   | [ ]   |
| SMF 17 | Money Laundering Reporting Officer (MLRO) | [ ]   | [ ]   | [ ]   | [ ]   |
| SMF 18 | Other overall responsibility function |  |  |  | [ ]   |
| SMF 19 | Head of Third Country Branch |  |  | [ ]   |  |
| SMF 24 | Chief Operations |  |  |  | [ ]   |
| SMF 27 | Partner |  | [ ]   | [ ]   | [ ]   |
| SMF 29 | Limited scope function (limited scope SMCR firms only) | [ ]   |  |  |  |

 **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 Directive 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 6

[ ]

|  |  |
| --- | --- |
| 4 | Employment history in the past 10 years |

NB – All gaps must be accounted for.

 **4.1 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

|  |
| --- |
|       |

 **4.2 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 6

[ ]

|  |  |
| --- | --- |
| 5 | 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 5, further details should be provided in Section 6

If there is any other information the candidate or the firm considers to be relevant to the application, it must be included in Section 6.

 Criminal Proceedings

 **5.1.1 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

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

[ ]  Yes

[ ]  No

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

[ ]  Yes

[ ]  No

 **5.1.2 Has the candidate any convictions for any offences other than those in 5.1.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?**

[ ]  Yes

[ ]  No

If the answer to questions 5.1.1a or 5.1.2 is “yes”, please provide an official certificate of conviction or equivalent document if and so far as it is available from the UK or, where applicable, another country. Please attach a copy of this form as an Additional Supporting Document.

 I have supplied further information related to this page in Section 6

[ ]

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

[ ]  Yes

[ ]  No

**5.1.4 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 5.1.4, you should include all matters even where the candidate was not the subject of the investigation.**

[ ]  Yes

[ ]  No

**5.1.5 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 5.1.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.1.5d, 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.

 I have supplied further information related to this page in Section 6

[ ]

 Civil Proceedings

 **5.2.1 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.

 **5.2.2 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 5.2.1 above)? (the candidate should include, for example, injunctions and employment tribunal proceedings.)**

[ ]  Yes

[ ]  No

 **5.2.3 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

**5.2.4 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

**5.2.5 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

**5.2.6 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

 I have supplied further information related to this page in Section 6

[ ]

 **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

 **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

**5.2.7 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

**5.2.8 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

**5.2.9 Is the candidate currently:**

 **a Party to any civil proceedings (including those covered in 5.2.7 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

 I have supplied further information related to this page in Section 6

[ ]

**5.2.10During 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 5.2.10a and 5.2.10b above?**

[ ]  Yes

[ ]  No

**5.2.11Is 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

**5.2.12 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

 I have supplied further information related to this page in Section 6

[ ]

 Business and Employment Matters

**5.3.1 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

 **5.3.2 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

**5.3.3 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

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

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 6

[ ]

 Regulatory Matters

 **5.4.1 In relation to activities regulated by the FCA 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

 **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

 I have supplied further information related to this page in Section 6

[ ]

 **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

 **5.4.2 In relation to activities regulated by the FCA 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 or any other regulatory body is required without the requisite authorisations?**

[ ]  Yes

[ ]  No

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

[ ]  Yes

[ ]  No

 I have supplied further information related to this page in Section 6

[ ]

 **e Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA 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

 **5.5.1 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 controlled functions for which approval is now being sought? Please include details of any financial or non-financial interests or relationships of the candidate and their close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders? For the purposes of this question “management body” has the meaning in Directive 2014/65/EU.**

[ ]  Yes

[ ]  No

**5.5.2 Is the candidate or the firm aware of any other information relevant to this notification that we might reasonably expect from the candidate?**

[ ]  Yes

[ ]  No

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

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

[ ]  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 6.

 I have supplied further information related to this page in Section 6

[ ]

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

[ ]  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). “Employer” has an extended meaning for these purposes.

 I have supplied further information related to this page in Section 6

[ ]

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| 6 | Supplementary information |

 **6.1 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. the minimum time that will be devoted to the performance of the candidate’s functions within the firm (please provide an indication of the time spent per month and per annum);
6. the human and financial resources devoted to the induction and training of the candidate (please provide an indication of the time spent per annum);
7. details of any previous assessments of the candidate’s fitness and propriety as a controller or director which have been undertaken by any other regulatory body (if known) (please include the date of the assessment, the name of the regulatory body and details of the outcome)

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 **6.2 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 4 or if any question has been answered ‘yes’ in Section 5)

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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

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

[ ]  Statement of responsibilities

[ ]  Candidate’s Curriculum Vitae (C.V)- The candidate’s C.V. should include the names of all organisations for whom the candidate has worked during the past ten years, details of the nature and duration of the functions performed at those organisations and details of any activities at those organisations which are related to the role for which is approval is being sought. The C.V. should also include details of all delegated powers and internal decision-making powers and details of the areas of operations for which the candidate was responsible whilst working at the organisations above. The information above does not need to be included in the C.V. if it has been provided in Section 4 of this form.

[ ]  References in relation to the candidate’s reputation and experience (including contact details of the referees)

[ ]  Role(s) description

[ ]  Organisational chart

[ ]  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).

 **6.4 In addition, enhanced scope SMRC firms must also provide:**

[ ]  A copy of the firm’s management responsibilities map (SYSC 25 and SUP 10C.9)

[ ]  A summary of any handover material (SYSC 25.9 and SUP 10C.10).

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| 7 | 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

 **7.1 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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| 8 | Declarations and signatures |

**Declaration of Candidate**

Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body.

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 the form below:

1. I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual candidates may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the firm submitting this application.
2. b) 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.
3. c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Code of Conduct for staff sourcebook (COCON) (<https://www.handbook.fca.org.uk/handbook/COCON/1/?view=chapter> )

Tick here to confirm you have read and understood this declaration

[ ]

**Candidate’s full name**

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**Signature**

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

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**Declaration of Firm**

Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). SUP 15.6 requires an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.

COCON 4.2 provides that, where an approved person is responsible for reporting matters to the FCA, failure to inform the FCA of materially significant information of which he is aware is a breach of Senior Conduct Rule 4. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the FCA. It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body.

In making this application the firm believes on the basis of due and diligent enquiry that the candidate is a fit and proper person to perform the controlled function(s) listed in Section 3. The firm 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).

In signing this form on behalf of the firm:

1. 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.
2. I confirm that I have authority to make this application, and sign this Form, on behalf of each firm identified in Section 3.05. I also confirm that a copy of this Form, as submitting to the FCA, will be sent to each of those firms at the same time as submitting the Form to the FCA.
3. I confirm the candidate has been made aware of the regulatory responsibilities of the proposed role as set out in the Code of Conduct for Staff Sourcebook (COCON) (<https://www.handbook.fca.org.uk/handbook/COCON/1/?view=chapter>)

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.

**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. \*This Form should only be used when an unauthorised firm applies for permission to carry out MiFID activities and where an authorised firm which does not have permission to carry out MiFID activities applies for permission to carry out those activities. [↑](#footnote-ref-2)