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

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

**Application to perform controlled functions including senior management functions**FCA Handbook Reference: SUP 10C Annex 3D

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

|  |
| --- |
|  |

**Name of 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](mailto: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

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

|  |  |
| --- | --- |
| 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 applicant firm in relation to this notice?**

Name

|  |
| --- |
|  |

Position

|  |
| --- |
|  |

Phone number

|  |
| --- |
|  |

Email address

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 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.

If you are a limited permission consumer credit firm that is also an appointed representative you should complete Section 4 and not this section.

**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 go to Question 3.8**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Function** | **Description of Senior Management Function** | **Tick (if applicable** | | | | |  |
| **Core firms** | | | | **Enhanced scope SMCR firms** | **Effective Date** |
| **Limited scope SMCR firms** | **UK core SMCR firms** | **Third country core SMCR firms** | **Third country branches** |
| SMF 1 | Chief Executive |  |  |  |  |  |  |
| SMF 2 | Chief Finance |  |  |  |  |  |  |
| SMF 3 | Executive Director |  |  |  |  |  |  |
| SMF 4 | Chief Risk |  |  |  |  |  |  |
| 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 21 | EEA Branch Senior Manager |  |  |  |  |  |  |
| 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

Note: Yes can only be selected if the individual is applying for a governing function (other than a non-executive director function)

Mortgage Credit Directive

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

Yes

No

Note: Yes can only be selected if the individual is applying for a governing function (other than a non-executive director function)

**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** | **Respons-ible for insurance distribution?** | **Respons-ible for MCR credit intermediation?** | **Effective date** | |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  |
|  |  |  |  |  |  | |  |

I have supplied further information to this Section in Section 7

Yes

|  |  |
| --- | --- |
| 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.

If you are a limited permission consumer credit firm that is also an appointed representative, please complete this Section and not Section 3A.

**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 s (AR) Non-executive 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 function indicated above**

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

**4.4 Job title**

|  |
| --- |
|  |

Please refer to notes on the requirements for submitting a CV

I have supplied further information to this page in Section 7

Yes

**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 to this page in Section 7

Yes

|  |  |
| --- | --- |
| 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 Responsiblities**

|  |
| --- |
|  |

**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 Responsiblities**

|  |
| --- |
|  |

**k Reason for leaving**

Resignation

Redundancy

Retirement

Termination/dismissal

End of contract

Other4Give details below

I have supplied further information to this section in Section 7

Yes

|  |  |
| --- | --- |
| 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 to this page in Section 7

Yes

**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 to this page in Section 7

Yes

**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 to this page in Section 7

Yes

**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

**6.2.10During 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 6.2.10a and 6.2.10b above?**

Yes

No

I have supplied further information to this page in Section 7

Yes

**6.2.11Is 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

**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 to this page in Section 7

Yes

**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

Regulatory Matters

**6.4.1 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

I have supplied further information to this page in Section 7

Yes

**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

**6.4.2 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

I have supplied further information to this page in Section 7

Yes

**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

**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 2018 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

**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

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

Yes

No

**6.5.3 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

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

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.

I have supplied further information to this page in Section 7

Yes

**6.5.4 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 to this page in Section 7

Yes

|  |  |
| --- | --- |
| 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)

|  |
| --- |
|  |

**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)

|  |  |
| --- | --- |
| **Question** | **Information** |
|  |  |

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)**

Statement of responsibilities

Candidate’s Curriculum Vitae (C.V)

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).

In addition, enhanced scope SMCR 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).

|  |  |
| --- | --- |
| 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

|  |
| --- |
|  |

|  |  |
| --- | --- |
| 9 | Declarations and signatures |

**Declaration of Candidate**

It is a criminal offence, knowingly or recklessly, to give the FCA 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 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 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 exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA is 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 his/her knowledge and that he or she has read the notes to this form. The candidate will notify the FCA 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 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 Notice) Regulations (SI 2001/1420)) to serve any notices on the candidate.

The candidate confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the rules of conduct in the FCA’s COCON or APER.

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 approved persons have a responsibility to disclose to the FCA matters of which it would reasonably expect to be notified. Failure to notify the FCA of such information may lead to the FCA taking disciplinary or other action against the Applicant and/or 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.

Tick here to confirm you have read and understood this declaration

**Name of candidate**

|  |
| --- |
|  |

**Signature**

|  |
| --- |
|  |

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

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

**Declaration of Firm**

It is a criminal offence, knowingly or recklessly, to give the FCA information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act – ‘FSMA’). Even if you believe or know that information has been provided to the FCA 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 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 exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You must notify the FCA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA is reasonably likely to consider the information material).

In addition to other regulatory responsibilities, firms, and approved persons have a responsibility to disclose to the FCA, matters of which it would reasonably expect to be notified. Failure to notify the FCA of such information may lead to the FCA 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 immediately if there is a material change to the information provided.

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.

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 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 firms, 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.

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.

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, will be sent to each of those firms at the same time as submitting the form to the FCA.

**Name of the firm submitting the application**

|  |
| --- |
|  |

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

|  |
| --- |
|  |

**Job title**

|  |
| --- |
|  |

**Signature**

|  |
| --- |
|  |

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

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