

**Application for Authorisation  
  
Controllers appendices – Trust**

**Legal name of applicant firm**

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**Important information you should read before completing this form**

This form should be used for firms to provide information on the shareholders in accordance with Article 3(b) of the RTS under Article 7(4) of MiFID II (‘Authorisation RTS’). Please note that in accordance with Article 3(b) of the Authorisation RTS when the holder of a qualifying holding is not a natural person, the information provided with this form shall also relate to all members of the management body and the general manager, or any other person performing equivalent duties.

The FCA processes personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy) .

**It is important that you provide accurate and complete information.  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 15.6.1R and SUP 15.6.4R (where applicable) require 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.  If necessary, please take appropriate professional advice before supplying information to us.**

**Terms in this form**

In this form we use the following terms:

* + ‘you’ refers to the person(s) signing the form as controller
  + ‘the applicant firm’ refers to the firm applying for authorisation
  + ‘the FCA’, ‘we’, 'our', or ‘us’ refers to the Financial Conduct Authority

**Purpose of this form**

This form collects information about the controller of the applicant firm.



**Filling in the form**

**1** If you are using your computer to complete the form:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* print out the completed form and sign the declaration in Section 3

**2** If you are filling in the form by hand:

* use black ink
* write clearly
* sign the declaration in Section 3

**3** If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.

**4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

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| 1 | Controller’s details |

**1.1 Name of trust**

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**1.2 Please provide information on:**

1. The identity of all trustees who will manage assets under the terms of the trust document and, where applicable, their respective shares in the distribution of income. In addition, please provide:
   1. if the trustee(s) is a limited company: the company name(s), registration number(s), registered company address(es) and the names of the chief executive officer(s) and directors
   2. if the trustee(s) is an individual, please provide the name(s) of the trustee(s) and date(s) of birth
2. The identity of all persons who are beneficial owners or settlers of the trust property and, where applicable, their respective shares in the distribution of income

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**1.3 What is the purpose of the trust?**

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**1.4 Do the beneficiaries have any control over the administration of the trust?**

No

Yes⏵You must provide the beneficiaries' full names and dates of birth

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**1.5 You must provide the identity of the settlor**

If the settlor is an individual, please provide their name and date of birth

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**1.6 You must give details of the source of the funds under the trustee's control**

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**1.7 Who has the power to appoint and remove trustees?**

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**1.8 You must provide the name(s) of the person(s) authorised to sign on behalf of the trust**

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**1.9 You must give details of any limitations on the trustee's power of investments**

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| 2 | About the controller’s structure |

**2.1 You must send a complete structure chart of the trust controller that shows the following:**

* percentages of holdings
* voting rights
* association
* parent undertakings
* any undertaking(s) or shares in another firm other than the applicant firm;
* any firms or individuals that are deemed to be a controller of the applicant firm by virtue of their significant influence (see the Financial Services and Markets Act section 422A)

Structure chart attached

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| --- | --- |
| 3 | Declaration |

It is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive. If necessary, appropriate professional advice should be sought before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete.

Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

With reference to the above, we may seek to verify the information in this form including answers pertaining to fitness and propriety.

▪ I understand it is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive.

▪ I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

▪ I confirm that I am authorised to sign on behalf of the trust controller named in Question 1.2 above. This should be signed by a trustee of the trust. If the trustee is a limited company the form should be signed by the CEO or a director of that company.

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| --- | --- |
| Name |  |

|  |  |
| --- | --- |
| Position |  |

|  |  |
| --- | --- |
| Signature |  |

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| Date (dd/mm/yy) |  |

## What to do next

You must give the form back to the person who is responsible for making the application for authorisation. They should attach the form to their application via Connect.