

**Application for Authorisation**

**Checklist – Retail**

**Full name of applicant firm**

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This checklist form includes:

* a checklist of documents you need to send us with this application; and
* documents that you need to make available for us to inspect.

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|  | Documents for this application  You must confirm which sections of the application pack you have attached. You will also need documents to support this application. You must send some of these with this application; the applicant firm needs to make other documents available for inspection upon request. |

The information we need for this application

1.1 This 'application for authorisation' pack consists of the following documents; please tick below to confirm the forms you have completed and enclosed.

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| **Application documents** |  |
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| **Compulsory documents** |  |
| MiFID Authorisation Form | Attached |
| List of members of the management body | Attached |
| MiFID Annex | Attached |
| Retail Supplement (one of the following)   * Supplement for firms selling investments * Supplement for firms selling investments and home finance * Supplement for firms selling investments and non-investment insurance contracts * Supplement for firms selling investments, home finance and non-investment insurance contracts | Attached  Attached  Attached  Attached |
| MiFID IT Self-Assessment Form | Attached |
| Fees and Levies Supplement - Retail | Completed |
| This checklist | Attached |
| **Other application documents** |  |
| **Please select the documents you have completed and attached below:** |  |
| MIFIDPRU Supplement (UK MiFID investment firms only) | Attached |
| Disclosure of significant events appendix | Attached |
| IT Controls Form | Attached |
| IT Maturity Assessment Form | Attached |
| Self-Certification 6 | Attached |
| Self-Certification 7 | Attached |
| Standard Self-Certification | Attached |
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Supporting documents you are sending with this application

You must tick below the documents you are sending with this application.

**1.2 List of supporting documents**

**Compulsory supporting documents**

**MiFID Annex** (we have provided question numbers where possible)

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| **Section** | **Supporting documents** |  |
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| 4.2 | Form A - Application to perform controlled functions including senior management functions and statements of responsibilities for all individuals applying to hold senior management functions | Number enclosed   |  |  | | --- | --- | |  |  | |
| 6.9 | CV for each individual attached as additional document | Attached |
| 6.23 | Supporting documentation such as high-level IT architecture diagrams | Attached |
| 6.26 | Compliance monitoring programme | Attached |

**MIFIDPRU Supplement** (we have provided question numbers where possible)

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| **Section** | **Supporting documents** |  |
| Information on the applicant firm’s capital and liquidity | | |
| 2.3 | Application under MIFIDPRU 3.3.3R for permission to classify an issuance of capital instruments as common equity tier 1 (CET1) capital | Attached  Not applicable |
| 2.4 | Application under MIFIDPRU 3.3.2R for permission to include interim or year-end profits as common equity tier 1 (CET1) capital | Attached  Not applicable |
| 2.5(c) | AT1 and/or T2 capital instruments term sheet(s) | Attached  Not applicable |
| 2.5(d) | A legal opinion from an appropriately qualified individual relating to AT1 and/or T2 capital instruments | Attached  Not applicable |
| 2.6 | Companies House form SH01 (limited companies only) | Attached  Not applicable  Share capital to be issued subject to in principle authorisation |
| 2.6 | A copy of Partnership agreement deeds | Attached  Not applicable |
| 2.6 | Statements of personal and business assets and liabilities (partnerships and sole traders) | Attached  Not applicable |
| 2.6 | A copy of the LLP agreement, including the members’ capital agreement (Limited Liability Partnerships only) | Attached  Not applicable |
| 2.6 | Details of the applicant’s constitution | Attached  Not applicable |
| 2.7 | End of year accounts, including:   * Balance sheet * Profit and Loss accounts * Audited annual reports * A report by the company auditor * Most recent management accounts   (if the applicant firm is currently trading) | Attached  Not applicable |
| 2.8 | Financial forecast information (in Excel format), including:   * A forecast balance sheet * A forecast profit and loss * A forecast cash flow | Attached |
| 2.9 | Forecast own funds vs. regulatory requirements in Excel format | Attached |
| 2.10 | Forecast liquid assets vs. regulatory requirements in Excel format | Attached |
| Information on the group the applicant firm is a part of (if the applicant firm is not part of a group, please go to Question 4.4) | | |
| 3.3 | Group structure chart (investment firm group) | Attached |
| 3.10 | Application under MIFIDPRU 3.3.3R(1) for permission to classify an issuance of capital instruments as common equity tier 1 (CET1) capital | Attached  Not applicable |
| 3.11 | Application under MIFIDPRU 3.3.2R for permission to include interim or year-end profits as common equity tier 1 (CET1) capital | Attached  Not applicable |
| 3.12(c) | AT1 and/or T2 capital instruments term sheet | Attached  Not applicable |
| 3.12(d) | A legal opinion from an appropriately qualified individual relating to AT1 and/or T2 capital instruments | Attached  Not applicable |
| 3.13 | End of year group accounts, including:   * Consolidated balance sheet * Consolidated Profit and Loss accounts * Audited group annual reports * A report by the company auditor   (if the group is currently trading) | Attached  Not applicable |
| 3.14 | Group financial forecast information (in Excel format), including:   * A forecast balance sheet * A forecast profit and loss * A forecast cash flow | Attached  Not applicable |
| 3.15 | Forecast consolidated own funds vs. consolidated own funds requirement | Attached  Not applicable |
| 3.16 | Group capital test calculations | Attached  Not applicable |
| 3.17 | Forecast group liquid assets vs liquid assets requirement | Attached  Not applicable |
| 3.18(a) | Group structure chart (third-country groups) | Attached  Not applicable |
| 3.18(b) | List of group entities that are regulated | Attached  Not applicable |
| 3.18(c) | Country of incorporation and the name of the highest non-UK parent undertaking | Attached  Not applicable |
| 3.18(d) | Details of any measures the FCA or PRA has taken in relation to the consolidated supervision of the group | Attached  Not applicable |
| 3.18(e) | Details of any group supervision on a  consolidated basis by any non-UK regulator | Attached  Not applicable |
| 3.18(f) | Classification of groups form | Attached  Not applicable |
| Internal Capital and Risk Assessment (ICARA) process | | |
| 4.4 | ICARA document | Attached  Not applicable |

**List of members of the management body** (we have provided a page number below of where it is requested in the List of members of the management body)

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| **Page** | **Supporting documents** |  |
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| Page 7 | Minutes of the meeting for the nomination of new members of the management body | Attached |

**Other supporting documents to be provided depending on the answers to the applicable questions**

**MiFID Annex** (we have provided question numbers in brackets where possible)

| **Section** | **Other supporting documents** |  | |
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| 1.16 | Certificate of incorporation | Attached | |
| 1.16 | Copy of Partnership agreement deeds | Attached  Not applicable | |
| 1.16 | Copy of Limited Liability Partnership agreement deeds | Attached  Not applicable | |
| 1.26 | MTFs and OTFs table | Attached  Not applicable | |
| 1.26 | Transparency Waiver | Attached  Not applicable | |
| 2.5 | Companies House form SH01 (limited companies only) (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable  Share capital to be issued subject to in principle authorisation | |
| 2.5 | Statements of personal and business assets and liabilities (partnerships and sole traders) (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 2.5 | Members capital agreement (Limited Liability Partnerships only) (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 2.5 | Details of the applicant’s constitution (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 3.1, 3.5 | Structure chart | Attached  Not applicable | |
| 3.2 | A copy of the latest financial statements (Body corporate, partnerships or trusts only) | Attached  Not applicable | |
| 3.2 | Documentation to show financial position (individuals only) | Attached  Not applicable | |
| 3.3 | Controller appendices – Legal Persons and Partnerships | Number enclosed   |  |  | | --- | --- | |  |  | | |
| 3.3 | Controller appendices - Natural Persons | Number enclosed   |  |  | | --- | --- | |  |  | | |
| 3.3 | Controller appendices - Trust | Number enclosed   |  |  | | --- | --- | |  |  | | |
| 4.4 | Evidence of assessment | Attached  Not applicable | |
| 4.5 | Staff organisational structure chart | Attached  Not applicable | |
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| 5.1 | A forecast balance sheet in Excel format (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 5.1 | A forecast monthly profit and loss account in Excel format (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 5.1 | A monthly cash flow forecast in Excel format (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 5.1 | A monthly calculation of the applicant firm’s financial resources in Excel format (Article 3 MiFID exempt and non-UK MiFID investment firms only) | Attached  Not applicable | |
| 5.3 | End of year accounts (Article 3 MiFID exempt and non-UK MiFID investment firms only) including:  - Balance Sheet  - Profit and Loss accounts  - Audited annual reports  - A report by the company auditor  (if the firm is currently trading) | Attached  Not applicable | |
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**Retail Supplement** (we have provided question numbers in brackets where possible)

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| **Section** | **Other supporting documents** |  | |
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| 1 | Consumer buy-to-let (CBTL) registration form | Attached  Not applicable | |

**Disclosure of significant events appendix**

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| **Section** | **Other supporting documents** |  |
| 1.17 | Most recent annual or management accounts | Attached  Not applicable |

Compulsory self-certified supporting documents

By signing the form you will certify that these documents have been prepared to an appropriate standard and can be made available for immediate inspection by us.

Please note that we carry out checks to ensure applicant firms are complying with our requirements.

If these documents are not available immediately, it may take longer to assess your application.

**1.3 List of self-certified documents**

Please tick to confirm that the document is created and available for inspection. If the document does not apply to the applicant firm, please tick ‘Not applicable’.

Other documents

**1.4 Please list any other documents you have provided.**

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**1.5 Please provide any comments on supporting documents if necessary.**

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Other information

**1.6 If there is anything else you would like to tell us about this application please give details below.**

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