**Application to be exempt from liquidity requirements on a consolidated basis under MIFIDPRU 2.5.19R**



**Full name of applicant firm**

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

We require all applicant firms seeking exemption from the consolidated application of the liquidity requirements in MIFIDPRU 6 to complete this application form. You must ensure you include all relevant information in the form and provide supporting information if required. If you do not, your application will be delayed while you answer further questions from us.

Please keep a copy of the form you complete and the supporting documents that you include with this application form for future reference.

The FCA process 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: FCA : [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy)

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| 1 | Contact details |

**1.1 Details of Senior Manager responsible for this application**

If the application is being made in respect of a MIFIDPRU investment firm or another SMCR firm, we would expect the individual responsible for it to hold a senior management function (SMF).

|  |  |
| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First names |  |

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title /position |  |

|  |  |
| --- | --- |
| Individual reference number (if applicable) |  |

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| --- | --- |
| 2 | About the exemption |

**2.1 Please list all MIFIDPRU investment firms within the investment firm group and confirm whether they are subject to the rules in MIFIDPRU 6 on an individual basis.**

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| **FRN** | **MIFIDPRU investment firm name** | **Subject to liquidity requirements on an individual basis?** |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |
|  |  | Yes  No |

2.2 Please explain, in detail, why an exemption from the consolidated application of the liquidity requirements in MIFIDPRU 6 is appropriate – taking into account the nature, scale and complexity of the investment firm group. Please substantiate your response by providing supporting information.

Supporting information attached

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