**Application under MIFIDPRU 4.14.6R for permission to exclude transactions with some counterparties from K-TCD requirement**



**Full name of applicant firm**

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

We require all applicant firms seeking permission to exclude transactions with some counterparties from K-TCD requirement 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) |  |

|  |  |
| --- | --- |
| 2 | About the relevant counterparty or counterparties |

**2.1 Please list all MIFIDPRU investment firms in respect of which this application is being made.**

|  |  |
| --- | --- |
| **FRN** | **MIFIDPRU investment firm name** |
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**For group applications, the below section must be completed separately for each entity requiring the permission, including for the consolidated situation of the UK parent if the application is also being made on a consolidated basis**

If you have used separate sheets of paper you must indicate how many below.

|  |  |
| --- | --- |
| Number of additional sheets |  |

**2.2 Please confirm the FRN and name of the MIFIDPRU investment firm or consolidating UK parent this section relates to.**

|  |  |
| --- | --- |
| FRN |  |
| Name |  |

**2.3 Please provide the following information about the counterparty or counterparties that the applicant firm wishes to exclude from the calculation of its K-TCD requirement**If you would like to add more counterparties, please provide the information required in the below table for each additional counterparty in a separate document and attach as a supporting document with your application. If you have used separate sheets of paper you must indicate how many below.

|  |  |
| --- | --- |
| Number of additional sheets |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FRN / LEI** | **Name** | **Relationship**  Select one option | **Type of firm**  Select one option | **Location** |
|  |  | Parent  Subsidiary  Subsidiary of parent  Linked by majority common management | Credit institutions  Investment firm  Financial institution |  |
|  |  | Parent  Subsidiary  Subsidiary of parent  Linked by majority common management | Credit institutions  Investment firm  Financial institution |  |
|  |  | Parent  Subsidiary  Subsidiary of parent  Linked by majority common management | Credit institutions  Investment firm  Financial institution |  |
|  |  | Parent  Subsidiary  Subsidiary of parent  Linked by majority common management | Credit institutions  Investment firm  Financial institution |  |
|  |  | Parent  Subsidiary  Subsidiary of parent  Linked by majority common management | Credit institutions  Investment firm  Financial institution |  |

**2.4 Confirm whether the applicant firm and the counterparty or counterparties are:**

|  |  |
| --- | --- |
| Part of the same prudential consolidation group under the UK CRR | Yes  No |
| Part of the same prudential consolidation group under MIFIDPRU 2.5 | Yes  No |
| Supervised together for compliance with the group capital test under MIFIDPRU 2.6 | Yes  No |

**2.5 Please attach a group structure chart which clearly identifies the applicant firm and the above counterparty or counterparties**

Attached

**2.6 In order for a firm to be granted permission to exclude transactions with a counterparty or counterparties from its K-TCD requirement, the counterparty or counterparties concerned must be subject to the same risk evaluation measurement and control procedures as the firm.**

Please explain how the firm’s counterparty or counterparties satisfy the requirement and provide supporting information to substantiate your response.

Supporting information attached

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**2.7 To the best of your knowledge, are there any current or foreseen material practical or legal impediments to the prompt transfer of own funds or repayment of liabilities from the counterparty, or counterparties, to the firm?**

Yes⏵Give details below

No

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