

**Application for a permission under MIFIDPRU for which there is no dedicated application form**

**Full name of applicant firm**

|  |
| --- |
|  |

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

This application form is relevant only to applications for permission under MIFIDPRU for which no dedicated application form is provided. It must not be used to apply for or vary a permission where MIFIDPRU contains a dedicated application form for that permission. In that case, the dedicated form must be used instead.

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)

|  |  |
| --- | --- |
| 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 this permission |

**2.1 Please confirm which of the following the applicant is**

MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking

MIFIDPRU investment firm that is a consolidating UK parent entity

MIFIDPRU investment firm that is a GCT parent undertaking

Consolidating UK parent entity (other than a MIFIDPRU investment firm)

GCT parent undertaking (other than a MIFIDPRU investment firm)

**2.2 If this application is being made on behalf of other entities within the same group?**

Yes 4Please identify those other entities below

No

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

**2.3** **Please identify below the rule in MIFIDPRU that relates to the permission you are requesting. Where the permission relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard and the MIFIDPRU rule that applies it**

|  |  |
| --- | --- |
| MIFIDPRU rule |  |

|  |  |
| --- | --- |
| UK CRR provision (if applicable) |  |

|  |  |
| --- | --- |
| Binding technical standard provision (if applicable) |  |

**2.4 Are you applying for the variation of an existing permission that has previously been granted under MIFIDPRU?**

Yes 4Please provide the reference number below of the previous permission

No

|  |
| --- |
|  |

**2.5 Is your application based on a precedent published written permission notice?**

Yes 4Please provide the reference number of the precedent permission and an explanation of why you consider the precedent to be relevant to your application.

No

|  |  |
| --- | --- |
| Permission reference number |  |

|  |  |
| --- | --- |
| Relevance of the precedent permission to this application |  |

**2.6 Please explain why you are applying for the MIFIDPRU permission (or a variation of the existing MIFIDPRU permission)**

Please give details of how the permission will affect your business, including the activities to which it is relevant and the types of clients or counterparties who may be affected.

|  |
| --- |
|  |

**2.7 Please explain how any requirements in the MIFIDPRU rule and, if applicable, the UK CRR provision or binding technical standard provision you identified in question2.3 above are met**

Where the relevant provisions contain multiple requirements, you must explain how each separate requirement is met. This includes any requirements that may be applied by cross-references to other MIFIDPRU rules or provisions of the UK CRR. If you attach supporting documents to support your application, please tick the box below.

|  |
| --- |
|  |

Supporting document(s) attached