

1. MIFIDPRU 1 Annex 6R
	1. Notification under MIFIDPRU for which there is no dedicated notification form

**NOTE:** This form must not be used to:

* Submit a notification where MIFIDPRU contains a separate dedicated form for that notification. In that case, the dedicated form must be used instead; or
* Make a notification for purposes that are not connected with MIFIDPRU. A firm that needs to make a notification for other purposes should refer to the provisions in SUP 15.

This form is relevant only to notifications under MIFIDPRU for which no other notification form is provided.

 **1 Details of Senior Manager responsible for this notification**

If the notification 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).

|  |  |
| --- | --- |
| Name of individual |       |

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

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

 **2 Please confirm which of the following is making this notification**

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

[ ]  b. MIFIDPRU investment firm that is a consolidating UK parent entity

[ ]  c. MIFIDPRU investment firm that is a GCT parent undertaking

[ ]  d. Consolidating UK parent entity (other than a MIFIDPRU investment firm)

[ ]  e. Consolidating UK parent entity (other than a MIFIDPRU investment firm)

 **3 If this application is being made on behalf of other entities within the same group, please identify those other entities below**

|  |  |
| --- | --- |
| **FRN** | **Entity name** |
|       |       |
|       |       |
|       |       |

 **4** **Please identify below the rule in MIFIDPRU that relates to the notification you are making. Where the notification relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard and the MIFIDPRU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) |       |

 **5 Please provide details of the matter to which this notification relates.**

Where a MIFIDPRU rule, UK CRR provision or binding technical standard provision that you have identified in question 3 requires particular information to be provided in the notification, you must include that information.

If you attach supporting documents relating to this notification, please tick the box below.

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[ ]  Supporting document(s) attached