

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 Where the notification relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard and the MIFIDPRU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.

|  |
| --- |
|  |

Supporting document(s) attached