

1. MIFIDPRU TP7 Annex 1R
   1. Notification under MIFIDPRU TP 7.4R(2)(b) on treating pre-MIFIDPRU capital instruments as own funds under MIFIDPRU 3

**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 the notifying firm will be under MIFIDPRU**

|  |  |
| --- | --- |
| 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. GCT parent undertaking (other than a MIFIDPRU investment firm) |  |

**3 This notification is made in respect of the following capital instruments issued by the entity before 1 January 2022 and which will still be in issue on that date**

|  |  |  |
| --- | --- | --- |
| **Type of instruments** | **Nominal value of instruments** | **Treatment under MIFIDPRU** |
|  |  | Select one of the following for each type of instrument:  CET1  AT1  T2 |
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|  |  | Select one of the following for each type of instrument:  CET1  AT1  T2 |

**4 Please confirm that the instruments above meet the relevant conditions for classification as own funds under MIFIDPRU, aside from any requirement to notify or seek permission from the FCA.**

Yes