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**Notification of senior person amendments or removal form**

**Name of alternative investment fund manager**

|  |
| --- |
|  |

**Firms Reference Number (FRN)**

|  |
| --- |
|  |

The FCA processes 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: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy) .

**Purpose of this pack**

This form is for use by firms are:

* Full-scope internally managed UK AIFMs
* EuSEF managers
* EuVECA managers

You can use this form to notify us of:

* Amendments to the details of previously notified senior persons
* The removal of senior persons previously notified to the FCA

**Contents of this form**

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2 Amendment to existing details 4

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**Filling in the form**

**1** If you are using your computer to complete the pack:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* print out the form you have completed and sign the declaration

**2** If you arefilling in the form by hand:

* use black ink
* write clearly and
* sign the declaration

**3** If you think a question is not relevant to you, write 'not applicable' and explain why.

**4** If there is not enough space on the forms you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**5** Submit the form by email to [AIFMDSeniorPerson@fca.org.uk](mailto:AIFMDSeniorPerson@fca.org.uk)

Alternatively you may post the application to the FCA at:

**Authorisations Support Team  
The Financial Conduct Authority  
12 Endeavour Square  
LONDON  
E20 1JN**

|  |  |
| --- | --- |
| 1 | Firm Details |

**1.1 Who should the FCA contact at the firm in relation to this notification?**

|  |  |
| --- | --- |
| Name |  |

|  |  |
| --- | --- |
| Position |  |

|  |  |
| --- | --- |
| Telephone |  |

|  |  |
| --- | --- |
| Fax number |  |

|  |  |
| --- | --- |
| E-mail |  |

**1.2 Type of AIFM?**

Full-scope internally managed UK AIFM

EuSEF manager

EuVECA manager

**1.3 What is this notification for?**

Amendment to an existing senior person’s details⏵Complete Sections 2, 4 and 5

Removal of one or more senior persons⏵ Complete Sections 3, 4, and 5

|  |  |
| --- | --- |
| 2 | Details of AIFM senior person to be changed |

**2.1 FCA individual reference number (IRN)**

|  |
| --- |
|  |

Details to be changed (only populate a field below if the data has changed)

**2.2 Title (eg Mr, Mrs, Ms, etc)**

|  |
| --- |
|  |

**2.3 Surname**

|  |
| --- |
|  |

**2.4 ALL forenames**

|  |
| --- |
|  |

**2.5 Date of birth (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

**2.6 National insurance number**

|  |
| --- |
|  |

**2.7 Passport number, if national insurance number is not applicable.**

|  |
| --- |
|  |

**2.8 Other changes in application details and matters relating to fitness and propriety**

|  |
| --- |
|  |

**2.9 Effective date of change (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |

**2.10 Reason for change(s)**

|  |
| --- |
|  |

**Continue to Section 4**

|  |  |
| --- | --- |
| 3 | Information on AIFM senior person(s) to be removed |

**3.1 How many AIFM senior person(s) are being removed?**

|  |
| --- |
|  |

**3.2 Please list the AIFM senior person(s) that will no longer be responsible for the management of the firm, together with an effective date and reason.**

|  |  |  |
| --- | --- | --- |
| **Full name and individual reference number (IRN) of individual** | **End date (dd/mm/yyyy)** | **Reason** |
|  |  | Internal movement of staff  Resignation  Redundancy  Retirement  End of contract  Dismissal/termination of employment or contract (specify in section 4)  Suspension (specify in section 4)  Other (specify in section 4) |
|  |  | Internal movement of staff  Resignation  Redundancy  Retirement  End of contract  Dismissal/termination of employment or contract (specify in section 4)  Suspension (specify in section 4)  Other (specify in section 4) |
|  |  | Internal movement of staff  Resignation  Redundancy  Retirement  End of contract  Dismissal/termination of employment or contract (specify in section 4)  Suspension (specify in section 4)  Other (specify in section 4) |
|  |  | Internal movement of staff  Resignation  Redundancy  Retirement  End of contract  Dismissal/termination of employment or contract (specify in section 4)  Suspension (specify in section 4)  Other (specify in section 4) |

**Continue to Section 4**

|  |  |
| --- | --- |
| 4 | Supplementary Information |

**4.1 Please indicate clearly which question the supplementary information relates to.**

|  |
| --- |
|  |

**Continue to Section 5**

|  |  |
| --- | --- |
| 5 | Declaration |

**Warning**

It is a criminal offence to knowingly or recklessly give us information that is false or misleading. If necessary, please seek appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

**Declaration**

By submitting this notification form:

* I confirm that I understand it is a criminal offence to knowingly or recklessly give the FCA information that is false or misleading in a material particular (sections 398 and 400 of the Financial Services and Markets Act 2000)
* I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.
* I confirm that I am authorised to sign this notification on behalf of the firm.

Tick to confirm you have read and understood the declaration

|  |  |
| --- | --- |
| Name of the person signing on behalf of the firm |  |

|  |  |
| --- | --- |
| Position |  |

|  |  |
| --- | --- |
| Signature |  |

|  |  |
| --- | --- |
| Date | dd/mm/yy |