 **Notification of senior personnel that effectively direct the business of a SEF and/or RVECA fund**

**Name of senior person** (to be completed by notifying firm)

|  |
| --- |
|       |

**Name of firm**

|  |
| --- |
|       |

**Firm Reference Number (FRN)** (where applicable)

|  |
| --- |
|       |

**Please confirm the categories of small registered UK AIFM the senior person is filling the form for (tick all that apply):**

[ ]  SEF manager

[ ]  RVeca manager

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

For the purposes of this form a “senior person” is a person who effectively conducts the business of the AIFM. RVECA regulations refer to Regulation (EU) 2013/345. SEF regulations refer to Regulation (EU) 2013/346.

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) .

 **You must attach this form to your application on Connect.**

**Contents of this form**

1 Persons already known to the FCA 2 6 Declarations on convictions, 11 investigations etc

2 Personal identification details 3 7 Other relevant information 15

3 Application firm details 5 8 Declaration of senior person 16

4 Senior person’s SEF/RVECA specific 6 9 Declaration of firm 17
skills

5 Senior person’s employment details 9

|  |  |
| --- | --- |
| 1 | Persons already known to the FCA |

 **1.1 Please confirm whether you are currently an Approved Person with the FCA?**

[ ]  Yes⏵ Continue to Question 1.2

[ ]  No ⏵ Continue to Section 2

 **1.2 Please provide your IRN below**

|  |
| --- |
|       |

 **1.3 Please confirm whether any material changes[[1]](#footnote-1) took place with reference to your information as an Approved Person with the FCA**

[ ]  Yes⏵ Continue to Section 2.

[ ]  No ⏵ Continue to Section 4. Also complete Sections 8 and 9 of the form. You may leave other sections blank.

|  |  |
| --- | --- |
| 2 | Personal identification details |

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

|  |
| --- |
|       |

 **2.2 Surname**

|  |
| --- |
|       |

 **2.3 ALL forenames**

|  |
| --- |
|       |

 **2.4 Name commonly known by**

|  |
| --- |
|       |

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

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

 **2.6 National insurance number**

|  |
| --- |
|       |

 **2.7 Previous name**

|  |
| --- |
|       |

 **2.8 Date of name change (dd/mm/yyyy)**

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

 **2.9 Nationality**

|  |
| --- |
|       |

 **2.10 Passport number, if national insurance number is not applicable**

|  |
| --- |
|       |

 **2.11 Place of birth**

|  |
| --- |
|       |

 **2.12 Private address**

|  |  |
| --- | --- |
| Address |       |
|  |
|  |
| Country |       |
| Postcode |       |

 **Date resident at this address (mm/yyyy)**

If address has changed in the last three years, please provide addresses for the previous three years.

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| From |       |       | / |       |       |       |       | Present |

 **2.13 Previous address 1**

|  |  |
| --- | --- |
| Address |       |
|  |
|  |
| Country |       |
| Postcode |       |

**Date resident at this address (mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| From |       |       | / |       |       |       |       |  To |       |       | / |       |       |       |       |

 **2.14 Previous address 2**

|  |  |
| --- | --- |
| Address |       |
|  |
|  |
| Country |       |
| Postcode |       |

**Date resident at this address (mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| From |       |       | / |       |       |       |       |  To |       |       | / |       |       |       |       |

 **I have supplied further information related to this section in
Section 7.**

[ ]  Yes

[ ]  No

|  |  |
| --- | --- |
| 3 | Applicant firm details |

 **3.1 Name of firm providing the notification**

|  |
| --- |
|       |

 **3.2 Firm Reference Number (FRN) where applicable**

|  |
| --- |
|       |

 **3.3 Who should the FCA contact at the firm in relation to this application?**

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

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

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

|  |  |
| --- | --- |
| Fax |       |

|  |  |
| --- | --- |
| Email address |       |

**I have supplied further information related to this section in Section 7.**

[ ]  Yes

[ ]  No

|  |  |
| --- | --- |
| 4 | Senior person’s SEF/RVECA specific skills |

SEF applicants

SEF applicants shall provide the following additional information to demonstrate their skills of managing SEF funds. RVECA applicants must directly continue to Question 4.3, unless they are both SEF manager and RVECA manager applicant.

You should provide sufficient detail to demonstrate why the senior person is experienced enough as to ensure the sound and prudent management of the SEF and/or experienced enough in relation to the SEF strategies.

Note: You may print additional copies of this section/page of the form to provide more information or if the space provided is insufficient for the information you wish to share

[ ]  Additional copies of the section/page attached.

 **4.1 Confirm whether the senior person has experience of investing in, managing, operating and/or providing consultancy services to firms in the following categories (further examples of activities with a positive social impact can be found under Article 10 of the SEF regulation)**

[ ]  Firms that provide services or goods to vulnerable or marginalised, disadvantaged or excluded persons;

[ ]  Firms that employ socially positive methods of production of goods or services;

[ ]  Firms that provide financial support exclusively to social undertakings as defined in the above two categories;

[ ]  Other categories that contribute towards positive social impact; or

[ ]  No prior experience in such undertakings. Please provide further details under ‘any other relevant details’ below to demonstrate your eligibility for the SEF designation.

Note: Please check one or more categories above and provide relevant experience details in the boxes below.

 **4.2 Provide following details related to each such experience checked above**

|  |  |
| --- | --- |
|  |  |
| Period From | mm/yyyy | To | mm/yyyy |
|  |  |
| Position |       |
|  |  |
|  |  |
| Organisation (include contact details) |       |
|  |  |
|  |  |
| Address of the organisationPostcode |            |
|  |  |
|  |  |
| Key responsibilities (include time spent on fulfilment of these responsibilities) |       |
|  |  |
|  |  |
| Social Impacts targeted |       |
|  |  |
|  |  |
| Any other relevant details |       |
|  |  |
|  |  |

RVECA applicants

RVECA applicants shall provide the following additional information to demonstrate their skills of managing RVECAs. SEF manager applicants must leave these questions blank, unless they are both SEF manager and RVECA manager applicants.

You should provide sufficient detail to demonstrate why the senior person is experienced enough as to ensure the sound and prudent management of the RVECA fund and/or experienced enough in relation to the RVECA strategies.

Note: You may print additional copies of this section/page of the form to provide more information or if the space provided is insufficient for the information you wish to share.

[ ]  Additional copies of the section/page attached

 **4.3 Provide following details of such experience**

|  |  |
| --- | --- |
|  |  |
| Period From | mm/yyyy | To | mm/yyyy |
|  |  |
| Position |       |
|  |  |
|  |  |
| Organisation (include contact details) |       |
|  |  |
|  |  |
| Address of the organisationPostcode |            |
|  |  |
|  |  |
| Key responsibilities (include time spent on fulfilment of these responsibilities) |       |
|  |  |
|  |  |
| Experience in development of small and medium sized enterprises |       |
|  |  |
|  |  |
| Any other relevant details |       |
|  |  |
|  |  |

**I have supplied further information related to this section in Section 7.**

[ ]  Yes

[ ]  No

|  |  |
| --- | --- |
| 5 | Senior person’s employment details |

You must start with details of the position that the senior person either intends to take up with the firm or currently holds with the firm and include employment details for at least the last five years ending immediately before this application was made. ALL periods must be accounted for with no gaps, except employment periods already covered under section 4 of this form, which need not be repeated here.

Note: You may print additional copies of this page of the form to provide

more information on employment.

[ ]  Additional copies of the section/page attached.

 **5.1 Employment details**

|  |  |
| --- | --- |
|  |  |
| Period From | mm/yyyy | To | mm/yyyy |
|  |  |
| Employment status | [ ]  a) Employed[ ]  b) Self-employed[ ]  c) Unemployed[ ]  d) Full-time education |
|  |  |
|  |  |
| If c or d is ticked, please give details |       |
|  |  |
|  |  |
| Name of employer |       |
|  |  |
|  |  |
| Nature of business |       |
|  |  |
|  |  |
| Previous / other names of employer |       |
|  |  |
|  |  |
| Last known address of employer |       |
|  |  |
| Is/was employer regulated by a regulatory body? | [ ]  No[ ]  Yes⏵ Please give the name of the regulatory body |
|  |       |
|  |  |
| Is/was employer an appointed representative /tied agent? | [ ]  No[ ]  Yes⏵ Of which firm? |
|  |  |       |
|  |  |
|  |  |
| Position held |       |
|  |  |
|  |  |

|  |  |
| --- | --- |
| Responsibilities |       |
|  |  |
|  |  |
| Reason for leaving | [ ]  a) Resigned[ ]  b) Redundancy[ ]  c) Retirement[ ]  d) Termination / dismissal[ ]  e) End of contract[ ]  f) Other |
|  |  |
|  |  |
| Specify |       |

 **I have supplied further information related to this section in
Section 7.**

[ ]  Yes

[ ]  No

|  |  |
| --- | --- |
| 6 | Declaration on convictions, investigations etc |

**6.1a Has the senior person ever been convicted of any offence (whether or not in the UK):**

1. **involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or**
2. **relating to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?**

**[ ]** No **[ ]**  Yes

 **b Is the senior person the subject of any current criminal proceedings?**

**[ ]** No **[ ]**  Yes

 **c Has the senior person ever been given a caution in relation to any criminal offence?**

**[ ]** No **[ ]**  Yes

**6.2 Has the senior person any convictions for any offences (whether or not in the UK) other than those in Question 6.1 (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?**

**[ ]** No **[ ]**  Yes

Note (for Questions 6.1, 6.2 and 6.12(d)): You are not required to make any disclosure in relation to a spent conviction and neither are you required to provide details on circumstances ancillary to a spent conviction whether this is provided for in the Rehabilitation of Offenders Act 1974 and subordinate legislation. Please read the factsheet available at [www.fca.org.uk/firms/markets/international-markets/aifmd/eusef-euveca](http://www.fca.org.uk/firms/markets/international-markets/aifmd/eusef-euveca).

**6.3a Has the senior person ever** **had a County Court Judgment (CCJ) or other judgement debt, whether satisfied or not and whether discharged or not, in the UK or elsewhere?
[ ]** No **[ ]** Yes

 **b Has the senior person had:**

1. more than 2 CCJs or judgment debts?

 **[ ]** No **[ ]**  Yes

1. more than £1,000 in total of CCJs or judgment debts?

 [ ]  No  **[ ]**  Yes

 **c Is the senior person aware of:**

1. any proceedings that have begun, or anybody's intention to begin proceedings against the senior person for a CCJ or other judgment debt?

 [ ]  No  **[ ]**  Yes

1. more than one set of proceedings, or anybody's intention to begin more than one set of proceedings that may lead to a CCJ or other judgment debt?

**[ ]** No **[ ]**  Yes

1. anybody’s intention to claim more than £1,000 of CCJs or judgment debts in total from the senior person?

 **[ ]** No [ ]  Yes

 **6.4 Does the senior person have any current judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?**

[ ]  No [ ]  Yes

 **6.5 Has the senior person ever failed to satisfy any such judgment debts within one year of the order being made?**

[ ]  No [ ]  Yes

 **6.6a Is the senior person, or has the senior person ever been, the subject of any bankruptcy proceedings, or proceedings for the sequestration of the senior person’s estate?**

[ ]  No [ ]  Yes

 **b Has the senior person ever entered or is in the process of entering into an agreement in favour of the senior person creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?**

[ ]  No [ ]  Yes

 **6.7 Does the senior person have any outstanding financial obligations arising from regulated activities that the senior person has carried out in the past (whether or not in the UK)?**

(In the case of advisers, this will include any outstanding liabilities arising from commissions paid for the sale of packaged products that have lapsed.)

[ ]  No [ ]  Yes

 **6.8 Has the senior person ever been found guilty of carrying on any unauthorised regulated activities or been investigated for the possible carrying on of unauthorised regulated activities?**

[ ]  No [ ]  Yes

 **6.9 Is the senior person, or has the senior person ever been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?**[ ] No [ ]  Yes

 **6.10 Has the senior person ever, (whether or not in the UK):**

 **a** been refused entry to, or been dismissed, suspended or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?
[ ]  No [ ]  Yes

 **b** been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?
[ ]  No [ ]  Yes

 **c** been disqualified from acting as a director of a company or from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association?
[ ]  No [ ]  Yes

 **d** been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56 of the Financial Services and Markets Act 2000, or received a warning notice that such a direction or order be made?
[ ]  No [ ]  Yes

**6.11 In relation to activities regulated by the FCA or any other regulatory body has:**

1. the senior person or
2. any company, partnership or unincorporated association of which the senior person is or has been a controller, director, senior manager, partner or company secretary, during the senior person’s association with that entity and for a period of three years after the senior person ceased to be associated with it, **ever:**

 **a** been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by any such body?
[ ]  No [ ]  Yes

 **b** been censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary action by any such body?
[ ]  No [ ]  Yes

 **c** resigned whilst under investigation by, or been required to resign from, any such body?
[ ]  No [ ]  Yes

 **d** decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by any such body, not to proceed with it?
[ ]  No [ ]  Yes

 **e** been the subject of any civil action which has resulted in a finding against the senior individual or it by a court?
[ ]  No [ ]  Yes

 **6.12 Has any company, partnership, or unincorporated association of which the senior person is or has been a controller, director, senior manager, partner, or company secretary, in the UK or elsewhere, at any time during the senior person’s involvement or within one year of such an involvement:**

 **a** been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?
[ ]  No [ ]  Yes

 **b** been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?
[ ]  No [ ]  Yes

 **c** been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?
[ ]  No [ ]  Yes

 **d** been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as already indicated under Question 6.11(b))?
[ ]  No [ ]  Yes

 **6.13 Is the senior person aware of any business interests, employment obligations, or any other situations that may conflict with the performance of the responsibilities at the firm for which registration is now sought?**

 [ ]  No [ ]  Yes

**I have supplied further information related to this section in Section 7**

[ ]  Yes

[ ]  No

|  |  |
| --- | --- |
| 7 | Other relevant information |

 **7.1 If there is any other information the senior person or the firm considers to be relevant to the application, it must be included here.**

Please also include here any additional information indicated in previous sections of the form.

**Where relevant, please include a list of all directorships currently or previously held by the senior person in the past 10 years (where director has the meaning given in the Glossary).**

If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.

 **Full details must be provided here if there were any issues that could affect the good repute or sufficiency of experience of the senior person that arose when leaving an employer listed in Section 4 or if any question has been answered ‘yes’ in Section 6.**

|  |  |
| --- | --- |
| **Question** | **Information** |
|       |       |

|  |  |
| --- | --- |
| 8 | Declaration of senior person |

Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body. If there is any doubt about the relevance of information, it should be included.

With reference to the above, the FCA may seek to verify the information given in this form including answers pertaining to good repute and sufficiency of experience. This may include a credit reference check.

**In signing the form below:**

**a) I authorise the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this form.**

**b) I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.**

[ ]  Tick here to confirm you have read and understood this declaration.

|  |  |
| --- | --- |
| Senior person’s full name |       |

|  |  |
| --- | --- |
| Signature[[2]](#footnote-2) |  |

|  |  |
| --- | --- |
| Date | dd/mm/yyyy |

|  |  |
| --- | --- |
| 9 | Declaration of firm |

Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000).

In making this application the firm believes on the basis of due and diligent enquiry that the senior person is of sufficiently good repute and sufficiently experienced as to ensure the sound and prudent management of the firm. The firm also believes, on the basis of due and diligent enquiry, that the senior person is sufficiently experienced in relation to the investment strategies pursued by the AIFs it manages.

**In signing this form on behalf of the firm:**

1. **I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.**
2. **I confirm that I have authority to make this application, and sign this Form, on behalf of each firm identified in section 3. I also confirm that a copy of this Form, as submitting to the FCA, will be sent to each of those firms at the same time as submitting the form to the** **FCA.**

[ ]  Tick here to confirm you have read and understood this declaration.

|  |  |
| --- | --- |
| Name of the firm submitting this application |       |

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

|  |  |
| --- | --- |
| Job title |       |

|  |  |
| --- | --- |
| Signature[[3]](#footnote-3) |  |

|  |  |
| --- | --- |
| Date | dd/mm/yyyy |

1. Guidance on what constitutes a material change can be found in the *FCA handbook*. These changes would include one or more of the following:

Honesty, integrity and reputation - <https://www.handbook.fca.org.uk/handbook/FIT/2/1.html>

Competence and capability - <https://www.handbook.fca.org.uk/handbook/FIT/2/2.html>

Financial soundness - <https://www.handbook.fca.org.uk/handbook/FIT/2/3.html> [↑](#footnote-ref-1)
2. Please note that you need to sign the paper form submission only. [↑](#footnote-ref-2)
3. Please note that you need to sign the paper form submission only. [↑](#footnote-ref-3)