

## Template (C): General level change application

**For stand-alone firms or firms that are the only firm directly caught by the Remuneration Code or the BIPRU Remuneration Code in the group**

1.	Group name (if applicable):	
2.	Name of the <b>solo firm</b> that is the subject of this application:	
3.	Solo firm's reference number (FRN):	
4.	Solo firm's current proportionality level:	<i>e.g. Level 2</i>
5.	Proportionality level being requested for the solo firm:	<i>e.g. Level 3</i>
6.	For UK-incorporated solo firms only, please state the following:	
a.	the average of the solo firm's total assets on the firm's last three completed accounting reference dates.	<i>e.g. £bn,</i>
b.	solo firm's firm status type:	<i>e.g. BIPRU or IFPRU: limited licence, limited activity, full scope, bank or building society</i>
	For overseas solo firms in SYSC 19A.1.1R(d) or third country BIPRU solo firms only, please state the following:	
c.	the average of the firm's total assets that covered the activities of the branch operation in the UK on the firm's last three completed relevant dates, the relevant date being 31 December:	<i>e.g. £bn</i>
d.	solo firm's equivalent firm status type:	<i>e.g. BIPRU or IFPRU: limited licence, limited activity, full scope, bank or building society</i>
7.	Provide a short overview of the solo firm's business model. <i>[2 pages max.]</i> <i>Note: Please include a description of the firm's core business lines and customer types, and if applicable, the key ways in which this model overlaps with the business and operations of other firms in the group.</i>	
8.	If applicable, provide details of the group structure, and state whether any other firms sit beneath this solo firm in the group's legal structure. <i>Note: It may be helpful to supply organograms etc.</i>	

9. a. State the total number of Remuneration Code Staff (See SYSC 19A.3.4R to SYSC 19C.3.6G) or BIPRU Remuneration Code Staff (See SYSC 19C.3.4 R to SYSC 19C.3.6 G) in the solo firm:

b. State how many of those Remuneration Code Staff or BIPRU Remuneration Code Staff are likely to have a remuneration structure consistent with the parameters described in SYSC 19A.3.34 G (1) or SYSC 19C.3.34 G (1), respectively:

10. Please supply any other information that you deem to be relevant to this request [2 pages max.]

*Note: We would normally expect this information to cover the areas specified in the proportionality rule (SYSC 19A.3.3 R (2) for IFPRU limited licence or limited activity firms or SYSC 19C.3.3 R (2) for BIPRU firms), i.e. information related to the solo firm's size, internal organisation and the nature, scope and the complexity of its activities. For example, this could include areas like the solo firm's strategy, client base, revenue streams, operational independence and legal status etc.*

*Note 2: Your response should also briefly explain your firm's key motivations for making this request.*