

The Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 – MLR Individual Form

Application form for an MLR Individual at a cryptoasset business

Name of MLR Individual (the individual for whom approval is being requested)

Full name of applicant firm (as entered in Question 2.1)

Firm Reference Number (as entered in Question 2.2) [if the firm has one]

Important information: please read before completing this form

Please keep a copy of the forms you complete and any supporting documents you include with this application for your future reference.

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.

It is important that you disclose all relevant information and that it is accurate and complete. If you do not, you may be committing a criminal offence and it may delay your application.

This will help both the applicant and the MLR Individual answer the questions in this form. Both the applicant and the MLR Individual will be treated by the FCA as having taken these notes into consideration when completing their answers to the questions in this form.

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

If you leave a question blank without telling us why, we will have to treat the application as incomplete. This will increase the time it takes to assess your application.

Who should be submitting the MLR individual application?

- The sole proprietor of the business
- A joint owner of the business
- Officers of the business including director and company secretary
- The nominated officer – The Money Laundering Reporting Officer (MLRO) is responsible for ensuring that measures to combat money laundering within the firm are effective. The MLRO is also usually the 'nominated officer' under the Proceeds of Crime Act 2002 (POCA).
- A beneficial owner of the business- 'Beneficial owner' is defined in Regulations 5 and 6 of the Money Laundering Regulations 2017(as amended). An entity can have more than one beneficial owner. It is the natural person who ultimately owns or controls the firm.
- A person who is effectively directing the business.

Please note that this copy of the form is provided for information only. There is also a copy of the MLR registration application form [here](#). Applications must be submitted via [Connect](#).

1

Candidate details

1.1 Title (eg Mr, Mrs, Ms, etc)

1.2 Last name

1.3 First name(s)

1.4 Phone number

1.5 Email address

1.6 Name commonly known by

1.7 Date of birth (dd/mm/yyyy)

 / /

1.8 Place of birth

1.9 National Insurance number (Please provide your National Insurance number or, if you do not have a National Insurance number, you must provide BOTH your Passport Number AND your Nationality.)

1.10 Passport number (only required if a National Insurance number has not been provided)

1.11 Nationality (only required if a National Insurance number has not been provided)

1.12 Previous names

1.13 Date of name change (dd/mm/yyyy)

 / /

1.14 Reason of name change

1.15 Current private address

Private address	
Postcode	

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

From

		/			/				
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If you have lived at this address for less than the last five years, please provide addresses for the previous five years. If more than two previous addresses, please provide additional information within Section 6: Supplementary Information.

1.16 Previous address 1

Private address	
Postcode	

Dates resident at this address (dd/mm/yyyy)

		/			/				
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To

		/			/				
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1.17 Previous address 2

Private address	
Postcode	

Dates resident at this address (dd/mm/yyyy)

		/			/				
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To

		/			/				
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1.18 Has the candidate held any directorships in the last 10 years, including current directorships? (where director has the meaning given in the [Glossary](#)).

(List all directorships currently or previously held in the past 10 years)

Name of Undertaking	
Nature of Business	
Country of Incorporation	
Date the Directorship ceased (If the Directorship is active, leave this field blank)	

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2

Firm identification details

2.1 Name of applicant firm (or MLR Individual if sole trader) making the application

2.2 FCA Firm Reference Number (FRN) (if known)

2.3 Who should be the FCA contact at the Applicant Firm in relation to this application?

Name	
Position	
Telephone	
Fax	
Email	

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3

Individual Arrangements

The firm must select an arrangement that most accurately describes the position to be held by the MLR Individual. Regulation 21(1)(a) requires that any firm subject to the Regulations appoint one individual who is a member of the Board of directors (or if there is no Board, of its equivalent management body) or of its senior management who is responsible for overseeing compliance with the MLRs. Given the importance of this role we require this person to complete this form. All firms subject to the Regulations must nominate someone in their organisation to report any suspicious activity that the firm identifies to the National Crime Agency (NCA). This individual also needs to complete this form. You can find more information on reporting SARs on the [NCA's website](#)

3.1 Nature of the arrangement between the Individual and the applicant firm

- The Sole Proprietor of the business
- A Partner in the business
- A Director of the business [or a nominated officer]
- The senior manager responsible for compliance with the Regulations under Regulation 21(1)(a)
- The nominated officer appointed under Regulation 21(3)
- A beneficial owner, who owns or controls more than 25% of the shares or voting rights in the company
- Other (give details below)

4

Employment history

A full five-year employment history for the candidate must be provided including their current employment at the time of application, with all gaps explained. Start by filling out your current employment details, including the period from date. Provide details of previous employment in relevant section to cover 5 years of employment history, if needed. For more employment history, use Questions 4.3 A to I to provide information in Section 6: Supplementary Information.

Current employment details

4.1 What is the candidate's current employment status?

- Employed
- Self employed
- Unemployed
- Full time education

4.2 Employment details

A) Period: From (dd/mm/yyyy)

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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B) Name of employer

C) Nature of business

D) Has employer previously been known by a different name?

- No ▶ Continue to Question 4.2 F
- Yes ▶ Give previous/other name of employer details below

E) Last known address of employer

Please give the address of the actual place of employment, rather than the firm's head office.

Address	<input type="text"/>
Postcode	<input type="text"/>

F) Is/was the employer regulated by a regulatory body?

- No ▶ Continue to Question 4.2 G
- Yes ▶ Give name of regulatory body and country below

G) Position held

H) Responsibilities

Previous employment details

4.3 What is the candidate's current employment status?

- Employed
- Self employed
- Unemployed
- Full time education

4.4 Employment details

A) Period: From (dd/mm/yyyy)

 / /

To

 / /

B) Name of employer

C) Nature of business

D) Has employer previously been known by a different name?

- No ▶ Continue to Question 4.3 F
- Yes ▶ Give previous/other name of employer details below

E) Last known address of employer

Please give the address of the actual place of employment, rather than the firm's head office.

Address	
Postcode	

F) Is / Was the employer regulated by a regulatory body?

- No ▶ Continue to Question 4.3 G
- Yes ▶ Give name of regulatory body and country below

G) Position held

H) Responsibilities

I) Reason for leaving

- End of contract
- Redundancy
- Resignation
- Retirement
- Termination
- Long term absence eg sickness/ sabbatical
- Maternity or paternity Leave
- Poor performance
- Other (give details below)

4.5 Please attach an up-to-date CV containing details of education and professional experience, including academic qualifications, other relevant training, the name and nature of all organisations for which the individual works or has worked, and the nature and duration of the functions performed, in particular highlighting any activities within the scope of the position sought.

- Attached

4.6 Where applicable, please include information on the suitability assessment carried out by the applicant. This should include details of the result of any assessment of the suitability of the individual performed by the applicant, such as relevant board minutes or suitability assessment reports or other documents

- Attached

FOR INFORMATION ONLY - DO NOT COMPLETE

5

Fitness and propriety

In answering these questions, the individual and the firm are expected to give the wording of the questions the widest possible interpretation. **Remember, the FCA treats non-disclosure very seriously.**

Part A – Relevant Offences

This is a list of the relevant offences within Schedule 3 of the Regulations and there are no questions to answer within Part A: Relevant Offences.

- 1) **An offence under the Perjury Act 1911(b).**
- 2) **An offence under section 89 of the Criminal Justice Act 1967 (false written statements tendered in evidence)(c).**
- 3) **An offence under section 20BB of the Taxes Management Act 1970 (falsification of documents)(d).**
- 4) **An offence under section 11 of the European Communities Act 1972 (EU offences)(e).**
- 5) **An offence under Article 10 of the Perjury (Northern Ireland) Order 1979 (false statutory declarations and other false unsworn statements)(f).**
- 6) **An offence under the Customs and Excise Management Act 1979(a).**
- 7) **An offence under the Estate Agency Act 1979, or specified for the purposes of section 3 of that Act in the Estate Agents (Specified Offences) (No 2) Order 1991(b).**
- 8) **An offence under any of sections 1 to 5 of the Forgery and Counterfeiting Act 1981(c) (counterfeiting offences).**
- 9) **An offence under section 35 of the Administration of Justice Act 1985 (penalty for pretending to be a licensed conveyancer or recognised body)(d).**
- 10) **An offence under section 11(1) (undischarged bankrupts) or 13 (criminal penalties) of the Company Directors Disqualification Act 1986(e).**
- 11) **An offence under section 1, 2, 3, 3ZA or 3A of the Computer Misuse Act 1990(f) (computer misuse offences).**
- 12) **An offence under section 112 (false representations or obtaining benefit) or 114 (offences relating to contributions) of the Social Security Administration Act 1992(g).**
- 13) **An offence under section 52 of the Criminal Justice Act 1993(h) (the offence of insider dealing).**
- 14) **An offence under the Value Added Tax Act 1994(i).**
- 15) **An offence under section 44(2) of the Criminal Law (Consolidation) (Scotland) Act 1995 (false statement and declarations)(j).**
- 16) **An offence under the Data Protection Act 2018 (k).**
- 17) **An offence under the Terrorism Act 2000(l).**
- 18) **An offence under paragraph 7(2) or (3) of Schedule 3 to the Anti-Terrorism, Crime and Security Act 2001(m) (offences).**
- 19) **An offence under the Money Laundering Regulations 2001(n), the Money Laundering Regulations 2003(o), the Money Laundering Regulations 2007(p) or under these Regulations.**
- 20) **An offence under section 35 of the Tax Credits Act 2002(q) (offence of fraud).**

- 21) An offence under Part 7 (money laundering) or Part 8 (investigations) of, or listed in Schedule 2 (lifestyle offences: England and Wales), 4 (lifestyle offences: Scotland) or 5 (lifestyle offences: Northern Ireland) to, the Proceeds of Crime Act 2002(a).
- 22) An offence under the Commissioners for Revenue and Customs Act 2005(b).
- 23) An offence under the Terrorism Act 2006(c).
- 24) An offence under section 1, 2, 6 or 7 of the Bribery Act 2010(d) (bribery).
- 25) An offence under section 45 of the Serious Crime Act 2015(e) (offence of participating in activities of organised crime gang).
- 26) An offence under Parts 1 (general privacy protections); 2 (lawful interception of communications), 3 (authorisations for obtaining communications data), 5 (equipment interference), 6 (bulk warrants) and 7 (bulk personal dataset warrants) of the Investigatory Powers Act 2016(f).
- 27) An offence under section 45 (failure to prevent facilitation of UK tax evasion offences) or 46 (failure to prevent facilitation of foreign tax evasion offences) of the Criminal Finances Act 2017(g).
- 28) An offence of cheating the public revenue.
- 29) An offence under the law of any part of the United Kingdom consisting of being knowingly concerned in, or in taking steps with a view to, the fraudulent evasion of tax.
- 30) Any offence which has deception or dishonesty as one of its components.
- 31) The common law offences of conspiracy to defraud and perverting the course of justice.
- 32) An offence of attempting, conspiring or inciting the commission of an offence specified in this Schedule.
- 33) An offence under section 44 of the Serious Crime Act 2007 of doing an act capable of encouraging or assisting the commission of an offence specified in this Schedule.
- 34) An offence of aiding, abetting, counselling or procuring the commission of an offence specified in this Schedule.

Part B – Criminal and civil proceedings

In answering the questions in this section, you should include matters whether they occurred in the United Kingdom or overseas. Please note, the applicant is not required to disclose any convictions that are regarded as 'spent' under the Rehabilitation of Offenders Act 1974.

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

5.1 Has the MLR Individual ever been convicted of an offence listed in Part B: Relevant Offences, in the UK or of an equivalent offence in another country?

This question requires disclosure of criminal convictions (including those that are spent) from any offence. Criminal convictions should be disclosed even if the conviction was overseas.

No Yes

5.2 Is the MLR Individual presently charged with any of the offences listed in Part A: Relevant Offences?

No Yes

5.3 Has the MLR Individual any convictions for any offences other than those in Part A (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?

No Yes

- 5.4 Is the MLR Individual currently the subject to any criminal proceedings, whether in the UK or elsewhere?**
 No Yes
- 5.5 Has the MLR Individual ever been given a caution in relation to any criminal offence?**
 No Yes
- 5.6 Is the MLR Individual subject to any ongoing criminal investigation?**
 No Yes
- 5.7 Has the MLR Individual been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?**
 No Yes
- 5.8 Is, or has, the MLR Individual ever been directly or indirectly involved in any matter, investigation or order under the Proceeds of Crime Act 2002?**
 No Yes
- 5.9 Has the MLR Individual previously held a position of ownership or control in another business subject to money laundering regulations?**
 No Yes
- 5.10 Has any firm at which the MLR Individual holds or has held a position of influence ever:**
- (Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)**
- A) Been summoned, charged with or otherwise investigated or prosecuted for any criminal offence?**
 No Yes
- B) Been the subject of any criminal proceeding which has not results in a conviction?**
 No Yes
- C) Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?**
 No Yes

For a beneficial owner who is not currently approved as a SME manager by the FCA/PRA:

5.11 Has a criminal record check been carried out within the last 6 months?

A basic Disclosure and Barring Service (DBS) check must be carried out. If the individual is based in Scotland, Northern Ireland or outside of the United Kingdom, they'll need to request an equivalent criminal record check. Evidence of the check should be readily available upon request.

N/A only should be used if the controller or beneficial owner is currently approved as a SMF manager

No Yes N/A

5.12 Has the MLR Individual, ever been the subject of a judgement debt or award against the candidate? (whether satisfied or not?) a criminal record check been carried out within the last 6 months?

No Yes

5.13 Has the MLR Individual ever been party to any civil proceedings which resulted in an order against the candidate (other than a judgement debt or award referred to in 1.12 above)? (the MLR individual should include, for example, injunctions and employment tribunal proceedings.)

No Yes

5.14 Has the MLR Individual ever been made bankrupt, or has their estate been sequestrated, and (in either case) not discharged?

No Yes

5.15 Is the MLR Individual aware of:

A) Any proceedings that begun or anyone's intention to begin more than one set of proceedings against the MLR Individual, for a CCJ or another judgement debt?

No Yes

B) More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?

No Yes

5.16 Does the LR Individual have any current judgement debts (including CCJs) made under a court order still outstanding, whether in full or in part?

No Yes

5.17 Has the MLR Individual ever failed to satisfy any such judgement debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?

No Yes

5.18 Is the MLR Individual subject to a disqualification order under the Company Directors Disqualification Act 1986?

No Yes

5.19 Does the MLR Individual, or any undertaking their management, have any outstanding financial obligations arising from regulated activities, which have been carried out in the past (whether or not in the UK or overseas)?

No Yes

5.20 Has the MLR Individual ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance,

negligence, wrongful trading or other misconduct?

Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved?

No Yes

5.21 Is the MLR Individual currently:

A) Party to any civil proceedings (including those covered in 1.18 above)?

No Yes

B) Aware of anybody's intention to begin civil proceedings against the candidate? (Candidate should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate.)

No Yes

5.22 During the period over which the candidate has held a position of influence and/or in the 10 years after this, has any firm at which the candidate holds or has held a position of influence ever been:

A) Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?

No Yes

B) The subject of a judgement debt or award against the firm? (Candidate should include all CCJs made against the firm, whether satisfied or not.)

No Yes

C) Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 1.21 A) and 1.21 B) above?

No Yes

Part C – Business and Employment Matters

5.23 Is the MLR Individual currently:

A) The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the candidate)?

No Yes

B) The subject of any investigation which has led or might lead to disciplinary proceedings?

No Yes

C) Notified of any potential proceedings of a disciplinary nature against the candidate?

No Yes

D) The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by a firm, as well as investigation by a regulatory body, at any time.)

No Yes

5.24 Has the MLR Individual ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional,

vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?

No Yes

5.25 Does the MLR Individual have any material written complaint made against the MLR Individual by the MLR Individual's clients or former clients in the last five years which the MLR Individual has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

No Yes

Part D – Regulatory matters

Regulatory body – for the purposes of this form, a regulatory body includes, but is not limited to, the following:

- A self-regulatory organisation – including Investment Management Regulatory Organisation (IMRO), Securities and Futures Agency (SFA), Personal Investment Authority (PIA), Life Assurance and Unit Trust Regulatory Organisation (LAUTRO), Financial Intermediaries, Managers and Brokers Regulatory Association (FIMBRA), Association of Futures Brokers and Dealers Limited (AFBD), The Securities Association Limited (TSA)
- A statutory body, including the Financial Conduct Authority (FCA), Prudential Regulation Authority (PRA), Securities and Investments Board (SIB), the Society of Lloyd's, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England, HMRC, the Treasury – Insurance Directorate (formerly the DTI) and the recognised bodies
- The National Crime Agency (NCA)/Serious Organised Crime Agency (SOCA) or the Serious Fraud Organisation (SFO) or any police body
- A designated professional body (a professional body designated by the Treasury under section 326A of the Financial Services and Markets Act 2000); or the equivalent of any of these regulatory bodies overseas.

5.26 In relation to activities regulated by the FCA or any other regulatory body, has:

- **The candidate, or**
- **Any company, partnership or unincorporated association of which the MLR Individual is or has been a Beneficial Owner, director, senior manager, partner or company secretary, during the MLR Individual's association with the entity and for a period of three years after the MLR Individual ceased to be associated with it, ever:**

A) Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?

No Yes

B) Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?

No Yes

C) Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the candidate or the firm?

No Yes

D) Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the MLR Individual or the firm?

No Yes

E) Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?

No Yes

F) Been investigated or been involved in an investigation by an inspector appointed under the Companies Act 2006 or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?

No Yes

G) Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?

No Yes

H) Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?

I) Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?

No Yes

J) Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?

No Yes

K) 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 indicated in this group of questions).

No Yes

5.27 In relation to activities regulated by the FCA or any other regulatory body, has the candidate or any firm at which the MLR Individual holds or has held a position of influence at any time during and within one year of the MLR Individual's association with the firm ever:

A) Been found to have carried on activities for which authorisation or registration by the FCA or any other regulatory body is required without the requisite authorisations?

No Yes

B) Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the MLR Individual?

No Yes

C) Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval?

No Yes

D) Been investigated for the possible performance of a senior management of a senior management function or other controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the MLR Individual?

No Yes

E) Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2017 or predecessor legislations to notify the FCA of the identity of a person acting in a position of influence over its electronic money or payment services business?

No Yes

F) Been the subject of a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?

No Yes

6

Supplementary information

6.1 If there is any other information the MLR Individual or the firm considers may be relevant to the application, it must be included here.

This Section provides space for any additional information. It should be used to disclose additional information about 'Yes' answers in Section 5 of the form. It should also be used to provide any information which is not a response to a specific question but is relevant to the consideration of fitness and propriety.

You must also provide relevant documents, such as evidence of the settlements of County Court Judgement.

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

Question	Information

Please indicate how many additional sheets are being submitted

Comments

Please provide details of the supporting documents attached or to be sent

Other Information

If there is anything else the applicant would like to tell us about this application please give details below.

7 Declaration

Declaration of MLR Individual

This section contains declarations which must be signed by both an appropriate individual for the firm or applicant submitting the application and the MLR Individual. Signatures must not be dated more than 3 months before the date of submitting the application.

The FCA considers that an appropriate individual would either be an individual defined as a MLR Individual as defined in Section 3: Arrangements or someone to whom the firm has delegated the authority to notify the FCA.

Knowingly or recklessly giving the FCA (or providing to another person to give to the FCA) information which is false or misleading in a material particular, is a criminal offence (regulation 88(1) of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017) and may lead to disciplinary sanctions or other enforcement action by the FCA.

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, and the applicant is not entitled to assume that. In assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it.

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.

With reference to the above, the FCA may seek to verify the information given in this form including answers pertaining to Fitness and Propriety. This may include a credit reference check and/or a Police National Check (PNC) check.

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. I understand I may be selected to undergo a DBS search to determine whether any criminal records are held in relation to me and that the FCA may wish to disclose the results of that search to the firm submitting this application.

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.

Declaration of applicant firm

It is a criminal offence under Regulation 88(1) of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 to knowingly or recklessly give us information which is false or misleading in a material particular. If necessary, appropriate professional advice should be sought before supplying information to us.

All information that the FCA might reasonably consider to be relevant to this notification should be supplied to the FCA. 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, and the applicant is not entitled to assume that. In assessing this application, the FCA will check its existing records in respect of (or for information relating to) the applicant or persons connected to it.

In making this application the Applicant Firm believes on the basis of due and diligent enquiry that the MLR Individual is a Fit and Proper person. I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

I confirm that I have authority to make this application and sign this form on behalf of the Applicant Firm.

Review and submission

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Tick here to confirm that the person submitting this Form on behalf of the Firm and (if applicable) the Individual named below - have read and understood the declaration.

Signature

I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request.

7.1 MLR Individual's full name

7.2 MLR Individual's signature

Date (dd/mm/yyyy)

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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