

## MIFIDPRU 1 Annex 1R

### Notification under MIFIDPRU 1.2.4R in respect of the use of the alternative approach to measure AUM and/or COH for the purpose of determining the SNI status of a MIFIDPRU investment firm or an investment firm group

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)	

1. Please confirm in respect of which of the following this notification is being made (selection one):

- a. the SNI status of a MIFIDPRU investment firm
- b. the consolidated SNI status of an investment firm group
- c. the SNI status of a MIFIDPRU firm and the investment firm group it is part of

*This option should be selected if the use of the alternative approach by the MIFIDPRU investment firm and the consolidating UK parent relates to the same metric(s) and the same period of application. Otherwise, separate notification forms should be submitted.*

2. Please confirm the FRN(s) and name(s) of the MIFIDPRU investment firm and/or the consolidating UK parent entity on whose behalf this notification is being made:

FRN	Entity name

3. Please confirm whether the notification relates to the firm's/group's intention to start or stop applying the alternative approach by completing either a. or b.:

- a. The firm/group intends to use the alternative approach to measure (select):

Average AUM for the purposes of MIFIDPRU 1.2.1R(1)

Average COH for the purposes of MIFIDPRU 1.2.1R(2)

Please confirm your understanding that the firm/group must continue to use this alternative approach for at least 12 months from the date this notification takes effect.

Yes

- b. The firm/group intends to cease to apply the alternative approach to measure (select):

Average AUM for the purposes of MIFIDPRU 1.2.1R(1)

Average COH for the purposes of MIFIDPRU 1.2.1R(2)

Please confirm that the firm/group have applied the alternative approach for at least 12 months.

Yes

4. Date notification takes effect (i.e. the date from which the firm/group proposes to start or cease using the alternative approach, as notified):