

MIFIDPRU 1 Annex 2R

Notification under MIFIDPRU 1.2.7R(2) of the use of an end-of-day value for CMH as a result of a qualifying error

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 (select 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 same qualifying error has resulted in the use of an end-of-day value for CMH at both individual and consolidated level. 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 that you have considered the guidance in MIFIDPRU 1.2.8G when determining whether the firm/group can rely on the error in order to use the end-of-day value for CMH.

Yes

4. Please confirm that the error was resolved before the end of the business day to which it relates.

Yes

5. Details of the error:

6. Explanation why the error occurred:

7. Explanation how the error has been corrected:

8. Confirmation of the date the error occurred:

DD/MM/YYYY