

MIFIDPRU 3 Annex 1R

Application under MIFIDPRU 3.3.2R for permission to include interim or year-end profits as common equity tier 1 (CET1) capital before the firm has taken a formal decision confirming the final profit and loss for the year

Details of Senior Manager responsible for this application:

If the application 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 which of the following the applicant firm is:

- a. MIFIDPRU investment firm that is not a consolidating UK parent entity
- b. MIFIDPRU investment firm that is a consolidating UK parent entity
- c. Consolidating UK parent entity (other than a MIFIDPRU investment firm)

If the application concerns more than one firm in the investment firm group, please submit separate applications for each firm.

For applications on consolidated basis, references to firm/institution should be interpreted as to a consolidated situation of the UK parent.

2. Please confirm whether the following apply and if so, provide supporting evidence:

- a. The profits have been verified by persons independent of your institution, who are responsible for auditing the accounts of that institution:

- b. Any foreseeable charge or dividend has been deducted from the amount of those profits and the basis of this calculation:

Supporting evidence attached (e.g. an independent auditor's letter confirming the above)

3. Please provide the following:

a. The start of your financial year:

b. The period in which the interim/year-end profits were earned:

c. Profits as verified by auditors:

d. Foreseeable charges/deductions (e.g. dividends):

e. Amount to be included as profit:

f. Firm's total CET1 after the inclusion of any amounts to which this application relates (please complete for all that apply):

MIFIDPRU investment firm (solo CET1)	£
Consolidating UK parent undertaking basis (consolidated CET1)	£

g. If you have calculated expected dividend pay-out by using a pay-out range instead of a fixed value, please confirm that you have used the upper end of that range:

h. If you have calculated expected dividend pay-out as a range, please confirm whether you wish to exclude any exceptional dividends paid during the period covered by that range:

If you have responded "Yes", please attach further information, and note that this will require a separate conversation with the FCA:

Further information attached

i. Auditor's details (name, address, contact details):

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4. Please confirm that the inclusion of the interim or year-end profits to which this application relates complies with the applicable material in the UK CRR and in MIFIDPRU.

Yes