

MIFIDPRU 3 Annex 3R

Notification under MIFIDPRU 3.3.3R(2) of issuance of additional capital instruments that have already been approved as CET1 instruments

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 which of the following the notifying entity is:

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

2. Please provide the following details in respect of the proposed issuance:

a. Type of instrument (e.g. ordinary shares, partnership capital):

b. Name of instrument:

c. Date FCA permitted previous issuance to be treated as CET1:

DD/MM/YYYY

- d. Amount of additional instruments to be issued:

£

- e. Proposed date on which the instruments will be classified as CET1 (*this should be at least 20 business days after this notification is sent to the FCA*):

DD/MM/YYYY

3. Please confirm that the provisions governing the proposed issuance to which this notification relates are substantially the same as the provisions governing the issuance for which the firm has already received permission, and that you can provide supporting evidence if requested.

Yes