

MIFIDPRU 4 Annex 10R

Application under MIFIDPRU 4.14.6R for permission to exclude transactions with some counterparties from K-TCD requirement

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 list all MIFIDPRU investment firms in respect of which this application is being made.

FRN	MIFIDPRU investment firm name

For group applications, the below section must be completed separately for each entity requiring the permission, including for the consolidated situation of the consolidating UK parent if the application is also being made on a consolidated basis

2. Please confirm the FRN and name of the MIFIDPRU investment firm or consolidating UK parent this section relates to:

FRN	
Name	

3. Please provide the following information about the counterparty or counterparties that the applicant firm wishes to exclude from the calculation of its K-TCD requirement.

FRN/LEI	Name	Relationship	Type of firm	Location
		<i>Select one of the following:</i> <ul style="list-style-type: none">• Parent• Subsidiary	<i>Select one of the following:</i> <ul style="list-style-type: none">• Credit institution	

		<ul style="list-style-type: none"> • <i>Subsidiary of parent</i> • <i>Linked by majority common management</i> 	<ul style="list-style-type: none"> • <i>Investment firm</i> • <i>Financial institution</i> 	

4. Confirm whether the applicant firm and the counterparty or counterparties are:

Part of the same prudential consolidation group under the UK CRR	Yes/No
Part of the same prudential consolidation group under MIFIDPRU 2.5	Yes/No
Supervised together for compliance with the group capital test under MIFIDPRU 2.6	Yes/No

5. Please attach a group structure chart which clearly identifies the applicant firm and the above counterparty or counterparties.

Attached

6. In order for a firm to be granted permission to exclude transactions with a counterparty or counterparties from its K-TCD requirement, the counterparty or counterparties concerned must be subject to the same risk evaluation measurement and control procedures as the firm.

Please explain how the firm's counterparty or counterparties satisfy this requirement and provide supporting information to substantiate your response.

Supporting information attached

7. To the best of your knowledge, are there any current or foreseen material practical or legal impediments to the prompt transfer of own funds or repayment of liabilities from the counterparty, or counterparties, to the firm?

- Yes ▶ Give details below
- No