

MIFIDPRU 5 Annex 1R (A)

Notification under MIFIDPRU 5.6.3R that the concentration risk soft limit has been exceeded

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 the basis on which this notification is made (select one):

- Individual basis of a MIFIDPRU investment firm
- Consolidated basis of a UK parent entity

2. Please provide the following information:

a. Client or group of connected clients to which this notification relates

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b. Exposure Value Excess (EVE) amount

£

a. Date soft limit exceeded

DD/MM/YYYY

3. Please confirm your understanding that the firm is required to calculate the K-CON requirement for as long as it exceeds the concentration risk soft limit for one or more clients or groups of connected clients.

Yes
