

## MIFIDPRU 5 Annex 1R (B)

### Notification under MIFIDPRU 5.9.3R of the concentration risk hard limit breach

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:

<b>Client or group of connected clients concerned</b>	<b>Amount of exposure(s) which give rise to the breach (£)</b>	<b>Details of the breach including circumstances, threshold breached, time it is expected to persist, etc.</b>

3. Date the breach occurred:

4. Please explain what steps have been, and/or are intended to be, taken by the firm or any other person to rectify the breach and prevent any potential reoccurrence:

5. 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.