

MIFIDPRU 5 Annex 2R

Notifications under MIFIDPRU 5.11.2R in respect of the exemption from K-CON requirement for commodity and emission allowance dealers

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 select the notification that applies:

- a. Notification that we intend to rely on the exemption for commodity and emission allowance dealers from the requirements for concentration risk (K-CON).
- b. Annual notification that we intend to rely on the exemption for commodity and emission allowance dealers from the requirements for concentration risk (K-CON).
- c. Notification of a material change to the information provided as part of previous notification of reliance on the exemption from the requirements for concentration risk (K-CON).

2. 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

3. For notifications 1.a. and 1.b., please explain below how you expect to meet or continue to meet the specific conditions under MIFIDPRU 5.11.1R:

Notification date (i.e. effective date for the exemption to apply):

3. For notification 1.c., please explain the material change to how you previously stated you would meet or continue to meet the specific conditions under MIFIDPRU 5.11.1R:

Please confirm the date the material change is effective from:

DD/MM/YYYY