

MIFIDPRU 7 Annex 3R

Notification under MIFIDPRU 7.1.9R and SYSC 19G.1.8R that a firm meets the conditions in MIFIDPRU 7.1.4R(1) and SYSC 19G.1.1R(2) and need not apply the requirements to establish certain committees or the additional remuneration requirements

Notification under MIFIDPRU 7.1.12R and SYSC 19G.1.11R that a firm no longer meets the conditions in MIFIDPRU 7.1.4R(1) and SYSC 19G.1.1R(2) and must apply the requirements to establish certain committees and the additional remuneration requirements

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 notification applies:
 - a. The firm meets the conditions in MIFIDPRU 7.1.4R(1)(a) or (b) and SYSC 19G.1.1R(2)(a) or (b)
 - b. The firm no longer meets the conditions in MIFIDPRU 7.1.4R(1)(a) or (b) and SYSC 19G.1.1R(2)(a) or (b)

2. Please confirm the applicability of the following threshold(s) to the firm:
 - a. The value of the firm's on-balance sheet assets and off-balance sheet items over the last four-year period was an average of:
 - i. £100m or less
 - ii. More than £100m but less than £300m
 - iii. More than £300m

Section b. and c. should only be completed by firms who deal on own account.

- b. The exposure value of the firm's on- and off-balance sheet trading book business is £150m or less

- c. The exposure value of the firm's on- and off-balance sheet derivatives business is £100m or less