

MIFIDPRU 7 Annex 4R

Notification under MIFIDPRU 7.6.11R of own funds falling below certain level

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 to which of the following the notification relates:

a. Own funds of an individual firm

b. Consolidated own funds

This would only apply in a scenario where the FCA has imposed a requirement on a UK parent entity to operate an ICARA on a consolidated basis. In this case, references in this form to a "firm" refer to the consolidated situation of the relevant UK parent entity.

2. Please confirm which notification applies:

a. Early warning indicator notification

b. Threshold requirement notification

c. Wind-down trigger notification

3. Please confirm the current level of the firm's own funds in comparison to its own funds threshold requirement and, for a wind-down trigger notification, own funds wind-down trigger:

a. Own funds amount

£

b. Own funds threshold requirement amount

£

c. Own funds wind-down trigger amount (for a wind-down trigger notification)

£

d. As at date

DD/MM/YYYY

4. Please explain why the firm's own funds have reached the current level:

4. Early warning indicator notification

a. Does the firm expect that in the foreseeable future its own funds could fall below its own funds threshold requirement?

Yes/No

Note: The firm will be required to make a separate notification when its own funds fall below its own funds threshold requirement.

i. Please explain why the firm has this expectation:

ii. If you have responded "No", does the firm expect that its own funds could fall below the level specified as part of the firm's ICARA process in accordance with MIFIDPRU 7.5.1R(1), which, if reached, may indicate that it is likely to breach its threshold requirement?

Yes/No

b. If applicable, please explain what recovery actions the firm intends to take, as identified under MIFIDPRU 7.5.5R(2)(a) and 7.5.6G:

5. Threshold requirement notification

Please explain what recovery actions specified for the purposes of MIFIDPRU 7.5.5R(2)(b) and 7.5.6G the firm has already taken or will take to restore compliance with its own funds threshold requirement:

6. Wind-down trigger notifications

Please explain the firm's intentions in relation to activating its wind-down plan: