

MIFIDPRU 7 Annex 5R

Notification under MIFIDPRU 7.7.14R of liquid assets 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. Liquid assets of an individual firm

b. Consolidated liquid assets

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. Threshold requirement notification

b. Wind-down trigger notification

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

a. Liquid assets amount

£

b. Liquid assets threshold requirement amount

£

c. Liquid assets wind-down trigger amount (for a wind-down trigger notification)

£

d. As at date

DD/MM/YYYY

4. Please explain why the firm's liquid assets have reached the current level:

5. Threshold requirement notifications

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 liquid assets threshold requirement:

6. Wind-down trigger notifications

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