

MIFIDPRU TP7 Annex 1R

Notification under MIFIDPRU TP 7.4R(2)(b) on treating pre-MIFIDPRU capital instruments as own funds under MIFIDPRU 3

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 of the following the notifying firm will be under MIFIDPRU:

a. MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking	<input type="checkbox"/>
b. MIFIDPRU investment firm that is a consolidating UK parent entity	<input type="checkbox"/>
c. MIFIDPRU investment firm that is a GCT parent undertaking	<input type="checkbox"/>
d. Consolidating UK parent entity (other than a MIFIDPRU investment firm)	<input type="checkbox"/>
e. GCT parent undertaking (other than a MIFIDPRU investment firm)	<input type="checkbox"/>

2. This notification is made in respect of the following capital instruments issued by the entity before 1 January 2022 and which will still be in issue on that date:

Type of instruments	Nominal value of instruments	Treatment under MIFIDPRU
		<i>Select one of the following for each type of instrument:</i> <ul style="list-style-type: none">• CET1• AT1• T2

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3. Please confirm that the instruments above meet the relevant conditions for classification as own funds under MIFIDPRU, aside from any requirement to notify or seek permission from the FCA.

Yes