

## Notification under MIFIDPRU 2.4.20R of membership of an investment firm group and/or a financial conglomerate

*Under MIFIDPRU 2.4.20R(3), a firm (X) is not required to submit this form if another member of the investment firm group or financial conglomerate (Y) has notified the FCA of any relevant changes and the information provided by Y includes information about X and all other information required under MIFIDPRU 2.4.20R.*

1. Please confirm to which of the following this notification relates:

a. Investment firm group only	<input type="checkbox"/>
b. Financial conglomerate only	<input type="checkbox"/>
c. Investment firm group and financial conglomerate	<input type="checkbox"/>

2. Please confirm which of the following apply or applies:

a. The firm has become part of an investment firm group	<input type="checkbox"/>
b. The firm has ceased to be part of an investment firm group	<input type="checkbox"/>
c. There has been one or more relevant entities being added to the investment firm group of which the firm is a part	<input type="checkbox"/>
d. There has been one or more relevant entities being removed from the investment firm group of which the firm is a part	<input type="checkbox"/>
e. The firm has become part of a financial conglomerate	<input type="checkbox"/>
f. The firm has ceased to be part of a financial conglomerate	<input type="checkbox"/>

If you selected:

- option (a), please complete questions 3 and 4 (A or B) and questions 7A and 8
- option (b), please complete questions 5, 6, 7B and 8
- option (c), please complete questions 4A, 7B and 8
- option (d), please complete questions 4A, 7B and 8
- option (e), please complete questions 9 to 13
- option (f), please complete questions 14 to 16

Where you have selected multiple options, you must complete all questions that apply to each of those options.

### Information on the investment firm group

3. Please confirm if the firm is becoming part of an existing investment firm group or if a new investment firm group is being created.

Existing investment firm group

New investment firm group

4. A. *[For notifications relating to existing investment firm groups]* Please provide the information below. The group reference number will have been notified to you after you originally notified of us the creation of the investment firm group.

Name of existing investment firm group	
Group reference number (GRN)	

- B. *[For notifications relating to new investment firm groups]* Please provide the following information:

Specify a name for the investment firm group (We suggest the name of the UK parent entity, plus the word "group")	
Date on which the investment firm group was/will be created	

**Firms ceasing to be part of an investment firm group**

5. Please provide the following information in relation to the investment firm group of which the firm is ceasing to be a part.

Name of existing investment firm group	
Group reference number (GRN)	

6. Please confirm whether the investment firm group you have identified in question 4 will continue to exist after the firm ceases to be part of the investment firm group.

Investment firm group will continue to exist

Investment firm group will cease to exist

## Information on membership of the investment firm group

7. Please provide the information in the following tables in relation to the investment firm group.

### A. New entities joining the investment firm group

Note: For a new investment firm group, this should include all entities in that investment firm group

FRN (if applicable)	Entity name	Type of group undertaking (select one):  - UK parent entity  - intermediate parent  - subsidiary (non-parent undertaking)  - connected undertaking	Sub-type of group undertaking (select one):  - MIFIDPRU investment firm  - PRA designated investment firm  - credit institution  - other financial institution  - ancillary services undertaking  - tied agent	Location (type country name)  <i>Principal place of business and, separately, place of incorporation (if different)</i>

### B. Entities ceasing to be part of the investment firm group

Note: If an investment firm group is ceasing to exist, this should include all entities in that investment firm group

FRN (if applicable)	Entity name	Type of group undertaking (select one):  - UK parent entity  - intermediate parent undertaking  - subsidiary (non-parent undertaking)  - connected undertaking	Sub-type of group undertaking (select one):  - MIFIDPRU investment firm  - PRA designated investment firm  - credit institution  - other financial institution  - ancillary services undertaking  - tied agent	Location (type country name)  <i>Principal place of business and, separately, place of incorporation (if different)</i>

--	--	--	--	--

8. *[Where the investment firm group will continue to exist following this notification]* Please attach a group structure chart showing the position of each entity in that investment firm group.

Attached

**Firms becoming part of a financial conglomerate**

9. Please confirm if the firm is becoming part of an existing financial conglomerate or if a new financial conglomerate is being created.

Existing financial conglomerate

New financial conglomerate

10. *[If you selected "Existing financial conglomerate" in response to question 9]* Please confirm whether the Classification of Groups form in GENPRU 3 Annex 3G has previously been provided to the FCA in relation to that financial conglomerate:

Yes

No

11. *[If you selected "No" in response to question 10]* Please complete the Classification of Groups form in GENPRU 3 Annex 3G in relation to the financial conglomerate and attach it to this notification.

Attached

12. *[If you selected "New financial conglomerate" in response to question 9]* Please complete the Classification of Groups form in GENPRU 3 Annex 3G in relation to the financial conglomerate and attach it to this notification.

Attached

13. Please provide a group structure chart showing each entity that will be part of the financial conglomerate following this notification.

Attached

**Firms ceasing to part of a financial conglomerate**

14. Please confirm whether the financial conglomerate the firm is ceasing to be a part of will continue to exist after the firm ceases to be part of it.

Financial conglomerate will continue to exist

Financial conglomerate will cease to exist

15. *[If you selected "Financial conglomerate will continue to exist"]* Please provide a group structure chart showing each entity that will be part of the financial conglomerate following this notification.

Attached