

MIFIDPRU TP 1 Annex 1R

Notification under MIFIDPRU TP 1.8R of the intended treatment of instruments which were issued and met the conditions to be classified as *additional tier 1 instruments* in accordance with the UK CRR before 1 January 2022

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
 - b. MIFIDPRU investment firm that is a consolidating UK parent entity
 - c. MIFIDPRU investment firm that is a GCT parent undertaking
 - d. Consolidating UK parent entity (other than a MIFIDPRU investment firm)
 - e. GCT parent undertaking (other than a MIFIDPRU investment firm)

2. This notification is made in respect of the following classes/issuances of AT1 instruments issued before 1 January 2022 which:
 - met the conditions to be classified as additional tier 1 (AT1) instruments in accordance with the UK CRR in the form in which it stood immediately before 1 January 2022; and
 - remain in issue on 1 January 2022:

Class / issuance of AT1 instruments	Outstanding nominal value of class / issuance

3. Please confirm which of the following the notification relates to:

- a. The relevant instruments satisfy the conditions in MIFIDPRU 3.4 to be classified as AT1 instruments for the purposes of MIFIDPRU
- b. The relevant instruments do not satisfy the conditions in MIFIDPRU 3.4 and the firm has therefore ceased to recognise them as forming part of its AT1 capital for the purposes of MIFIDPRU or has otherwise redeemed or replaced them

Note: Where the relevant instruments do not satisfy the conditions in MIFIDPRU 3.4, a firm may apply under section 138A of FSMA for a modification of the relevant provisions to continue to allow it to classify the instruments as AT1 instruments for the purposes of MIFIDPRU. A firm does not have to submit this notification if it has applied by 1 February 2022 for a modification that allows it to classify all its CRR AT1 instruments as MIFIDPRU AT1 instruments.

4. Where the notification relates to 3b, please explain how the firm ensures compliance with own funds requirements following the declassification:

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