

Notes to assist in completing the Form D - Notification of changes in personal information or application details

Full details of the *approved persons* regime and the application process are given in SUP 10A and SUP 10B of the FCA and PRA's Supervision manuals.

The purpose of this Form

This is Form D referred to in SUP10A.14 and SUP 10B.12 of the FCA and PRA's Supervision manuals. The *firm* must use this Form to inform the FCA and/or PRA of changes in the personal details of an *approved person* or a change in the details of an application to perform *controlled functions*). It is not necessary to notify the FCA and/or PRA of changes in an *approved person's* private address.

The *firm* must also keep the FCA and/or PRA informed of any significant circumstances directly affecting an *approved person* and which any reasonable person would consider relevant to the *approved person's* position under the rules of the FCA and/or PRA.

The *firm* is required to notify the FCA and/or PRA of any matter, in relation to an *approved person*, that would normally be declared when giving the information required for section 5 of the application to perform controlled functions or matters considered in FIT 2

Do not use this Form if the *approved person* requires approval in respect of further *controlled functions* or has ceased to perform *controlled functions*.

Completing this Form

This Form must be completed in black ink and (if in manuscript) in BLOCK LETTERS.

Where a person is an *approved person* in respect of a number of *firms* within the same *group*, a single Form may be used, ensuring all *firms* are clearly marked on the Form.

Additional information can be attached to the Form. It must be securely attached to the rest of the Form and you must indicate at question 3.02 the number of additional sheets attached.

An appropriate individual must sign the declaration for the *firm* submitting the Form. The FCA and/or PRA considers that an appropriate individual would either be an individual approved for a *controlled function* described under section 59(7B) of the Financial Services & Markets Act (the *significant influence functions – controlled functions* 1 to 12B, 28, 29, 40, or 50) or someone to whom the *firm* has delegated the authority to notify the FCA and/or PRA. If this authority has been delegated, the *firm* should keep records of those individuals authorised to sign on behalf of the *firm*.

Only the *firm* that made the original application (application to perform controlled functions) may sign this Form.

N.B.- Please keep these notes before returning the completed Form to the FCA and/or PRA.

If you have any questions or need additional information, please contact the FCA Customer Contact Centre on 0845 606 9966 or PRA Firm Enquiries on 020 3461 7000 or e-mail iva@fca.org.uk or PRA.firmenquiries@bankofengland.co.uk.

PLEASE RETURN COMPLETED FORM TO:

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom