

Application number  
(for FCA use only)

The FCA has produced notes which will assist both the applicant *firm* and the *candidate* in answering the questions in this form. Please read these notes, which are available on the Handbook website at:

<https://www.handbook.fca.org.uk/handbook/SUP/10C/Annex3.html>

Both the applicant *firm* and the *candidate* will be treated by the FCA as having taken these notes into consideration when completing their answers to the questions in this form.

## Long Form A – UK and Overseas Firms (not Incoming EEA) for MiFID authorisation applications\*

### Application to perform *senior management functions*

FCA Handbook Reference: SUP 10C Annex 3D

10 December 2018

Name of *candidate*<sup>†</sup>  
(to be completed by applicant *firm*)

Name of applicant *firm*<sup>†</sup>  
(as entered in 2.01)

*Firm* reference number<sup>†</sup>  
(as entered in 2.02)

Financial Conduct Authority  
12 Endeavour Square  
Stratford  
London E20 1JN  
United Kingdom  
Telephone +44 (0) 300 500 0597  
E-mail [firm.queries@fca.org.uk](mailto:firm.queries@fca.org.uk)  
Website <http://www.fca.org.uk>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above.

\*This Form should only be used when an unauthorised firm applies for permission to carry out MiFID activities and where an authorised firm which does not have permission to carry out MiFID activities applies for permission to carry out those activities.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN) †	
<b>b</b>	OR name of <i>previous regulatory body</i> †	
<b>c</b>	AND previous reference number (if applicable) †	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms, etc) †	
<b>1.03</b>	Surname †	
<b>1.04</b>	ALL forenames †	
<b>1.05</b>	Name commonly known by †	
<b>1.06</b>	Date of birth (dd/mm/yyyy) †	
<b>1.07</b>	National Insurance number †	
<b>1.08</b>	Previous name †	
<b>1.09</b>	Date of name change †	
<b>1.10 a</b>	Nationality †	
<b>b</b>	Passport number (if National Insurance number not available) †	
<b>1.11</b>	Place of birth †	
<b>1.12</b>	Phone number	
<b>1.13</b>	Email address	


**I have supplied further information related to this page in Section 6 †**
 YES  NO

† The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

1.14 a Private address<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (dd/mm/yyyy)<sup>†</sup> From [Redacted] To PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.15 a Previous address 1<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (dd/mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]

1.16 a Previous address 2<sup>†</sup>

[Redacted address field]

b Postcode<sup>†</sup>

c Dates resident at this address (dd/mm/yyyy)<sup>†</sup> From [Redacted] To [Redacted]



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

2.01	Name of <i>firm</i> making the application	
2.02	<i>Firm</i> Reference Number (FRN)	
2.03 a	Who should the <i>FCA</i> contact at the <i>firm</i> in relation to this application?	
b	Position	
c	Phone number	
d	Fax	
e	E-mail	



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YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

**3.01**

Nature of the arrangement between the candidate and the applicant.

a Employee

---

b Group employee

Name of group

---

c Contract for services

---

d Partner/Sole trader

---

e Other

Give details

Proposed date of appointment

Length of appointment (if applicable)

**3.02**

For applications from a single firm, please tick the boxes that correspond to the senior management functions to be performed. If the senior management functions are to be performed for more than one firm, please go to question 3.05

Function	Description of Senior Management Function	Tick (if applicable)			
		Core firms			Enhanced scope SMCR firms
		Limited scope SMCR firms	UK core SMCR firms	Third country branches	
SMF 1	Chief Executive		<input type="checkbox"/>		<input type="checkbox"/>
SMF 2	Chief Finance				<input type="checkbox"/>
SMF 3	Executive Director		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF 4	Chief Risk Officer				<input type="checkbox"/>
SMF 5	Head of Internal Audit				<input type="checkbox"/>

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SMF 7	Group Entity Senior Manager				<input type="checkbox"/>
SMF 9	Chair of the governing body		<input type="checkbox"/>		<input type="checkbox"/>
SMF10	Chair of the Risk Committee		<input type="checkbox"/>		<input type="checkbox"/>
SMF11	Chair of the Audit Committee		<input type="checkbox"/>		<input type="checkbox"/>
SMF12	Chair of the Remuneration Committee		<input type="checkbox"/>		<input type="checkbox"/>
SMF13	Chair of the Nomination Committee		<input type="checkbox"/>		<input type="checkbox"/>
SMF14	Senior Independent Director		<input type="checkbox"/>		<input type="checkbox"/>
SMF16	Compliance Oversight	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF17	Money Laundering Reporting Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF18	Other overall responsibility function				<input type="checkbox"/>
SMF19	Head of Third Country Branch			<input type="checkbox"/>	
SMF24	Chief Operations				<input type="checkbox"/>
SMF27	Partner		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SMF29	Limited scope function ( <i>limited scope SMCR firms only</i> )	<input type="checkbox"/>			

### 3.03

Job title<sup>†</sup>

Please refer to notes on the requirements for submitting a CV

#### Insurance distribution

Will the *candidate* be responsible for Insurance distribution at the *firm*?

(Note: Yes can only be selected if the *individual* is applying for (SMF1, SMF3, SMF27 or SMF29))

YES  NO

#### Mortgage Credit Directive

Will the *candidate* be responsible for Mortgage Credit Directive Intermediation at the *firm*?

(Note: Yes can only be selected if the *individual* is applying for (SMF1, SMF 3, SMF 27 or SMF 29.)

YES  NO

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related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

**3.04**

**Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in **2.01**) for which the *candidate* requires approval and the requested *senior management function* for that *firm*.<sup>†</sup>

	<b>Firm Reference Number</b>	<b>Name of firm</b>	<b>Senior management function</b>	<b>Job title</b>	<b>Responsible for insurance distribution?</b>	<b>Responsible for MCD credit intermediation?</b>	<b>Effective date</b>
<b>a</b>							
<b>b</b>							
<b>c</b>							
<b>d</b>							
<b>e</b>							



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N.B.: ALL gaps must be accounted for

## 4.01 Employment details (1) †

<b>a</b>	Period (dd/mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
<b>b</b>	Nature of employment	<i>a</i>	Employed	<input type="checkbox"/>	
		<i>b</i>	Self-employed	<input type="checkbox"/>	
		<i>c</i>	Not employed	<input type="checkbox"/>	
		<i>d</i>	Full-time education	<input type="checkbox"/>	
	If <i>c</i> or <i>d</i> is ticked, please give details		<input type="text"/>		
<b>c</b>	Name of employer	<input type="text"/>			
<b>d</b>	Nature of business	<input type="text"/>			
<b>e</b>	Previous / other names of employer	<input type="text"/>			
<b>f</b>	Last known address of employer	<input type="text"/>			
<b>g</b>	Is/was employer regulated by a <i>regulatory body</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of <i>regulatory body</i>	
		<input type="text"/>			
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
		<input type="text"/>			
<b>i</b>	Position held	<input type="text"/>			
<b>j</b>	Responsibilities	<input type="text"/>			
<b>k</b>	Reason for leaving:	<i>a</i>	Resignation	<input type="checkbox"/>	
		<i>b</i>	Redundancy	<input type="checkbox"/>	
		<i>c</i>	Retirement	<input type="checkbox"/>	
		<i>d</i>	Termination/dismissal	<input type="checkbox"/>	
		<i>e</i>	End of contract	<input type="checkbox"/>	
		<i>f</i>	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			

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**4.02 Employment details (2) †**

**a** Period (dd/mm/yyyy) From  To

**b** Nature of employment

<i>a</i> Employed	<input type="checkbox"/>
<i>b</i> Self-employed	<input type="checkbox"/>
<i>c</i> Not employed	<input type="checkbox"/>
<i>d</i> Full-time education	<input type="checkbox"/>

If *c* or *d* is ticked, please give details

**c** Name of employer

**d** Nature of business

**e** Previous / other names of employer

**f** Last known address of employer

**g** Is/was employer regulated by a *regulatory body*? YES  NO  Name of *regulatory body*

**h** Is/was employer an *appointed representative/tied agent*? YES  NO  If yes, of which *firm*?

**i** Position held

**j** Responsibilities

**k** Reason for leaving:

<i>a</i> Resignation	<input type="checkbox"/>
<i>b</i> Redundancy	<input type="checkbox"/>
<i>c</i> Retirement	<input type="checkbox"/>
<i>d</i> Termination/dismissal	<input type="checkbox"/>
<i>e</i> End of contract	<input type="checkbox"/>
<i>f</i> Other	<input type="checkbox"/>

Specify

➔ I have supplied further information related to this page in Section 6† YES  NO

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**5.01 Criminal Proceedings**

When answering the questions in this section the *candidate* should include any matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, you must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**5.01.1a** Has the *candidate* **ever** been convicted of any criminal offence (whether spent or not and whether or not in the *United Kingdom*):

- i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty: or
- ii. relating to *companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?*

YES  NO

**b** Is the *candidate* currently the subject of any criminal proceedings, whether in the UK or elsewhere?

YES  NO

**c** Has the *candidate* **ever** been given a caution in relation to any criminal offence?

YES  NO

**5.01.2** Has the *candidate* any convictions for any offences other than those in **5.01.1** above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?

YES  NO

If the answer to questions **5.01.1a** or **5.01.2** is “yes”, please provide an official certificate of conviction or equivalent document if and so far as it is available from the UK or, where applicable, another country. Please attach a copy of this form as an Additional Supporting Document.

**5.01.3** Is the *candidate* the subject of any ongoing criminal investigation?

YES  NO

**5.01.4** Has the *candidate* been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?

YES  NO

In answering question **5.01.4**, you should include all matters even where the candidate was not the subject of the investigation.

➔ I have supplied further information related to this page in Section 6<sup>†</sup> YES  NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

**5.01.5** Has any *firm* at which the *candidate* holds or has held a position of influence ever:

**a** Been convicted of any criminal offence?

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

YES  NO

**b** Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?

YES  NO

**c** Been the subject of any criminal proceeding which has not resulted in a conviction?

YES  NO

**d** Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

YES  NO

In answering question **5.01.5**, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of **5.01.5d**, even where the *firm* was not the subject of the investigation. However, *firms* are not required to disclose details of any specific *individuals* who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



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YES  NO

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## 5.02 Civil Proceedings

**5.02.1** Has the *candidate*, **ever** been the subject of a judgment debt or award against the *candidate*?

YES  NO

Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure Note at the beginning of this form.

You should include all County Court Judgment(s) (CCJs) made against the *candidate*, whether satisfied or not); and

i) the sum and date of all judgment debts, awards or CCJs (whether satisfied or not); and

ii) the total number of all judgment debts, awards or CCJs ordered.

**5.02.2** Has the *candidate* ever been party to any civil proceedings which resulted in any order against the *candidate* (other than a judgment debt or award referred to in **5.02.1** above)? (You should include, for example, injunctions and employment tribunal proceedings.)

YES  NO

**5.02.3** Is the *candidate* aware of:

**a** Any proceedings that have begun or anyone's intention to begin proceedings against the *candidate*, for a CCJ or another judgment debt?

YES  NO

**b** More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgment debt?

YES  NO

YES  NO

**5.02.4** Does the *candidate* have any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?

YES  NO

**5.02.5** Has the *candidate* **ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?

YES  NO



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YES  NO

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<b>5.02.6</b>	Has the <i>candidate</i> ever:		
<b>a</b>	Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been adjudged bankrupt?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Made any arrangements with the <i>candidate</i> 's creditors, for example a deed of arrangement or an <i>individual</i> voluntary arrangement (or in Scotland a trust deed)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Had assets sequestrated?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the <i>candidate</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.7</b>	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past (whether or not in the UK or overseas)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.8</b>	Has the <i>candidate</i> ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct? Or been found by a judge or tribunal to have lied on oath and/or that their evidence was to be disbelieved?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.9</b>	Is the <i>candidate</i> currently:		
<b>a</b>	Party to any civil proceedings (including those covered in <b>5.02.7</b> above)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>5.02.10</b>	During the period over which the <i>candidate</i> has held a position of influence and/or in the 10 years after this, has any <i>firm</i> at which the <i>candidate</i> holds or has held a position of influence ever been:		
<b>a</b>	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	The subject of a judgment debt or award against the <i>firm</i> ? (You should include all CCJs made against the <i>firm</i> , whether satisfied or not.)	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Party to any other civil proceedings which resulted in an order against the <i>firm</i> other than in relation to matters covered in <b>5.02.10a</b> and <b>5.02.10b</b> above?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6† YES  NO

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**5.02.11** Is any *firm* at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES  NO

**b** aware of anyone's intention to begin civil proceedings against them?

YES  NO

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES  NO

### 5.03 Business and Employment Matters

**5.03.1** Has the *candidate* ever been:

**a** Disqualified from acting as a director or similar position (one where the *candidate* acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES  NO

**b** The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES  NO

**c** The subject of any investigation which has led or might lead to disciplinary proceedings?

YES  NO

**d** Notified of any potential proceedings of a disciplinary nature against the *candidate*?

YES  NO

**e** The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised *firm*, as well as investigation by a regulatory body, at any time.)

YES  NO

**5.03.2** Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment or from any fiduciary office or position of trust whether or not remunerated?

YES  NO

**5.03.3** Does the *candidate* have any material written complaints made against the *candidate* by the *candidate*'s clients or former clients in the last five years which the *candidate* has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES  NO



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YES  NO

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## 5.04 Regulatory Matters

### 5.04.1

In relation to activities regulated by the *FCA* or any other regulatory body (see Section 5 guidance notes), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any <i>regulatory body</i> , whether or not such an investigation resulted in a finding against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the <i>firm</i> or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any <i>regulatory body</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any <i>regulated activity</i> which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated <i>firm</i> or itself under any contractual agreement where that agreement was terminated by the regulated <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other <i>regulatory body</i> (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>



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YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7



**5.04.2** In relation to activities regulated by the *FCA* or any other regulatory body, has the *candidate* or any *firm* at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the *firm* ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Been found to have carried on activities for which authorisation or registration by the <i>FCA</i> or any other <i>regulatory body</i> is required without the requisite authorisations?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been investigated for the possible carrying on of activities requiring authorisation or registration by the <i>FCA</i> or any other <i>regulatory body</i> without the requisite authorisation whether or not such investigation resulted in a finding against the <i>candidate</i> ?                       | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been found to have performed a <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA/PRA</i> or any other <i>regulatory body</i> ) without the requisite approval?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Been investigated for the possible performance of a <i>controlled function</i> (or an equivalent function requiring approval by the <i>FCA</i> or any other <i>regulatory body</i> ) without the requisite approval, whether or not such investigation resulted in a finding against the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the <i>FCA</i> of the identity of a person acting in a position of influence over its electronic money or payment services business?                      | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been the subject of a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

**5.05 Other Matters**

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled functions for which approval is now being sought? Please include details of any financial or non-financial interests or relationships of the *candidate* and their close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders? For the purposes of this question "management body" has the meaning in Directive 2014/65/EU.

YES  NO

**5.05.2** Is the *candidate* or the *firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES  NO

Has the *firm* undertaken a criminal records check in accordance with the requirements of the *FCA*?

Please note that a *firm* is required to request the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the *UK* or any part of the *UK* before making the application. (*SUP* 10C.10)

YES  NO

If yes, please enter date the check was undertaken  
Date (dd/mm/yy):

*Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details why in section Section 6*

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7

**5.05.4**

Has / Have a reference or references been obtained from current or previous employer(s) in accordance with the requirements of the *FCA*?  
If no, please provide details why the reference or references has/have not been obtained.

*Please note that a firm is required to use reasonable steps to obtain an appropriate reference from any current or previous employer of the candidate during the last 6 years (see SYSC 22) "Employer" has an extended meaning for these purposes.*

YES

NO



I have supplied further information related to this page in Section 6<sup>†</sup>

YES

NO

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

## 6.00 Please provide full details of:

- a) why the *candidate* is competent and capable to carry out the *controlled function(s)* applied for;
- b) why the appointment complements the *firm's* business strategy, activity and market in which it operates;
- c) how the appointment was agreed including details of any discussions at governing body level (where applicable);
- d) a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the Glossary); and
- e) the minimum time that will be devoted to the performance of the *candidate's* functions within the *firm* (please provide an indication of the time spent per month and per annum);
- f) the human and financial resources devoted to the induction and training of the *candidate* (please provide an indication of the time spent per annum);
- g) details of any previous assessments of the *candidate's* fitness and propriety as a controller or director which have been undertaken by any other *regulatory body* (if known) (please include the date of the assessment, the name of the regulatory body and details of the outcome);

If there is any additional information indicated in previous sections or any other information the *candidate* or the *firm* considers being relevant to this application it must be included here. (Please also provide full details of any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in Section 4 or if any question has been answered 'yes' in Section 5)

## 6.01

h)

Question	Information

## 6.03

**Firms must also provide the following supporting documents required with this form (please tick)**

	<b>Statement of responsibilities</b>
	<p><b>Candidate's Curriculum Vitae (C.V)</b>            The <i>candidate's</i> C.V. should include the names of all organisations for whom the <i>candidate</i> has worked during the past ten years, details of the nature and duration of the functions performed at those organisations and details of any activities at those organisations which are related to the role for which approval is being sought. The C.V. should also include details of all delegated powers and internal decision-making powers and details of the areas of operations for which the <i>candidate</i> was responsible whilst working at the organisations above. The information above does not need to be included in the C.V. if it has been provided in Section 4 of this form.</p>
	References in relation to the <i>candidate's</i> reputation and experience (including contact details of the referees).

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

	Role(s) description
	Organisational chart
	A description or copy of the <i>candidate's</i> Skills Gap Analysis.
	A description or copy of the <i>candidate's</i> Induction programme
	A description or copy of the <i>candidate's</i> Learning and Development plan (including the name of the <i>individual</i> responsible for monitoring the <i>candidate's</i> progress against the development points and the time frame for completion)
	A description or documentation setting out how the competency was assessed (demonstrating competence and suitability mapped to the specific role and responsibilities of the role).

6.04

In addition, enhanced scope *SMCR firms* must also provide:-

	A copy of the firm's <i>management responsibilities map</i> (SYSC 25 and SUP 10C.9)
	A summary of any handover material (SYSC 25.9 and SUP 10C.10)

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7

**Declaration of Candidate**

Knowingly or recklessly giving the *FCA* information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

It should not be assumed that information is known to the *FCA* merely because it is in the public domain or has previously been disclosed to the *FCA* or another regulatory body.

For the purposes of complying with *data protection legislation*, please read our privacy notices:

*FCA's* privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the *FCA* and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

In signing the form below:

**a) I authorise the *FCA* to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form. Individual *candidates* may be required to apply to the Disclosure and Barring Service for a search to be made as to whether any criminal records are held in relation to them and to disclose the result of that search to us. I also understand that the results of these checks may be disclosed to the *firm* submitting this application.**

**b) I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.**

**c) I confirm that I understand the regulatory responsibilities of my proposed role as set out in the Code of Conduct for staff sourcebook (*COCON*)**

(<https://www.handbook.fca.org.uk/handbook/COCON/1/?view=chapter>)

Tick here to confirm you have read and understood this declaration:

**7.01** Candidate's full name<sup>†</sup>

**7.02** Signature\*

Date<sup>†</sup>

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7

## Declaration of Firm

Knowingly or recklessly giving the *FCA* information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *SUP* 15.6 requires an *authorised person* to take reasonable steps to ensure the accuracy and completeness of information given to the *FCA* and to notify the *FCA* immediately if materially inaccurate information has been provided.

*COCON* 4.2 provides that, where an *approved person* is responsible for reporting matters to the *FCA*, failure to inform the *FCA* of materially significant information of which he is aware is a breach of *Senior Conduct Rule 4*. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FCA*. It should not be assumed that information is known to the *FCA* merely because it is in the public domain or has previously been disclosed to the *FCA* or another *regulatory body*.

**In making this application the *firm* believes on the basis of due and diligent enquiry that the *candidate* is a fit and proper person to perform the controlled function(s) listed in Section 3. The *firm* also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s).**

**In signing this form on behalf of the *firm*:**

- a) I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this Form.
- b) I confirm that I have authority to make this application, and sign this Form, on behalf of each *firm* identified in Section 3.05. I also confirm that a copy of this Form, as submitting to the *FCA*, will be sent to each of those *firms* at the same time as submitting the Form to the *FCA*.
- c) I confirm the *candidate* has been made aware of the regulatory responsibilities of the proposed role as set out in the Code of Conduct for Staff Sourcebook (*COCON*)

(<https://www.handbook.fca.org.uk/handbook/COCON/1/?view=chapter>)

For the purposes of complying with *data protection legislation*, please read our privacy notices:

*FCA*'s privacy notice <https://www.fca.org.uk/data-protection>

Bank of England's privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

These notices will tell you what to expect when the *FCA* and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

7.03 Name of the *firm* submitting the application<sup>†</sup>

7.04 Name of *person* signing on behalf of the *firm*<sup>†</sup>

7.05 Job title<sup>†</sup>

7.06 Signature<sup>\*</sup>

Date<sup>†</sup>

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in *SUP* 15.7