



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



FINANCIAL
CONDUCT
AUTHORITY

Application number
(for FCA/PRA use only)

Form J - Notification of Significant Changes in Responsibilities of a Person Performing a *Senior Management Function*

FCA Handbook Reference: SUP 10C Annex 9D

PRA Rulebook Reference: Notifications and Senior Managers Regime - Applications and Notifications¹

Please submit with this form an updated *statement of responsibilities* including the effective date.

Terms defined in either or both of the *FCA Handbook* or the *PRA Rulebook* are italicised and should be construed accordingly.

10 December 2018

Name of *approved person*
(to be completed by applicant *firm*)

Name of applicant *firm*
(as entered in 3.01)

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
Website <http://www.fca.org.uk>
Registered as a Limited Company in England
and Wales No 1920623. Registered Office as
above

Prudential Regulation Authority
20 Moorgate
London
EC2R 6DA
United Kingdom
Telephone +44 (0) 203 461 7000
Email PRA-
ApprovedPersons@bankofengland.co.uk
Website www.bankofengland.co.uk/PRA

¹ The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying. For example: CRR firms: Senior Managers Regime - Applications and Notifications; Non – CRR firms: Senior Managers Regime - Applications and Notifications; Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Large Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications; Non-Solvency II firms: Insurance - Senior Managers Regime – Applications and Notifications

1.01 Contact for this notification (at the applicant *firm*)

	Title	
	First name	
	Surname	
	Job title	
	Business address	
	Postcode	
	Phone number	
	Email address	

Personal identifications details**Section 2**

2.01 Individual Reference Number (IRN)

2.02 Title
(e.g. Mr, Mrs, Ms)

2.03 Surname

2.04 ALL forenames

2.05 Date of birth

2.06 National Insurance number

Firm identification details**Section 3**

3.01 Name of applicant *firm*

3.02 *Firm* Reference Number (FRN)

3.03 a Who should the *FCA/PRA* contact at the applicant *firm* in relation to this notice?

b Business address

c Position

d Telephone

e Mobile

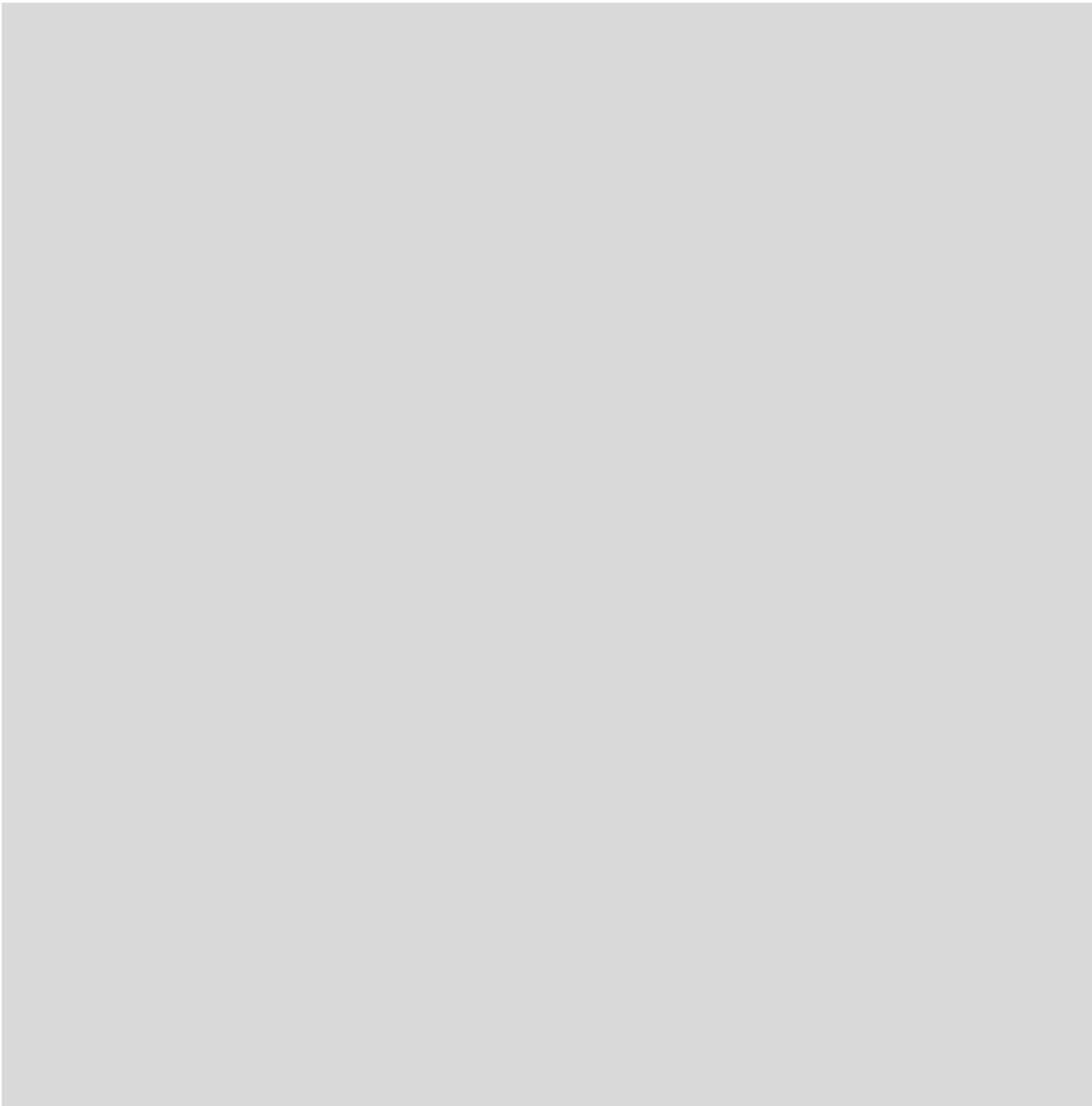
f E-mail

4.1 Summary of Significant Changes made

Please provide a summary of the significant changes made since the date of the previously submitted *statement of responsibilities*.

Please submit with this form an updated *statement of responsibilities* including the effective date.

If applicable, please submit with this form an updated *management responsibilities map*. Banking sector *firms*, Solvency II insurers, Large non-directive insurers and enhanced-scope *SMCR firms* are all required to have *management responsibilities maps*. Please see SYSC 25 in the *FCA Handbook* and Allocation of Responsibilities in the *PRA Rulebook*² for more information.



² The relevant section of the *PRA Rulebook* should be referred to depending on which *firm* is applying.

Declaration by *approved person*

The *candidate/approved person* confirms that this *statement of responsibilities* accurately reflects the aspects of the affairs of the applicant *firm* which it is intended that the *approved person* will be responsible for managing. The *approved person* confirms that they have accepted all the responsibilities set out in this *statement of responsibilities*.

It is a criminal offence, knowingly or recklessly, to give the *FCA/PRA* (as applicable) information that is materially false, misleading or deceptive (see sections 398 and 400 of the Financial Services and Markets Act 2000).

This is given as the date in which the individual took up the roll or intends to take up the role.

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.

Name of *candidate/approved person*

Signature

Date

Declaration by Applicant *Firm*

It is a criminal offence, knowingly or recklessly, to give us information that is materially false, misleading or deceptive.

The applicant *firm* confirms that the information provided is accurate and complete to the best of its knowledge.

In addition to other regulatory responsibilities, *firms* and *approved persons* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it would reasonably expect to be notified. Failure to notify the *FCA* and/or *PRA* of such information may lead to the *FCA* and/or *PRA* taking disciplinary or other action against the *firm* and/or the *approved person*.

The person signing on behalf of the applicant *firm* confirms that:

- they have read this declaration in full;
- they have confirmed that the information supplied is accurate and complete to the best of their knowledge, and the updated *statement of responsibilities* accurately reflects the aspects of the affairs of the *firm* which it is intended that the *approved person* will be responsible for managing.

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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.

Name of applicant *firm*

Name of *person* signing on behalf of applicant *firm*

[Redacted]

Job title

[Redacted]

Signature

[Redacted]

Date

[Redacted]