



Application number  
(for FCA/PRA use only)

# Form H

## Notification of Conduct Rules Breaches and Disciplinary Action relating to certification employees and other conduct rules staff

*FCA Handbook Reference: SUP 15 Annex 7R*

30 September 2016

Name of *firm*  
(as entered in 2.01)

Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 845 606 9966  
Facsimile +44 (0) 207 066 0017  
E-mail [iva@fca.org.uk](mailto:iva@fca.org.uk)  
Website <http://www.fca.org.uk>

Contact for this notification

<b>1.01</b>	Title	
<b>1.02</b>	First Name	
<b>1.03</b>	Surname	
<b>1.04</b>	Job Title	
<b>1.05</b>	Business address	
<b>1.06</b>	Post code	
<b>1.07</b>	Phone number (including STD code)	
<b>1.08</b>	Email address	
<b>1.09</b>	Mobile No	
<b>1.10</b>	Fax No.	

**2.01** Name of *firm*

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**2.02** Firm Reference Number (FRN)

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**Fitness and Propriety - Notifications under section 64C of the Financial Services and Markets Act 2000** **Section 3**

This section should be completed by a firm to:

- (a) make an annual notification of disciplinary action (as defined in section 64C (Requirement for relevant authorised persons to notify regulator of disciplinary action) of the Financial Services and Markets Act 2000) if the reason for taking the disciplinary action is any action, failure to act or circumstance that amounts to a breach of the individual conduct rules set out in the *FCA's Code of Conduct (COCON)*; or
- (b) make a follow up notification to update a notification that has been previously made by the firm in relation to (a); or
- (c) confirm that there is nothing to be reported under (a) or (b).

Is the firm making a nil return (see paragraph (c) of the introduction to this section)?

YES  NO

If the firm has answered "Yes", please go straight to section 5. If the firm has answered "No", please go to section 4.

A *credit union* is not required to make a nil return (see SUP 15.11.13R(5)). If a *credit union* has nothing to notify for a particular reporting period, it should not send a Form H to the *FCA* for that period.

# Disciplinary Action Details

# Section 4

For each individual that is the subject of a notification under this Form, please provide the details requested below, in so far as applicable.

A	B	C	D	E	F	G	H	I	J	K	L	M
<b>Title</b>	<b>Surname</b>	<b>Forenames</b>	<b>IRN</b> <i>(See note 1)</i>	<b>Date of Birth</b> <i>(See note 1)</i>	<b>National Insurance Number</b> <i>(See note 1)</i>	<b>Passport Number</b> <i>(See note 1)</i>	<b>Nationality</b> <i>(See note 1)</i>	<b>Job Title / Position</b>  <b>And</b> <b>Department / Division</b>	<b>Has the person, at any time during the reporting period, been certified for FCA-specified significant-harm function (7) (material risk takers)?</b>	<b>Please identify the relevant conduct rule(s) that have been breached which form the basis of the disciplinary action taken</b> <i>Refer to Conduct Rules</i>	<b>Please provide more information in relation to the conduct rule breached.</b>  <b>Please also state here whether the firm is updating a previous notification or is making a new notification.</b>  <i>Free text description (2000 characters only. Anything greater than this please provide an attachment.)</i>  <i>(See note 2)</i>	<b>Please provide information as to the disciplinary action taken:</b>  <ul style="list-style-type: none"> <li>• issuing of a formal written warning</li> <li>• suspension or dismissal of the person</li> <li>• reduction or recovery of any of the person's remuneration</li> </ul> <i>Free text description (2000 characters only. Anything greater than this please provide an attachment.)</i>  <i>(See note 3)</i>
<p>Note 1:</p> <p>(a) If an IRN is available for a person about whom a notification is being made, please complete column D but do not complete columns E, F, G or H.</p> <p>(b) If an IRN is not available for a person about whom a notification is being made, but that person has a national insurance number, please complete columns E and F but do not complete columns G or H.</p> <p>(c) If neither an IRN nor a national insurance number is available for a person about whom a notification is being made, please complete columns E, G and H.</p> <p>Note 2: If the firm is updating a previous notification, please confirm this in this column but include the details in column M (see note 3)).</p> <p>Note 3:</p> <p>(a) If the person about whom the notification is being made is appealing against the firm's decision, please include details here.</p> <p>(b) If the firm is updating a previous notification, please include the details in this column. This includes (1) any appeal made by the subject of the notification subsequent to a previous notification or (2) the outcome of any appeal previously notified.</p> <p>(c) The firm should specify which of the listed types of disciplinary action it has taken.</p>												

**Declaration**

It is a criminal offence, knowingly or recklessly, to give us information that is materially false, misleading or deceptive. Even if you believe information has been provided to us before (whether as part of another notification or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this notification. If there is any doubt about the relevance of information, it should be included.

The firm confirms that the information provided is accurate and complete to the best of the firm's knowledge. The firm will notify the *FCA* if there is a material change to the information provided.

The firm authorises the *FCA* and *PRA*, as applicable, to make such enquiries and seek such further information as it thinks appropriate to verify information that it considers relevant to this notification.

The firm understands that the *FCA* and/or *PRA* may require it to provide further information or documents at any time.

For the purpose of complying with the Data Protection Act 1998, personal data about an individual that is the subject of a notification under this Form will be used by the *FCA* and/or *PRA* to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation, and will not be disclosed for other purposes without the permission of the firm.

In addition to other regulatory responsibilities, *firms* have a responsibility to disclose to the *FCA* and/or *PRA* matters of which it or they 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.

By signing below, the person submitting this form on behalf of the firm confirms that this form is accurate and complete to the best of his or her knowledge and he or she has read and understood the notes to this form.

Name of the *firm*

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

Position

Signature

Date