



Senior Managers Regime

How to complete the Electronic Grandfathering Notification Form (Form K) via Connect

(For UK Relevant Authorised Persons only)

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Accessing Connect

As part of your preparations, we strongly advise that you access Connect now to ensure you have up-to-date login details and are able to see the relevant grandfathering notification form (Form K).

Are you registered as a Connect user?

Yes – I am an existing Connect user:

- [Log into Connect](#) and start a new application
- Click 'Approved Persons/SMF' application type
- Click the form titled 'Notice of grandfathering/transitioning'

No - I have not used Connect before:

[Register for Connect](#). It's important that you register:

- the firm, and
- a principal user (the person in charge of your firm's application)

See the [Connect user guide](#) and video to familiarise yourself with the system.

Once you're registered:



1. Click 'Approved Persons/SMF' application type
2. Click the form titled 'Notice of grandfathering/transitioning'

Help using Connect

- [Connect Help pages](#)
- Call Customer Contact Centre on 0300 500 0597
- Email firm.queries@fca.org.uk

1. Click 'Approved Persons/SMF'

Contact Us / Get Help / Manage Users / Change Password / My Profile / Logout

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e.g. application guidance notes

Start New Application

You are creating an application for

Select the application type you would like to create

1 Approved Persons / SMF
 Changes to Notified Persons

These forms are to be used by an authorised firm if they wish to add or remove controlled functions, as well as to notify the FCA and/or PRA of any changes to an approved person's details or fitness and propriety information.



Please click on the link for a paper version of the Form A, but note this will be for your record purposes only and will not be accepted by us.
http://media.fshandbook.info/Forms/sup/sup10A_annex4D_20150401.pdf

This section contains the following forms:

- Application to perform controlled functions under the approved persons regime (Form A).
- Notice of ceasing to perform controlled functions (Form C).
- Notice of changes in personal information or application details (Form D).
- Internal transfer of an approved person (Form E).
- Notice of Grandfathering to new regime (Form K).

2. Click 'Notice of grandfathering/transitioning'

Contact Us / Get Help / Manage Users / Change Password / My Profile / Logout

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Approved Person / SMF Application

Approved Person Application for

Select the Approved Person / SMF Manager Application

[Application to perform controlled functions under the approved persons regime and/or senior management functions under the senior managers regime \(Form A\)](#)

[Notice of ceasing to perform controlled functions and/or senior management function\(s\) \(Form C\)](#)

[Notice of a change in the personal information or application details for an approved person / SMF Manager \(Form D\)](#)

[Internal transfer of an approved person or SMF Manager \(Form E\)](#)

[Application for the Variation of a Conditional Approval for the performance of a Senior Management Function \(Form I\)](#)

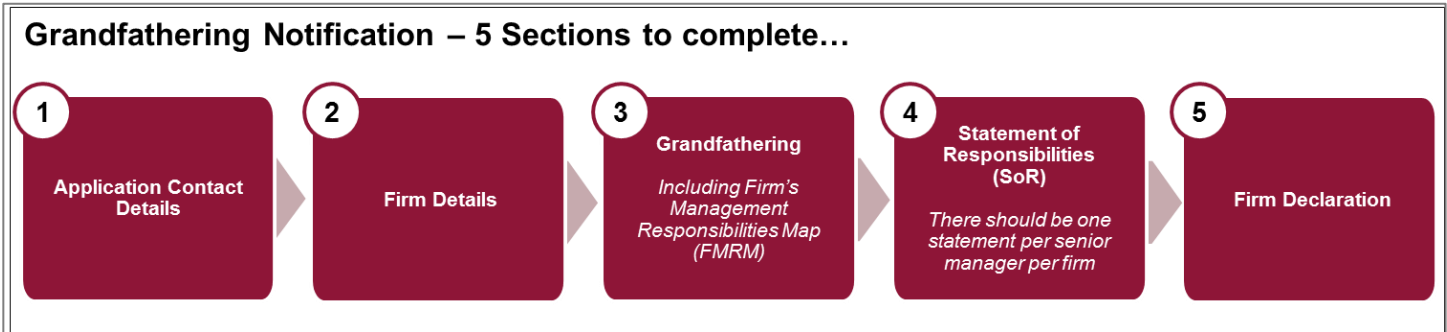
[Notification of Significant change to statement of Responsibilities \(Form J\)](#)

2 [Notice of grandfathering/transitioning](#)

Completing your grandfathering notification form (Form K)

Before you begin, check that:

- you've registered on Connect
- you've found the Grandfathering Notification form



You must complete:

- the four sections within the Grandfathering Notification (Form K), and
- a 'Statement of Responsibilities' for each person grandfathering to one or more Senior Management Functions (SMFs)

Before the grandfathering section becomes available, you will need to complete both the:

- 'Application Contact Details' section and
- 'Firm Details' section

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Search [fca.org.uk](https://www.fca.org.uk)
e.g. application guidance notes

Grandfathering Notification

Firm Name: FRN

Version Number: 7 Application Reference Number: 0000476118 Last Modified By:

[Back to My Applications](#)

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons	
Form	Form Status
1 Application Contact Details	Complete
2 Firm Details	Complete
3 Grandfathering	Complete
5 Firm Declaration	Not Started

4 **Statements of Responsibilities**

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
	SOR	Completed	Edit

Completing 'Application Contact Details'

Grandfathering Notification – 5 Sections to complete...



- Provide details of a point of contact at the firm, should there be any follow-up questions about your submitted form.
- Complete the section with all applicable data.
- If you do not have a fax number, you can leave this blank.
- Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

Application Contact Details

Firm Name: _____ FRN: _____
Form Version Number: 2 Application Reference Number: 0000476118 Last Modified By: _____

Progress

Current Step

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

[Back](#)

[Save & Exit](#)

[Continue](#)

Print

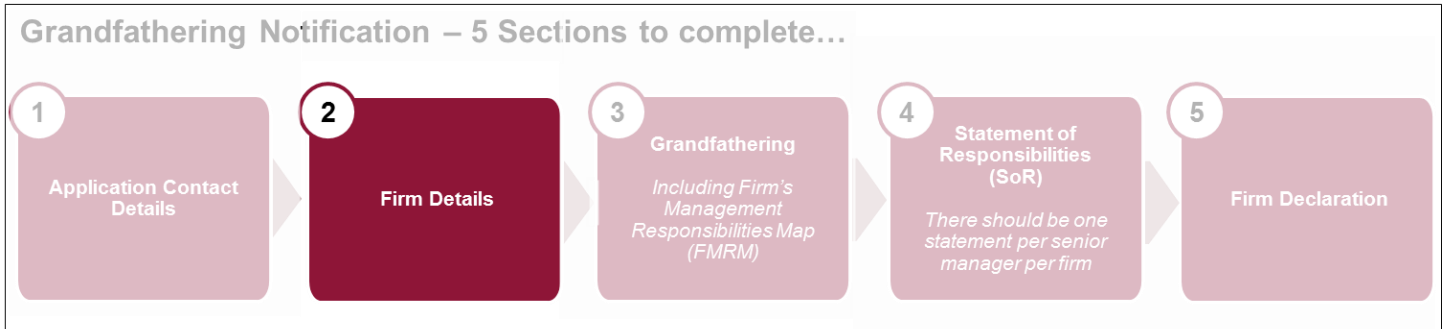
Please enter the contact details of the person we will get in touch with about this application.

Choose User:

Associated Individual

Title
First Name(s)
Last Name
Job Title
Mobile Number
Email Address
Building name / number
Postcode [Find Address](#)

Completing 'Firm Details'



- Provide firm details to ensure it is clear to which firm the form relates. If there are several authorised firms in the group, please make sure you list the correct firm.
- Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

Firm Details Application

Firm Name: FRN
Form Version Number: 2 Application Reference Number: 0000476118 Last Modified By:

Progress
Current Step

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

Back Save & Exit **Continue** Print

Firm Details

The information you provide within this form is confidential

Firm Name

Other Address Details

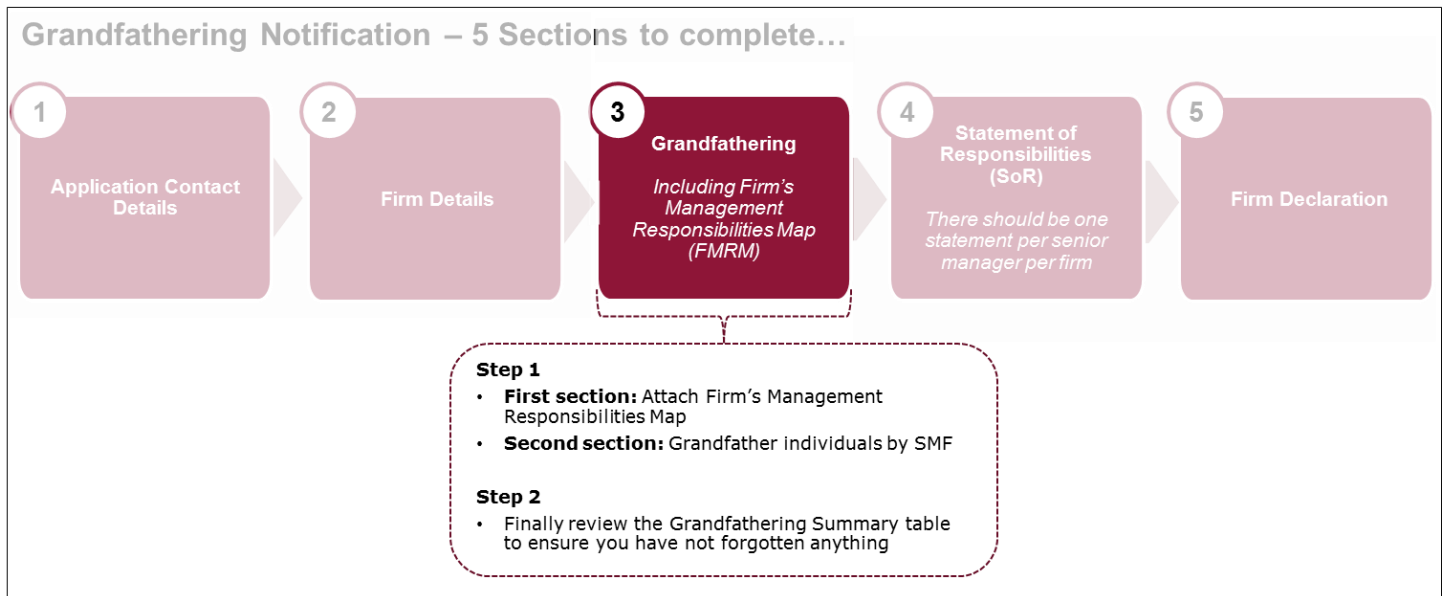
Registered Office Address

A registered office is the official address of an incorporated company. This address must be in the UK unless the Applicant Firm is a branch of an overseas company. Generally it will form part of the public record where the registered organisation or legal entity is incorporated.

Enter Manually

Address Line 1
Address Line 2

Completing the 'grandfathering' section



The grandfathering process enables you to transition SIFs to the new Senior Managers Regime. Here you will be required to set out which current Approved Persons will perform a Senior Management Function (SMF).

Step 1 – First Section: You must upload your firm’s Management Responsibilities Map here.

- Click 'Choose File'.
- Select the relevant document from your computer.
- Click 'Attach'.
- If you’ve attached the incorrect document, press 'X' in column named 'Remove' and re-attach the correct one.
- Once you’ve attached the correct document, press 'Continue'.

All attachments must be no larger than 25MB. If the attachment is larger than this size, please compress the file.

Grandfather CFs to SMFs

Firm Name: _____ FRN : _____
Form Version Number: 5 Application Reference Number: 0000476118 Last Modified By: _____

Progress

Current Step

Step 2

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

Back Save & Exit Continue Print

This notification will be for an update to a previous submitted grandfathering notification form. Please note that the individuals chosen to be grandfathered in the firm’s earlier submission are pre-populated in the table below. To withdraw the grandfathering of any of these individuals, please uncheck the corresponding box.

Firm’s Management Responsibilities Map and Other Information

- Please attach the Firm’s Management Responsibilities Map for
- If this is an update to an earlier grandfathering notification, please add an attachment to explain the reasons for the changes to the original submission.

Firm’s Management Responsibilities Map and Other Information

Package contents

Document Title	Attachment	Remove
	Hello.docx	

Add another document

Document Title

Attachment

Step 1 – Second Section: Grandfather Individuals by SMF – selecting appropriate SIFs listed under each SMF function displayed.

You will see a list of SMF functions. You must decide and select the relevant SMFs for your firm. Some SMFs are mandatory.

- Click 'Select' against the relevant SMFs.

Grandfather Individuals by SMF		
You must ensure that all relevant information concerning the grandfathering of individuals from controlled functions into SMF roles is included within this section of the form. This can be done by clicking on the 'Select' button for each of the relevant SMF functions listed below and following the instructions.		
If you do not provide information for all those individuals who <u>are being</u> grandfathered we may need to contact you with additional questions.		
SMF	SMF Name	
SMF1	Chief Executive Function	Select
SMF2	Chief Finance Function	Select
SMF3	Executive Director	Select
SMF4	Chief Risk Function	Select

On selecting an SMF, all current Approved Persons who hold a controlled function that can be mapped to that SMF will be displayed.

- Select the tick box in the 'Grandfather' column for all relevant individuals you chose to map to the selected SMF.

For all mandatory SMFs, you must either have:

- allocated a current Approved Person, or
- submitted a new application for approval

For non-mandatory SMFs, you should decide which are relevant for your firm. You do not need to select an Approved Person for every Senior Management Function.

Refer to policy to understand which SMFs are mandatory for your firm:

- FCA: [CP15/22 Strengthening accountability in banking: Final rules \(including feedback on CP14/31 and CP15/5\) and consultation on extending the Certification Regime to wholesale market activities](#)
- PRA: [Strengthening individual accountability in banking – SS28/15](#)

If you notice an Approved Person's details are incorrect in this section of the form, you will need to complete a Form D to notify us of the required amendments.

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

Grandfather Individuals by SMF

You must ensure that all relevant information concerning the grandfathering of individuals from controlled functions into SMF roles is included within this section of the form. This can be done by clicking on the 'Select' button for each of the relevant SMF functions listed below and following the instructions.

If you do not provide information for all those individuals who are being grandfathered we may need to contact you with additional questions.

SMF	SMF Name																
SMF1	Chief Executive Function																
<p>Note that only individuals in Firm have been listed below who currently hold a Controlled Function that can be mapped to this Senior Management Function.</p> <p>Please select the Individuals to be Grandfathered to this SMF</p> <table border="1"><thead><tr><th>IRN</th><th>Name</th><th>CFs Held</th><th>CFs Applied For</th><th>Grandfather</th></tr></thead><tbody><tr><td></td><td></td><td>CF1, CF3, CF5, CF10, CF11, CF28</td><td></td><td><input type="checkbox"/></td></tr><tr><td></td><td></td><td>CF3</td><td></td><td><input type="checkbox"/></td></tr></tbody></table>			IRN	Name	CFs Held	CFs Applied For	Grandfather			CF1, CF3, CF5, CF10, CF11, CF28		<input type="checkbox"/>			CF3		<input type="checkbox"/>
IRN	Name	CFs Held	CFs Applied For	Grandfather													
		CF1, CF3, CF5, CF10, CF11, CF28		<input type="checkbox"/>													
		CF3		<input type="checkbox"/>													
<p>If the firm no longer wishes to grandfather an individual it has previously mapped across to a Senior Manager Function please untick the box relating to that individual in the 'Grandfather' column.</p> <p><input type="button" value="Hide Section"/></p>																	
SMF2	Chief Finance Function	<input type="button" value="Select"/>															
SMF3	Executive Director	<input type="button" value="Select"/>															

Step 2: Review summary table of all mapped SMFs and table of all non-mapped SIFs to ensure that you haven't forgotten anything.

Back
Save & Exit
Continue
 Print

Grandfathering Summary for

Progress

Step 1 ✔

Current Step ✔

Legend

- | This field is required
- ⊙ Click the icon for help on the item
- ✔ The page has been validated successfully
- ⚠ The page is incomplete

Individuals who will be grandfathered over

The following Individuals will be grandfathered. You must submit an individual statement of responsibilities for each individual grandfathered on this application.

IRN	Name	CFs Held	CFs Applied For
		CF1, CF3, CF5, CF10, CF11, CF28	

Grandfathering to

SMF2 Chief Finance Function	PREVIOUSLY APPLIED FOR
-----------------------------	------------------------

For Both SMF and SIMF

If there are one or more individuals currently approved to perform significant influence function CF2 or if you have submitted any applications for approval of individuals to significant influence function CF2 under the approved persons regime that are currently subject to determination by the FCA and/or PRA, who will remain at the firm in the capacity of a non-executive director following commencement date, and such individual(s) are not being Grandfathered to any other Senior Management Function or Senior Insurance Management Function, please select these individual(s) below.

IRN	Name	CFs Held	CFs Applied For	Individual remaining in non-executive director function following commencement date
		CF29	CF2	<input checked="" type="checkbox"/>

Individuals who will not be grandfathered over

The following individuals will automatically be withdrawn. Please note that any decision not to grandfather an individual due to changes in their fitness and propriety should be accompanied by an Approved Persons Form C detailing the reason why the individual will cease to perform a controlled function at the firm.

IRN	Name	CFs Held	CFs Applied For
		CF29	CF2
		CF2, CF10A, CF28, CF29	

Controlled Functions that cannot be grandfathered over

Please note that the following controlled functions will automatically lapse when the changes to the Approved Persons Regime are implemented (as detailed in PSXX-XX):

- CF 10A - CASS operational Oversight Function
- CF 40 - Benchmark Submission function
- CF 50 - Benchmark Administration Function
- CF 30 - Customer Function

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

This completes the grandfathering exercise. The system will then auto-generate a Statement of Responsibilities (SoR) for each individual being grandfathered to an SMF.



Completing 'Statement of Responsibilities' (SoR)

Grandfathering Notification – 5 Sections to complete...



- Step 1**
- Allocate 'Prescribed Responsibilities' for each SMFs
- Step 2**
- List 'Overall Responsibilities' per SMF
- Step 3**
- List any 'Other Responsibilities' per SMF
- Step 4**
- Attach any supporting documents where appropriate
 - Complete declaration of candidate/approved person

For each person grandfathering to one or more Senior Management Functions (SMF), you must submit a SoR.

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e.g. application guidance notes

Grandfathering Notification

Firm Name: _____ FRN : _____

Version Number: 13 Application Reference Number: 0000476118 Last Modified By: _____

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Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons	
Form	Form Status
Application Contact Details	Complete
Firm Details	Complete
Grandfathering	Complete
Firm Declaration	Not Started

Statements of Responsibilities

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
	SOR	In Progress	Edit
	SOR	In Progress	Edit
	SOR	Not Started	Edit

A SoR will be auto-generated for each individual you choose to grandfather into an SMF. You must complete all SoRs before the system will let you submit the Grandfathering Notification - Form K. Click on 'Edit' to complete each SoR.

Each SoR must be completed, even if a Senior Manager is not going to be allocated any Prescribed, Overall or Other Responsibilities.

This Statement of Responsibilities will list the new SMFs, as well as the Prescribed, Overall and any Other Responsibilities for each Senior Manager.

For each SoR, you must confirm your firm's 'Gross total assets' to inform us whether or not your firm is a Capital Requirements Regulation firm:

- A firm with gross total assets of £250 million or less should select 'Yes'.
- A firm with gross total assets of more than £250 million should select 'No'.

You must be consistent in your choice of answer to this question for all Senior Managers in your firm.

Please indicate if is a CRR firm which has gross total assets of £250 million or less, determined on the basis of the annual average amount calculated across a rolling period of five years (calculated by reference to the firm's annual accounting date).

Yes

Step 1: Allocate Prescribed Responsibilities for SMFs

To add a Prescribed Responsibility, click on 'Select' and then 'Add'. This list will change depending on the Senior Management Function.

Please indicate below which of the responsibilities listed are/will be allocated to this individual. Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details below.

For guidance as to which responsibilities are applicable to your type of firm please refer to Annex 4 of the Policy Statement which is accessible via the following link.

<https://www.fca.org.uk/your-fca/documents/consultation-papers/cp15-22>

If the individual has not been allocated a prescribed responsibility please skip this section.

Reference	Prescribed Responsibility	Action
a	Responsibility for the firm's performance of its obligations under the senior management regime	Select
b	Responsibility for the firm's performance of its obligations under the employee certification regime	Select
c	Responsibility for compliance with the requirements of the regulatory system about the management responsibilities map	Select
e	Responsibility for the allocation of all prescribed responsibilities	Select
n	Responsibility for the independence, autonomy and effectiveness of the firm's policies and procedures on whistleblowing, including the procedures for protection of staff who raise concerns from detrimental treatment	Select
u	Responsibility for the firm's performance of its obligations under Fitness and Propriety (in the PRA Rulebook) in respect of its notified non-executive directors	Select
z	Overall responsibility for the firm's compliance with CASS	Select
aa	Responsibility for implementing and management of the firm's risk management policies and procedures	Select
bb	Responsibility for managing the systems and controls of the firm	Select
cc	Responsibility for managing the firm's financial resources	Select
dd	Responsibility for ensuring the governing body is informed of its legal and regulatory obligations	Select

If necessary, please provide additional information about each prescribed responsibility, including a breakdown of the different components and tasks which the responsibility encompasses. Additional information must be relevant, succinct and not dilute or

undermine the prescribed responsibility.

Is this prescribed responsibility shared?



Once selected, you will be able to view the allocated responsibility in the Summary table. You can use the action buttons to 'Edit' or 'Remove' the responsibility if necessary. You can add as many responsibilities as are relevant to the individual's role.

If a Senior Manager is not being allocated any prescribed responsibilities, then please skip this section.

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

SUMMARY OF PRESCRIBED RESPONSIBILITIES ALLOCATED TO 			
Prescribed Responsibilities applied for as part of this application			
Reference	Prescribed Responsibility	Shared	Action
a	Responsibility for the firm's performance of its obligations under the senior management regime	<input type="checkbox"/>	Edit Remove
Prescribed Responsibilities previously applied for			
Reference	Prescribed Responsibility	Shared	Action
Prescribed Responsibilities selected for withdrawal as part of this application			
Reference	Prescribed Responsibility	Shared	Action
d	Overall responsibility for the firm's policies and procedures for countering the risk that the firm might be used to further financial crime	<input type="checkbox"/>	View Undo
Prescribed Responsibilities automatically withdrawn due to selections made on application			
Prescribed Responsibility	Shared	Action	

Step 2: List Overall Responsibilities, if relevant.

Progress

Step 1

Current Step

Step 3

Step 4

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

OVERALL RESPONSIBILITIES

This section deals with having overall responsibility for any of the business areas, activities, or management functions of the firm.

By overall responsibility we mean the ultimate responsibility (under the governing body) for managing or supervising that function, and primary and direct responsibility for briefing and reporting to the governing body about that function and putting matters for decision about that function to the governing body of the firm.

(SYSC 4.7)

If the individual has overall responsibility for any or part of the business areas, activities, or management functions of a firm, please provide details of each in the table below.

Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with. The responsibility should be recorded in the same way in the statements of responsibilities for each individual.

If the individual does not have overall responsibility for a business area, activity or management function of the firm, please go to Other Responsibilities.

A firm may wish to refer to SYSC 4 Annex 1G (replicated in Annex A of this form) to help it make sure it has not failed to allocate overall responsibility for a particular activity of the firm. Please note that the FCA does not require firms to organise themselves by the functions in SYSC 4 Annex 1G, and that the Annex is not comprehensive. It is important that a firm does not fail to allocate overall responsibility for business areas, activities and management functions, in line with SYSC 4.7.8R.

Please provide a title for this overall responsibility.

Click 'select from list' for business areas and management functions or enter free text in the fields provided

SELECT FROM LIST (Annex 1G) **CLEAR**

Please provide further details of this overall responsibility.

Is this overall responsibility shared?

ADD

Back **Save & Exit** **Continue** **Print**

Once selected, you will be able to view the allocated responsibility in the Summary table. You can use the action buttons to 'Edit' or 'Remove' the responsibility if necessary. You can add as many responsibilities as are relevant to the individual's role.

If a Senior Manager is not being allocated any overall responsibilities, then please skip this section.

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

Step 3: List Other Responsibilities, if relevant.

OTHER RESPONSIBILITIES

Firm Name: _____ FRN : _____
Form Version Number: _____ Application Reference Number: _____ Last Modified By: _____

Progress

Step 1

Step 2

Current Step

Step 4

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

[Back](#) [Save & Exit](#) [Continue](#) Print

OTHER RESPONSIBILITIES

Please set out below anything else, not otherwise included in this statement, for which a candidate or senior manager is to be responsible as part of their FCA and/or PRA controlled function(s) role. For example, responsibilities outside the normal course of business such as those linked to high profile projects of initiatives.

Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details of any sharing arrangements including, if known, the name(s), IRN(s) and/or job title(s) of the individual(s) you are sharing this responsibility with. The responsibility should be recorded in the same way in the statements of responsibilities for each individual.

Please provide a title for this other responsibility.

Please provide further details of this other responsibility.

Answers should be limited to 300 words or less in the text box below.

Is this other responsibility shared?

[ADD](#)

Once added, you will be able to view the allocated responsibility in the Summary table. You can use the action buttons to 'Edit' or 'Remove' the responsibility if necessary. You can add as many responsibilities as are relevant to the individuals' role.

If a Senior Manager has no other responsibilities then you should skip this section.

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

Step 4: Attach any supporting documents where appropriate and complete the Declaration of Candidate / Approved Person.

DECLARATION

Firm Name: Intact SIT R4B RAP Firm FRN : 512205
Form Version Number: 25 Application Reference Number: 0000476120 Last Modified By: Stefanie Francois - 26/10/2015 05:22:50 PM

Progress

- Step 1 ✓
- Step 2 ✓
- Step 3 ✓
- Current Step** ✓

Legend

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

SUPPLEMENTARY DOCUMENT

If applicable, attach a single supporting document for this statement of responsibilities clearly identifying the question the additional information relates to

Document Title

Attachment

DECLARATION OF CANDIDATE/APPROVED PERSON

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

For Grandfathering only, a dated signature is required to accompany the SOR for each candidate being grandfathered. Please attach a dated scanned signature here

Document Title

Attachment Hello.docx

You will be required to provide handwritten signatures from each senior manager who will be grandfathered to a Senior Manager Function. To do this please:

- scan a dated signature onto your computer
- click 'Choose File' to attached the dated signature to the Grandfathering Notification Declaration

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.

This completes the Statement of Responsibility; repeat these steps for each individual you have chosen to grandfather.

Completing the 'Firm Declaration'

Grandfathering Notification – 5 Sections to complete...



The system will only permit you to submit the Grandfathering form when all of the SoRs have been completed. Once the SoRs are completed, click on 'Firm Declaration'.

Grandfathering Notification

[Back to My Applications](#)
Delete

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready)

Approved Persons	
Form	Form Status
Application Contact Details	Complete
Firm Details	Complete
Grandfathering	Complete
Firm Declaration	Not Started

Statements of Responsibilities

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
	SOR	Completed	Edit
	SOR	Completed	Edit
	SOR	Completed	Edit
	SOR	Completed	Edit


We strongly recommend that you read and understand the Firm Declaration section as it contains important information about the next steps.

Once you're finished, either 'Continue' to the next section or 'Save and Exit'. You can amend this section up to the point you submit the grandfathering form.





Declaration


Firm Name	FRN :	
Form Version Number: 2	Application Reference Number: 0000475762	Last Modified By:

Progress

Current Step 

Legend

-  This field is required
-  Click the icon for help on the item
-  The page has been validated successfully
-  The page is incomplete

[Back](#) [Save & Exit](#) [Continue](#)  [Print](#)

Declaration

In this declaration, the firm making the notification for an individual is referred to as the "Firm". An individual to whom a notification for grandfathering relates is referred to as "individual".

The Firm must ensure that it has the authority of each individual to cause the information relating to the relevant individual contained in this Form to be submitted.

It is a criminal offence, knowingly or recklessly, to give the appropriate regulator information that is materially false, misleading or deceptive (see sections 393 and 400 FSMA).

You must notify the appropriate regulator immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the appropriate regulator is reasonably likely to consider the information material).

For the purpose of complying with the Data Protection legislation, personal data may be used by the appropriate regulator to discharge its statutory functions and in accordance with the Data Protection Act, and otherwise will not be disclosed for other purposes without the permission of the the Firm.

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

The person submitting this Form on behalf of the Firm confirms that he or she has authority to submit this application, and will arrange for an authorised signatory to sign the print-out of this Form on behalf of the firm.

Review and Submission

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Tick here to confirm that the person submitting this Form on behalf of the Applicant and (if applicable) the individual named below have read and understood the declaration.

Signature

I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request.

Individual's full name

Individual's signature

Name of authorised signatory

Signature (to be signed on the printed version only)

Name of authorised signatory

Name of Person Submitting Form

Date

You are now ready to submit the form. Click 'Ready for Submission'.

[Back to My Application](#) **Ready for Submission** [Delete](#)

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons

Form	Form Status
Application Contact Details	Complete
Firm Details	Complete
Grandfathering	Complete
Firm Declaration	Complete

Statements of Responsibilities

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
	SOR	Completed	Edit
	SOR	Completed	Edit
	SOR	Completed	Edit
	SOR	Completed	Edit

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Review all the details, and then click 'Submit'.

[Back to My Applications](#) [Edit Application](#) [Submit](#) [Delete](#)

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons

Form	Form Status
Application Contact Details	Complete
Firm Details	Complete
Grandfathering	Complete
Firm Declaration	Complete

Statements of Responsibilities

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

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Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
Alan Stuart Ramsay	SOR	Completed	Edit
David William John Bagley	SOR	Completed	Edit
Marie Buckton	SOR	Completed	Edit
John McCormack	SOR	Completed	Edit

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Find more information about the Senior Managers and Certification Regime:

- FCA: [Improving individual accountability](#)
- PRA: [Strengthening accountability](#)
- [Senior Managers & Certification Regime Information Pack](#)