



BANK OF ENGLAND
PRUDENTIAL REGULATION
AUTHORITY



Application number
(for FCA/PRA use only)

Grandfathering Notification Form (Form K) Small non-directive insurers only¹

FCA Handbook Reference: SUP TP8

PRA Rulebook Reference: Non-Solvency II Firms – Senior Insurance Managers Regime – Transitional Provisions

Please note: this form does NOT need to be completed for *approved persons* who are currently only performing an *FCA controlled function* and it is intended will continue only to hold the same *FCA controlled function* following grandfathering (see SUP TP 8.2.1R). Also, information does NOT need to be provided in relation to CF8.

If a firm intends that any individual will not perform any *controlled function* that they would be eligible to take up through grandfathering (including those functions where information is not required to be submitted in this form, as set out above) it should submit a Form C (notice of ceasing to perform *controlled functions*) accordingly.

Name of firm

Firm Reference Number (FRN)

Financial Conduct Authority
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 300 500 0597
E-mail iva@fca.org.uk
Website 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
Registered as a Limited Company in England and Wales
No 07854923. Registered Office: 8 Lothbury Road, London,
EC2R 7HH

¹ See definition of *small non-directive insurer* in the *FCA Handbook* Glossary and the *PRA Rulebook* Glossary.

Who should the *FCA/PRA* contact at the *firm* in relation to this application?

1.01 Title

1.02 First Name

1.03 Surname

1.04 Job Title

1.05 Business address

1.06 Post code

1.07 Phone number (including STD code)

1.08 Email address

1.09 Mobile No.

1.10 Fax No.

2.01 Provide details of each *approved person* who will, from 7 March 2016, perform any of the *controlled functions* set out in column 2 of the table in FCA rule SUP TP 8.2.3R or in column 2 in the Table of Equivalent Functions for Grandfathering in *PRA Rulebook: Non-Solvency II Firms – Senior Insurance Managers Regime – Transitional Provisions*.² Also provide details of which of those *controlled functions* are to be carried out by each such *approved person*, or whether the individual will cease to be an *approved person*. **If this is an update to a previous grandfathering notification please complete section 3.**

a) Individuals currently performing CF1

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN	Name of individual	Becoming PRA SIMF 25	Remaining as CF1 (FCA only regulated)	Will not be performing SIMF 25 or CF1 after commencement

b) Individuals currently performing CF2

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN	Name of individual	Becoming PRA SIMF 25	Will not be performing SIMF 25 after commencement

² Details are not required for *approved persons* who are currently only performing an *FCA controlled function* and it is intended will continue only to hold the same *FCA controlled function* following grandfathering (see SUP TP 8.2.1R). Also, information does NOT need to be provided in relation to individuals performing CF8.

c) Individuals currently performing CF3

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF3 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF3 after commencement

d) Individuals currently performing CF5

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF5 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF5 after commencement

e) Individuals currently performing CF6

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF6 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF6 after commencement

f) Individuals currently performing CF12

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN	Name of individual	Becoming <i>PRA</i> SIMF 20	Will not be performing SIMF 20 after commencement

g) Individuals currently performing CF12A

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN	Name of individual	Becoming <i>PRA</i> SIMF 21	Will not be performing SIMF 21 after commencement

h) Individuals currently performing CF28

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN	Name of individual	Becoming <i>PRA</i> SIMF 25	Will not be performing SIMF 25 after commencement

2.02 If you have submitted any applications for approval of individuals to perform one or more *controlled functions* that are currently subject to determination by the *FCA* and/or *PRA*, and any of these individuals will from 7 March 2016 perform any of the *controlled functions* set out in column 2 of the tables in *FCA* rule SUP TP 8.2.3R or in column 2 in the Table of Equivalent Functions for Grandfathering in *PRA Rulebook: Non-Solvency II Firms – Senior Insurance Managers Regime – Transitional Provisions*³, provide details of which of those *controlled functions* are to be carried out by each such *approved person*. Please also notify us if the individual will cease to be an *approved person*.

For the purpose of this section, you should assume that the *FCA* and/or *PRA* will approve the application that is subject to determination before the commencement date, and that the individual will therefore be eligible for grandfathering. If this is an update to a previous grandfathering notification please complete section 3.

a) Candidates for CF1

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN or application ref	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF1 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF1 after commencement

b) Candidates for CF2

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN or application ref	Name of individual	Becoming <i>PRA</i> SIMF 25	Will not be performing SIMF 25 after commencement

c) Candidates for CF3

³ Details are not required in relation to candidates to perform an *FCA controlled function* where it is intended that they will only hold the same *FCA controlled function* following grandfathering. Also, information does NOT need to be provided in relation to candidates for CF8.

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN or application ref	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF3 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF3 after commencement

d) Candidates for CF5

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN or application ref	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF5 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF5 after commencement

e) Candidates for CF6

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)		
IRN or application ref	Name of individual	Becoming <i>PRA</i> SIMF 25	Remaining as CF6 (<i>FCA</i> only regulated)	Will not be performing SIMF 25 or CF6 after commencement

f) Candidates for CF12

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN or application ref	Name of individual	Becoming <i>PRA SIMF 20</i>	Will not be performing SIMF 20 after commencement

g) Candidates for CF12A

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN or application ref	Name of individual	Becoming <i>PRA SIMF 21</i>	Will not be performing SIMF 21 after commencement

h) Candidates for CF28

Identification details of individual		Intended status of individual from 7 March 2016 (please tick as appropriate)	
IRN or application ref	Name of individual	Becoming <i>PRA SIMF 25</i>	Will not be performing SIMF 25 after commencement

3.01 If you need to update a previous grandfathering notification, please provide details of updates to the *firm's* Grandfathering Notification Form below.

IRN or application ref	Name of individual
<i>Controlled Function</i>	<i>Proposed Controlled Function(s)</i>
Details of change and reasons for such change.	

IRN or application ref	Name of individual
<i>Controlled Function</i>	<i>Proposed Controlled Function(s)</i>
Details of change and reasons for such change.	

Declaration

In this declaration, the *firm* making the notification in relation to each individual is referred to as the “**applicant**”.

The applicant must ensure that it has the authority of each individual in relation to whom it is making a notification for grandfathering to a *controlled function* to cause the information contained in this form relating to such individual to be submitted, and that it has made each such individual aware of his/her prospective regulatory responsibilities as set out in the *FCA’s Code of Conduct (COCON)* and/or the *PRA Rulebook: Non-Solvency II Firms: Insurance – Conduct Standards* (as applicable).

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

The applicant must notify the *FCA* and/or *PRA* immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the *FCA* and/or *PRA* is reasonably likely to consider the information material).

For the purpose of complying with the Data Protection Act 1998, the personal information provided in this form will be used by the *FCA* and *PRA* to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation and will not be disclosed for any other purpose without the permission of the *candidate*.

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 individuals.

The person signing on behalf of the applicant confirms that:

- he or she has read this declaration in full;
- he or she has confirmed that the information supplied is accurate and complete to the best of the his/her knowledge.

4.01 Name of the applicant

4.02 Name of person signing on behalf of the applicant

4.03 Position

4.04 Signature

4.05 Date