

## Small registered AIFM change form

### Name of alternative investment fund manager

### Firms reference number (FRN)

### Legal entity identification code (LEI)

#### **Purpose of this pack**

Please use this form to notify us of changes to your registration as a small registered UK AIFM, this includes registration as a EuSEF manager or EuVECA manager.

If you wish to notify us that you have exceeded the relevant threshold of assets under management for *small AIFMs* please use the notice of sub-threshold AIFM exceeding AUM limit form.

#### **Contents of this form**

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## Filling in the form

- 1 If you are using your computer to complete the form:
  - use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question and
  - print out the form you have completed and sign the declaration.
- 2 If you are filling in the form by hand:
  - use black ink
  - write clearly and
  - sign the declaration.
- 3 If you think a question is not relevant to you, write 'not applicable' and explain why.
- 4 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.
- 5 Submit the form by email to [Authsubmissions@fca.org.uk](mailto:Authsubmissions@fca.org.uk)

Alternatively you may post the application to the FCA at:

**Permissions Department**  
**The Financial Conduct Authority**  
**25 The North Colonnade**  
**Canary Wharf**  
**LONDON**  
**E14 5HS**

# 1 Firm contact details

## Firm details

### 1.1 Contact details of the person we will get in touch with about this notification.

Name	
Position	
Firm	
Phone number	
Email address	

### 1.2 Type of small registered AIFM?

- Small internal UK AIFM  
(A small registered UK AIFM registered in accordance with regulation 10(2) of the AIFMD UK Regulation)
- Small property UK AIFM  
(A small registered UK AIFM registered in accordance with regulation 10(3) of the AIFMD UK Regulation)
- EuSEF manager
- EuVECA manager

### 1.3 What is this notification for?

- Add or remove individual(s) responsible for the management of the firm  
(only if you are a small internal UK AIFM or a small property UK AIFM)  
▶ Complete sections 2 and 4
- Notification of ceasing to satisfy the conditions of registration  
▶ Complete sections 3 and 4

# 2

## Add or remove individuals responsible for the management of the firm

The approved persons regime is not applicable to the registration process. However, we do still need information relating to the individuals who are responsible for the management and operation of the AIFM even where they are not approved persons.

If you are a small internal UK AIFM or a small property AIFM, you may add or remove individuals responsible for the management of the firm from your registration below.

If you are a EuVECA or EuSEF manager, amendments to your senior persons must be made using the senior person's change form.

**2.1 Please give details of any individuals you wish to add to your registration below.**

Full name	Date of birth (dd/mm/yyyy)	IRN

**2.2 Have any of the individuals listed in question 2.1 been convicted of any offence involving fraud or dishonesty, or any indictable offence. For this purpose 'offence' includes any act of omission which would have been an offence if it had taken place in the United Kingdom?**

Please note that you are not required to make any disclosure in relation to a spent conviction and neither are you required to provide details on circumstances ancillary to a spent conviction where this is provided for in the Rehabilitation of Offenders Act 1974 and subordinate legislation.

- No ▶ Continue to question 2.3
- Yes ▶ You must provide details below

**2.3 Are any of the individuals listed in question 2.1 subject to a prohibition order?**

- No ▶ Continue to question 2.4  
 Yes ▶ You must provide details below

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**2.4 Do you wish to remove any individuals responsible for the management of the firm from your registration?**

- No ▶ Continue to section 4  
 Yes ▶ You must provide details below

Name	Date of birth dd/mm/yyyy	IRN	End date dd/mm/yyyy

**Continue to section 3**

# 3

## Cease to satisfy conditions of registration

**3.1 Please tell us how you have ceased to satisfy the conditions of registration**

**3.2 Date that this event first occurred (dd/mm/yyyy)**

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**Continue to section 4**

# 4 Declaration

## Warning

It is a criminal offence to knowingly or recklessly give us information that is false or misleading. If necessary, please seek appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. And failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

## Data protection

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the firm concerned.

## Declaration

By submitting this notification form:

- **I confirm that I understand it is a criminal offence knowingly or recklessly to give the FCA information that is false or misleading in a material particular (sections 398 and 400 of the Financial Services and Markets Act 2000).**
- **I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.**
- **I confirm that I am authorised to sign this notification on behalf of the firm.**

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

Name	
Position	
Signature	
Date	dd/mm/yy