



BANK OF ENGLAND  
PRUDENTIAL REGULATION  
AUTHORITY



The *FCA* and *PRA* have produced notes which will assist both the applicant and the *candidate* in answering the questions in this form. Please read these notes, which are available on both *FCA* and *PRA* websites at:

<https://handbook.fca.org.uk/handbook/SUP/10A/Annex4>

<http://www.bankofengland.co.uk/PRA>

Both the applicant and the *candidate* will be treated by the *FCA* and *PRA* as having taken these notes into consideration when completing this form.

## Long Form A – Small non-directive insurers only<sup>1</sup>

### Application to perform controlled functions

*FCA Handbook* Reference: SUP 10A Annex 4D

*PRA Rulebook* Reference: Non-Solvency II Firms - Senior Insurance Managers Regime - Application and Notifications

7 March 2016

Name of *candidate*<sup>†</sup>  
(to be completed by applicant *firm*)

Name of *firm*<sup>†</sup>  
(as entered in 2.01)

*Firm* reference number<sup>†</sup>  
(as entered in 2.02)

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](mailto:iva@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  
E-mail [PRA-ApprovedPersons@bankofengland.co.uk](mailto:PRA-ApprovedPersons@bankofengland.co.uk)  
Website [www.bankofengland.co.uk/PRA](http://www.bankofengland.co.uk/PRA)

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

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA Rulebook*  
Long Form A – small non-directive insurers only: Application to perform controlled functions

## Personal identification details

## Section 1

<b>1.01 a</b>	<i>Candidate</i> Individual Reference Number (IRN) <sup>†</sup>	
<b>b</b>	OR name of previous regulatory body <sup>†</sup>	
<b>c</b>	AND previous reference number (if applicable) <sup>†</sup>	
<b>1.02</b>	Title (e.g. Mr, Mrs, Ms, etc) <sup>†</sup>	
<b>1.03</b>	Surname <sup>†</sup>	
<b>1.04</b>	ALL forenames <sup>†</sup>	
<b>1.05</b>	Name commonly known by <sup>†</sup>	
<b>1.06</b>	Date of birth (dd/mm/yyyy) <sup>†</sup>	
<b>1.07</b>	National Insurance number <sup>†</sup>	
<b>1.08</b>	Previous name <sup>†</sup>	
<b>1.09</b>	Date of name change <sup>†</sup>	
<b>1.10 a</b>	Nationality <sup>†</sup>	
<b>b</b>	Passport number (if National Insurance number not available) <sup>†</sup>	
<b>1.11</b>	Place of birth <sup>†</sup>	



I have supplied further  
information  
related to this page in Section 6 <sup>†</sup>

YES ☐

NO ☐

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook Long Form A – small non-directive insurers only: Application to perform controlled functions

**1.12 a** Private address<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From To **PRESENT**

(If address has changed in the last three years, please provide addresses for the previous three years.)

**1.13 a** Previous address 1<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From To

**1.14 a** Previous address 2<sup>†</sup>

**b** Postcode<sup>†</sup>

**c** Dates resident at this address (mm/yyyy)<sup>†</sup> From To

**1.15** Phone number

➔ I have supplied further information related to this page in Section 6<sup>†</sup> YES ☐ NO ☐

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## Firm identification details

## Section 2

2.01	Name of <i>firm</i> making the application	
2.02	<i>Firm</i> Reference Number (FRN)	
2.03 a	Who should the <i>FCA/PRA</i> contact at the <i>firm</i> in relation to this application?	
b	Position	
c	Telephone	
d	Fax	
e	E-mail	



I have supplied further information  
related to this page in Section 6<sup>†</sup>

YES

☐

NO

☐

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## New arrangements and controlled functions

## Section 3

3.01

Nature of the  
arrangement  
between the  
candidate and the  
applicant.

<i>a</i>	<i>Employee</i>	<input type="checkbox"/>
<hr/>		
<i>b</i>	<i>Group employee</i>	<input type="checkbox"/>
<hr/>		
	Name of group	<div style="background-color: #cccccc; height: 20px; width: 100%;"></div>
<hr/>		
<i>c</i>	Contract for services	<input type="checkbox"/>
<hr/>		
<i>d</i>	<i>Partner</i>	<input type="checkbox"/>
<hr/>		
<i>e</i>	Other	<input type="checkbox"/>
<hr/>		
	Give details	<div style="background-color: #cccccc; height: 20px; width: 100%;"></div>
<hr/>		

Proposed date of appointment

Length of appointment (if applicable)

**3.02** For applications from a single *firm*, please tick the boxes that correspond to the *controlled functions* to be performed. If the *controlled functions* are to be performed for more than one *firm*, please go to question **3.04**

Function	Description of a controlled function	Tick (if applicable)	Effective Date
SIMF 25	Small Insurer Senior Manager	<input type="checkbox"/>	
SIMF 20	Small Insurer Chief Actuary	<input type="checkbox"/>	
SIMF 21	Small Insurer With-profits Actuary	<input type="checkbox"/>	
CF 1	Director	<input type="checkbox"/>	
CF 3	Chief Executive Officer	<input type="checkbox"/>	
CF 5	Director of unincorporated association	<input type="checkbox"/>	
CF 6	Small friendly society function	<input type="checkbox"/>	
CF 10	Compliance Oversight function	<input type="checkbox"/>	
CF 10a	CASS Operational Oversight function	<input type="checkbox"/>	
CF 11	Money Laundering Reporting function	<input type="checkbox"/>	
CF 29	Significant Management function	<input type="checkbox"/>	
CF 30	Customer Function	<input type="checkbox"/>	

**3.03** Job title

**Insurance mediation**

Will the *candidate* be responsible for Insurance mediation at the *firm*? YES ☐ NO ☐

(Note: Yes can only be selected if the individual is applying for a governing function (MIPRU 2.2.2))



I have supplied further information related to this page in Section 6<sup>†</sup> YES ☐ NO ☐

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**3.04 Complete this section only if the application is on behalf of more than one *firm*.**

List all *firms* within the *group* (including the *firm* entered in 2.01) for which the *candidate* requires approval and the requested *controlled function* for that *firm*.<sup>†</sup>

	<b><i>Firm</i> Reference Number</b>	<b>Name of <i>firm</i></b>	<b><i>Controlled</i> <i>function</i></b>	<b>Job title</b>	<b>Effective date</b>
<b>a</b>					
<b>b</b>					
<b>c</b>					
<b>d</b>					
<b>e</b>					



I have supplied further information  
related to this page in Section 6

YES ☐

NO ☐

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## Employment history in the last 5 years

## Section 4

N.B.: ALL gaps must be accounted for

### 4.01 Employment details (1)<sup>†</sup>

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>																		
<b>b</b>	Nature of employment	<table border="0"> <tr> <td><b>a</b></td> <td>Employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>b</b></td> <td>Self-employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>c</b></td> <td>Not employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>d</b></td> <td>Full-time education</td> <td><input type="checkbox"/></td> </tr> </table>				<b>a</b>	Employed	<input type="checkbox"/>	<b>b</b>	Self-employed	<input type="checkbox"/>	<b>c</b>	Not employed	<input type="checkbox"/>	<b>d</b>	Full-time education	<input type="checkbox"/>						
<b>a</b>	Employed	<input type="checkbox"/>																					
<b>b</b>	Self-employed	<input type="checkbox"/>																					
<b>c</b>	Not employed	<input type="checkbox"/>																					
<b>d</b>	Full-time education	<input type="checkbox"/>																					
	If c or d is ticked, please give details	<input type="text"/>																					
<b>c</b>	Name of employer	<input type="text"/>																					
<b>d</b>	Nature of business	<input type="text"/>																					
<b>e</b>	Previous / other names of employer	<input type="text"/>																					
<b>f</b>	Last known address of employer	<input type="text"/>																					
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body and country																			
		<input type="text"/>																					
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?																			
		<input type="text"/>																					
<b>i</b>	Position held	<input type="text"/>																					
<b>j</b>	Responsibilities	<input type="text"/>																					
<b>k</b>	Reason for leaving:	<table border="0"> <tr> <td><b>a</b></td> <td>Resignation</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>b</b></td> <td>Redundancy</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>c</b></td> <td>Retirement</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>d</b></td> <td>Termination/dismissal</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>e</b></td> <td>End of contract</td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>f</b></td> <td>Other</td> <td><input type="checkbox"/></td> </tr> </table>				<b>a</b>	Resignation	<input type="checkbox"/>	<b>b</b>	Redundancy	<input type="checkbox"/>	<b>c</b>	Retirement	<input type="checkbox"/>	<b>d</b>	Termination/dismissal	<input type="checkbox"/>	<b>e</b>	End of contract	<input type="checkbox"/>	<b>f</b>	Other	<input type="checkbox"/>
<b>a</b>	Resignation	<input type="checkbox"/>																					
<b>b</b>	Redundancy	<input type="checkbox"/>																					
<b>c</b>	Retirement	<input type="checkbox"/>																					
<b>d</b>	Termination/dismissal	<input type="checkbox"/>																					
<b>e</b>	End of contract	<input type="checkbox"/>																					
<b>f</b>	Other	<input type="checkbox"/>																					
	Specify	<input type="text"/>																					

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#### 4.02 Employment details (2)<sup>†</sup>

<b>a</b>	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>																		
<b>b</b>	Nature of employment	<table border="0"> <tr> <td><i>a</i></td> <td>Employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>b</i></td> <td>Self-employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>c</i></td> <td>Not employed</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>d</i></td> <td>Full-time education</td> <td><input type="checkbox"/></td> </tr> </table>				<i>a</i>	Employed	<input type="checkbox"/>	<i>b</i>	Self-employed	<input type="checkbox"/>	<i>c</i>	Not employed	<input type="checkbox"/>	<i>d</i>	Full-time education	<input type="checkbox"/>						
<i>a</i>	Employed	<input type="checkbox"/>																					
<i>b</i>	Self-employed	<input type="checkbox"/>																					
<i>c</i>	Not employed	<input type="checkbox"/>																					
<i>d</i>	Full-time education	<input type="checkbox"/>																					
	If c or d is ticked, please give details	<input type="text"/>																					
<b>c</b>	Name of employer	<input type="text"/>																					
<b>d</b>	Nature of business	<input type="text"/>																					
<b>e</b>	Previous / other names of employer	<input type="text"/>																					
<b>f</b>	Last known address of employer	<input type="text"/>																					
<b>g</b>	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body and country																			
				<input type="text"/>																			
<b>h</b>	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?																			
				<input type="text"/>																			
<b>i</b>	Position held	<input type="text"/>																					
<b>j</b>	Responsibilities	<input type="text"/>																					
<b>k</b>	Reason for leaving:	<table border="0"> <tr> <td><i>a</i></td> <td>Resignation</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>b</i></td> <td>Redundancy</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>c</i></td> <td>Retirement</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>d</i></td> <td>Termination/dismissal</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>e</i></td> <td>End of contract</td> <td><input type="checkbox"/></td> </tr> <tr> <td><i>f</i></td> <td>Other</td> <td><input type="checkbox"/></td> </tr> </table>				<i>a</i>	Resignation	<input type="checkbox"/>	<i>b</i>	Redundancy	<input type="checkbox"/>	<i>c</i>	Retirement	<input type="checkbox"/>	<i>d</i>	Termination/dismissal	<input type="checkbox"/>	<i>e</i>	End of contract	<input type="checkbox"/>	<i>f</i>	Other	<input type="checkbox"/>
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<i>f</i>	Other	<input type="checkbox"/>																					
	Specify	<input type="text"/>																					



I have supplied further information related to this page in Section 6<sup>†</sup>

YES ☐

NO ☐

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## Fitness and Propriety

## Section 5

### 5.01 Criminal Proceedings

When answering the questions in this section the *candidate* should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the *candidate* is subject to the law of England and Wales, the *candidate* must disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if the *candidate* is subject to the law of Scotland or Northern Ireland, the *candidate* must disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

- 5.01.1a** Has the *candidate* **ever** been convicted of any criminal offence (whether spent or not and whether or not in the *United Kingdom*):
- i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or
  - ii. relating to *companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing*?

YES ☐ NO ☐

- b** Is the *candidate* currently the subject of any criminal proceedings, whether in the UK or elsewhere?

YES ☐ NO ☐

- c** Has the *candidate* **ever** been given a caution in relation to any criminal offence?

YES ☐ NO ☐

- 5.01.2** Has the *candidate* any convictions for any offences other than those in 5.01.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?

YES ☐ NO ☐

- 5.01.3** Is the *candidate* the subject of any ongoing criminal investigation?

YES ☐ NO ☐

- 5.01.4** Has the *candidate* been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?

YES ☐ NO ☐

In answering question 5.01.4, you should include all matters even where the *candidate* was not the subject of the investigation.



I have supplied further information related to this page in Section 6<sup>†</sup>

YES ☐ NO ☐

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**5.01.5** Has any *firm* at which the *candidate* holds or has held a position of influence ever:

(Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)

<b>a</b>	Been convicted of any criminal offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Been the subject of any criminal proceeding which has not resulted in a conviction?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

In answering question 5.01.5, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.01.5d, even where the *firm* was not the subject of the investigation. However, *firms* are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.



I have supplied further information related to this page in Section 6<sup>†</sup> YES ☐ NO ☐

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## 5.02 Civil Proceedings

5.02.1	<p>Has the <i>candidate</i>, <b>ever</b> been the subject of a judgement debt or award against the <i>candidate</i>?</p> <p>Please give a full explanation of the events in questions.</p> <p><i>Candidate</i> should include all County Court Judgement(s) (CCJs) made against the <i>candidate</i>, whether satisfied or not); and</p> <p>i) the sum and date of all judgements debts, awards or CCJs (whether satisfied or not); and</p> <p>ii) the total number of all judgment debts, awards or CCJs ordered.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
5.02.2	<p>Has the <i>candidate</i> ever been party to any civil proceedings which resulted in any order against the <i>candidate</i> (other than a judgement debt or award referred to in 5.02.1 above)? (<i>candidate</i> should include, for example, injunctions and employment tribunal proceedings.)</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
5.02.3	<p>Is the <i>candidate</i> aware of:</p>	
a	<p>Any proceedings that have begun, or anyone's intention to begin proceedings against the <i>candidate</i>, for a CCJ or another judgement debt?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
b	<p>More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
c	<p>Anybody's intention to claim more than £1,000 of CCJs or judgement debts in total from the <i>candidate</i>?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
5.02.4	<p>Does the <i>candidate</i> have any <b>current</b> judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
5.02.5	<p>Has the <i>candidate</i> <b>ever</b> failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>



I have supplied further information related to this page in Section 6<sup>†</sup>

YES ☐ NO ☐

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**5.02.6** Has the *candidate* ever:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Filed for the <i>candidate</i> 's own bankruptcy or had a bankruptcy petition served on the <i>candidate</i> ?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Been adjudged bankrupt?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>d</b> | Made any arrangements with the <i>candidate</i> 's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?   | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>e</b> | Had assets sequestrated?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>f</b> | Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the <i>candidate</i> or result in any kind of agreement with the <i>candidate</i> ? | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

**5.02.7** Does the *candidate*, or any undertaking under their management, have any outstanding financial obligations arising from *regulated activities*, which have been carried out in the past? (whether or not in the UK or overseas)?

YES ☐ NO ☐

**5.02.8** Has the *candidate* ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

YES ☐ NO ☐

**5.02.9** Is the *candidate* currently:

- |          |  |                              |                             |
|----------|--|------------------------------|-----------------------------|
| <b>a</b> | Party to any civil proceedings? (including those covered in 5.02.7 above)  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | Aware of anybody's intention to begin civil proceedings against the <i>candidate</i> ? ( <i>candidate</i> should include any ongoing disputes whether or not such dispute is likely to result in any order against the <i>candidate</i> .) | YES <input type="checkbox"/> | NO <input type="checkbox"/> |

**5.02.10** Has any *firm* at which the *candidate* holds or has held a position of influence ever been:

- |          |   |                              |                             |
|----------|---|------------------------------|-----------------------------|
| <b>a</b> | Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?  | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>b</b> | The subject of a judgement debt or award against the <i>firm</i> ? ( <i>candidate</i> should include all CCJs) made against the <i>firm</i> , whether satisfied or not. | YES <input type="checkbox"/> | NO <input type="checkbox"/> |
| <b>c</b> | Party to any other civil proceedings which resulted in an order against the <i>firm</i> other than in relation to matters covered in 5.02.10a and 5.02.10b above?       | YES <input type="checkbox"/> | NO <input type="checkbox"/> |



I have supplied further information related to this page in Section 6<sup>†</sup> YES ☐ NO ☐

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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**5.02.11** Is any *firm* at which the *candidate* currently holds or has held, within the last 12 months from the date of the submission of this form, a position of influence currently:

**a** a party to civil proceedings?

YES ☐ NO ☐

**b** aware of anyone's intention to begin civil proceedings against them?

YES ☐ NO ☐

**5.02.12** Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES ☐ NO ☐



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YES ☐ NO ☐

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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### 5.03 Business and Employment Matters

<b>5.03.1</b>	Has the <i>candidate</i> ever been:	
<b>a</b>	Disqualified from acting as a director or similar position (one where the <i>candidate</i> acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>b</b>	The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the <i>candidate</i> )?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>c</b>	The subject of any investigation which has led or might lead to disciplinary proceedings?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>d</b>	Notified of any potential proceedings of a disciplinary nature against the <i>candidate</i> ?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>e</b>	The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised <i>firm</i> , as well as investigation by a regulatory body, at any time.)	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03.2</b>	Has the <i>candidate</i> ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03.3</b>	Does the <i>candidate</i> have any material written complaints made against the <i>candidate</i> by the <i>candidate</i> 's clients or former clients in the last five years which the <i>candidate</i> has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>5.03.4</b>	Has the <i>candidate</i> ever participated in an arbitration board?	YES <input type="checkbox"/> NO <input type="checkbox"/>



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## 5.04 Regulatory Matters

**5.04.1** In relation to activities regulated by the *FCA* and/or *PRA* or any other regulatory body (see note section 5), has:

- The *candidate*, or
- Any company, partnership or unincorporated associate of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, during the *candidate's* association with the entity and for a period of three years after the *candidate* ceased to be associated with it, ever –

<b>a</b>	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>b</b>	Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>c</b>	Received a warning (whether public or private) that such disciplinary or interventional action may be taken against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>d</b>	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the <i>candidate</i> or the <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>e</b>	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the <i>firm</i> or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>f</b>	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>g</b>	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>h</b>	Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>i</b>	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>j</b>	Provided payment services or distributed or redeemed e-money on behalf of a regulated <i>firm</i> or itself under any contractual agreement where that agreement was terminated by the regulated <i>firm</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>k</b>	Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).	YES <input type="checkbox"/>	NO <input type="checkbox"/>
<b>l</b>	Been on a board of directors in an operating undertaking that has not been granted a release from liability?	YES <input type="checkbox"/>	NO <input type="checkbox"/>



I have supplied further information related to this page in Section 6<sup>†</sup> YES ☐ NO ☐

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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**5.04.2**

In relation to activities regulated by the *FCA/PRA* or any other regulatory body, has the *candidate* or any *firm* at which the *candidate* holds or has held a position of influence at any time during and within one year of the *candidate's* association with the *firm* ever:

- a** Been found to have carried on activities for which authorisation or registration by the *FCA/PRA* or any other regulatory body is required without the requisite authorisations?
- b** Been investigated for the possible carrying on of activities requiring authorisation or registration by the *FCA/PRA* or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?
- c** Been found to have performed a *controlled function* (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval?
- d** Been investigated for the possible performance of a *controlled function* (or an equivalent function requiring approval by the *FCA/PRA* or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?
- e** Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the *FCA/PRA* of the identity of a person acting in a position of influence over its electronic money or payment services business?
- f** Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?

YES ☐ NO ☐

YES ☐ NO ☐

YES ☐ NO ☐

YES ☐ NO ☐

YES ☐ NO ☐

YES ☐ NO ☐



I have supplied further information  
related to this page in Section 6<sup>†</sup>

YES ☐ NO ☐

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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## 5.05 Other Matters

**5.05.1** Is the *candidate*, in the role to which the application relates, aware of:

any business interests, employment obligations, or any other circumstance which may conflict with the performance of the *controlled functions* for which approval is now being sought?

YES ☐ NO ☐

Does the *candidate* have, or know of, any:

**5.05.2**

**a** Qualifying ownership<sup>2</sup> or any other form of substantial influence in the *firm* or *group*, or any other companies

If yes, please provide:

1. Company name and registration number
2. Nature and scope of the operations
3. The registered office of the company
4. Possession in percentage

YES ☐ NO ☐

**b** Close relatives with ownership shares in the *firm* or *group*

YES ☐ NO ☐

**c** Close relatives with any other financial relations in the *firm* or *group*

YES ☐ NO ☐

**d** Any other commitments that may give rise to a conflict of interest

YES ☐ NO ☐

If 'yes' to any of the above, please provide explanations of the circumstances and how the individual intends to mitigate this

**5.05.3**

Are the *candidate* or the *firm* aware of any other information relevant to this notification that we might reasonably expect from the *candidate*?

YES ☐ NO ☐

**5.05.4**

Has the *firm* undertaken a criminal records check in accordance with the requirements of the PRA?

Please note that a *firm* is required to request the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 (Certificates of Criminal records, etc) and related subordinated legislation of the UK or any part of the UK before making the application. (PRA Rulebook: Non-Solvency II Firms – Fitness and Propriety)

YES ☐ NO ☐

If yes, please enter date the check was undertaken

Date (dd/mm/yy):

Note: if date is more than 3 months prior to current date or 3 months prior to date of application submission or the check has not been undertaken, please provide details why in section 6.

<sup>2</sup> Qualifying ownership is direct or indirect holding in an undertaking which represent 10% or more of the capital or of the voting rights or which makes it possible to exercise a significant influence over the management of that undertaking.

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the PRA Rulebook Long Form A – small non-directive insurers only: Application to perform controlled functions



I have supplied further information  
related to this page in Section 6<sup>†</sup>

YES

☐

NO

☐

---

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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## Declarations and signatures

## Section 7

### Declaration of *Candidate*

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). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers (including but not limited to taking disciplinary/ Enforcement action). You 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* are reasonably likely to consider the information material).

The *candidate* confirms that the information provided in this application is accurate and complete to the best of his/her knowledge and that he or she has read the notes to this form. The *candidate* will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

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

The *candidate* authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The *candidate* acknowledges and agrees that these checks may include credit reference checks or information pertaining to fitness and propriety, and is aware that the results of these enquiries may be disclosed to the employer/Applicant.

Where applicable, the *candidate* agrees that he or she may be required to apply for a search to be made as to whether any criminal records are held in relation to him or her and to obtain a certificate (where such certificate can be obtained) and to disclose the result of that search to the *firm* submitting this application.

The *candidate* agrees that the *FCA* and/or *PRA* may use the address specified for the *candidate* in this form as the proper address for service in the United Kingdom (as defined in the Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420)) to serve any notices on the *candidate*.

For the purposes 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*.

The *candidate* confirms that he or she understands the regulatory responsibilities of the proposed role as set out in the rules of conduct in the *FCA's COCON* and/or the *PRA Rulebook: Non-Solvency II Firms – Conduct Standards*.

The *candidate* is aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

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 Applicant and/or the *candidate*.

Tick here to confirm you have read and understood this declaration: ☐

**7.01** Name of *candidate* / *approved person* (where applicable)

**7.02** Signature

Date

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## Declaration of *Firm*

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). Even if you believe or know that information has been provided to the *FCA* and/or *PRA* before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the *FCA* and/or *PRA* will itself identify such information during the assessment of this application.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the *candidate* and/or lead to the *FCA* and/or *PRA* exercising their powers under FSMA (including but not limited to taking disciplinary/ Enforcement action). You 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* are reasonably likely to consider the information material).

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 Applicant and/or the *candidate*.

The Applicant confirms that the information provided in this application is accurate and complete to the best of its knowledge and that it has read the notes to this form. The Applicant will notify the *FCA* and/or *PRA* immediately if there is a material change to the information provided.

The Applicant authorises the *FCA* and/or *PRA* to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

Where applicable, the Applicant confirms that it has requested the fullest information that it is lawfully able to obtain about the *candidate* under Part V of the Police Act 1997 and any related subordinate legislation of the *UK* or any part of the *UK*, and (where available) has given due consideration to that information in determining that *candidate* to be fit and proper.

In making this application the Applicant believes on the basis of due and diligent enquiry and, where applicable, by reference to the criteria in *FIT* in the *FCA handbook* and/or the Fitness and Propriety sections in the *PRA Rulebook* that the *candidate* is a fit and proper person to perform the controlled function(s) listed in section 3.

The Applicant also believes, on the basis of due and diligent enquiry, that the *candidate* is competent to fulfil the duties required in the performance of such function(s).

The Applicant confirms that it has complied with its obligations under Equality and Diversity legislation when selecting the *candidate* to perform the function(s) applied for.

The Applicant confirms that it has made the *candidate* aware of their regulatory responsibilities as set out in the rules of conduct in the *FCA's COCON* and/or the *PRA Rulebook: Non-Solvency II Firms – Conduct Standards*.

The Applicant confirms that the Scope of Responsibilities submitted with this form accurately reflects the aspects of the affairs of the *firm* which it is intended that the *candidate* will be responsible for managing.

The Applicant is aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

In signing this form on behalf of the Applicant:

**I confirm that the information in this form is accurate and complete to the best of my knowledge and belief and that I have read the notes to this form.**

I confirm that I have authority to make this application and provide the declarations given by the Applicant, and sign this form, on behalf of the *firm* identified in section 2.01 and/or each *firm* identified in section 3.04. I also confirm that a copy of this form, as submitted to the *FCA* and/or *PRA*, will be sent to each of those firms at the same time as submitting the form to the *FCA* and/or *PRA*.

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7.03	Name of the <i>firm</i> submitting the application <sup>†</sup>	
7.04	Name of <i>person</i> signing on behalf of the <i>firm</i> <sup>†</sup>	
7.05	Job title <sup>†</sup>	
7.06	Signature	
	Date <sup>†</sup>	

<sup>†</sup> The above question(s) should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 or in the Non-Solvency II Firms - Senior Insurance Managers Regime - Applications and Notifications Part of the *PRA* Rulebook  
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