

MIFIDPRU 1 Annex 5R

Application for a permission under MIFIDPRU for which there is no dedicated application form

NOTE: This application form must not be used to apply for or vary a permission where MIFIDPRU contains a dedicated application form for that permission. In that case, the dedicated form must be used instead. This form is relevant only to MIFIDPRU permissions for which no other application form is provided.

Name of Senior Manager responsible for this application:

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1. Please confirm which of the following the applicant is:

- a. MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking
- b. MIFIDPRU investment firm that is a consolidating UK parent entity
- c. MIFIDPRU investment firm that is a GCT parent undertaking
- d. Consolidating UK parent entity (other than a MIFIDPRU investment firm)
- e. GCT parent undertaking (other than a MIFIDPRU investment firm)

2. If this application is being made on behalf of other entities within the same group, please identify those other entities below:

Entity name	FRN (if applicable)

3. Please identify below the rule in MIFIDPRU that relates to the permission you are requesting. Where the permission relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard and the MIFIDPRU rule that applies it.

MIFIDPRU rule	
UK CRR provision (if applicable)	
Binding technical standard provision (if applicable)	

4. Are you applying for the variation of an existing permission that has previously been granted under MIFIDPRU?

Yes

No

5. If you have answered yes to question 4, please provide the reference number of the previous permission:

Permission reference number	
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6. Is your application based on a precedent published written permission notice?

Yes

No

7. If you have answered yes to question 6, please provide the reference number of the precedent permission and an explanation of why you consider the precedent to be relevant to your application.

Permission reference number	
Relevance of the precedent permission to this application	

8. Please explain why you are applying for the MIFIDPRU permission (or a variation of the existing MIFIDPRU permission). Please provide details of how the permission will affect your business, including the activities to which it is relevant and the types of clients or counterparties who may be affected.

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9. Please explain how any requirements in the MIFIDPRU rule and, if applicable, the UK CRR provision or binding technical standard provision you identified in question 3 above are met.

Where the relevant provisions contain multiple requirements, you must explain how each separate requirement is met. This includes any requirements that may be applied by cross-references to other MIFIDPRU rules or provisions of the UK CRR. If you attach supporting documents to support your application, please tick the box below.

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Supporting document(s) attached

MIFIDPRU 1 Annex 6R

Notification under MIFIDPRU for which there is no dedicated notification form

NOTE: This form must not be used to:

- Submit a notification where MIFIDPRU contains a separate dedicated form for that notification. In that case, the dedicated form must be used instead; or
- Make a notification for purposes that are not connected with MIFIDPRU. A firm that needs to make a notification for other purposes should refer to the provisions in SUP 15.

This form is relevant only to notifications under MIFIDPRU for which no other notification form is provided.

Name of Senior Manager responsible for this notification:

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1. Please confirm which of the following is making this notification:

- a. MIFIDPRU investment firm that is not a consolidating UK parent entity or a GCT parent undertaking
- b. MIFIDPRU investment firm that is a consolidating UK parent entity
- c. MIFIDPRU investment firm that is a GCT parent undertaking
- d. Consolidating UK parent entity (other than a MIFIDPRU investment firm)
- e. GCT parent undertaking (other than a MIFIDPRU investment firm)

2. If this application is being made on behalf of other entities within the same group, please identify those other entities below:

Entity name	FRN (if applicable)

3. Please identify below the rule in MIFIDPRU that relates to the notification you are making. Where the notification relates to a provision of the UK CRR (or a binding technical standard originally made under the UK CRR) that is applied by a rule in MIFIDPRU, please identify the UK CRR provision or provision of the binding technical standard and the MIFIDPRU rule that applies it.

MIFIDPRU rule	
UK CRR provision (if applicable)	

Binding technical standard provision (if applicable)	

4. Please provide details of the matter to which this notification relates.

Where a MIFIDPRU rule, UK CRR provision or binding technical standard provision that you have identified in question 3 requires particular information to be provided in the notification, you must include that information.

If you attach supporting documents relating to this notification, please tick the box below.

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Supporting document(s) attached