

MIFIDPRU 2 Annex 8R

Notification under MIFIDPRU 2.4.20R of membership of an investment firm group and/or a financial conglomerate

Under MIFIDPRU 2.4.20R(3), a firm (X) is not required to submit this form if another member of the investment firm group or financial conglomerate (Y) has notified the FCA of any relevant changes and the information provided by Y includes information about X and all other information required under MIFIDPRU 2.4.20R.

1. Please confirm which of the following apply:

a. The firm has become part of an investment firm group	<input type="checkbox"/>
b. The firm has ceased to be part of an investment firm group	<input type="checkbox"/>
c. There has been a change in the composition of the investment firm group of which the firm is a part (other than a change under (a) or (b))	<input type="checkbox"/>
d. The firm has become part of a financial conglomerate	<input type="checkbox"/>
e. The firm has ceased to be part of a financial conglomerate	<input type="checkbox"/>

If you selected:

- option (a), please complete questions 2 and 3 and questions 6 and 7
- option (b), please complete questions 4 to 6
- option (c), please complete question 6 and 7
- option (d), please complete questions 8 to 13
- option (e), please complete questions 14 to 16

Where you have selected multiple options, you must complete all questions that apply to each of those options.

Firms becoming part of an investment firm group

2. Please confirm if the firm is becoming part of an existing investment firm group or if a new investment firm group is being created.
- Existing investment firm group
- New investment firm group
3. If you selected "Existing investment firm group" in response to question 2, please provide the information below. The group reference number will have been notified to you after you originally notified of us the creation of the investment firm group.

Name of existing investment firm group	
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Group reference number (GRN)	
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If you selected "New investment firm group" in response to question 2, please provide the following information:

Specify a name for the investment firm group (We suggest the name of the UK parent entity, plus the word "group")	
Date on which the investment firm group was/will be created	

Firms ceasing to be part of an investment firm group

4. Please provide the following information in relation to the investment firm group of which the firm is ceasing to be a part.

Name of existing investment firm group	
Group reference number (GRN)	

5. Please confirm whether the investment firm group you have identified in question 4 will continue to exist after the firm ceases to be part of the investment firm group.

Investment firm group will continue to exist

Investment firm group will cease to exist

Information on membership of the investment firm group

6. Please provide the information in the following tables in relation to the investment firm group.

New entities joining the investment firm group

Note: For a new investment firm group, this should include all entities in that investment firm group

FRN (if applicable)	Entity name	Select one of the following: <i>- UK parent entity - subsidiary - connected undertaking</i>	Select one of the following: <i>- MIFIDPRU investment firm - PRA designated investment firm - credit institution - other financial institution - ancillary services undertaking - tied agent</i>	Location <i>(principal place of business and, separately, place of incorporation, if different)</i>

Entities that were already part of the investment firm group and will continue to form part of the investment firm group following this notification

FRN (if applicable)	Entity name	Select one of the following: <i>- UK parent entity - subsidiary - connected undertaking</i>	Select one of the following: <i>- MIFIDPRU investment firm - PRA designated investment firm - credit institution - other financial institution - ancillary services undertaking - tied agent</i>	Location <i>(principal place of business and, separately, place of incorporation, if different)</i>

Entities ceasing to be part of the investment firm group				
<i>Note: If an investment firm group is ceasing to exist, this should include all entities in that investment firm group</i>				
FRN (if applicable)	Entity name	Select one of the following: - Former UK parent entity - Former subsidiary - Former connected undertaking	Select one of the following: - MIFIDPRU investment firm - PRA designated investment firm - credit institution - other financial institution - ancillary services undertaking - tied agent	Location (principal place of business and, separately, place of incorporation, if different)

7. Where the investment firm group will continue to exist following this notification, please attach a group structure chart showing the position of each entity in that investment firm group.

Attached

Firms becoming part of a financial conglomerate

8. Please confirm if the firm is becoming part of an existing financial conglomerate or if a new financial conglomerate is being created.

Existing financial conglomerate

New financial conglomerate

9. If you selected "Existing financial conglomerate" in response to question 8, please provide the group reference number for that financial conglomerate.

Group reference number (GRN)	
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10. If you selected "Existing financial conglomerate" in response to question 8, please confirm whether the form in GENPRU 3 Annex 3G has previously been provided to the FCA in relation to that financial conglomerate:

Yes

No

11. If you selected "No" in response to question 10, please complete the form in GENPRU 3 Annex 3G in relation to the financial conglomerate and attach it to this notification.

Attached

12. If you selected "New financial conglomerate" in response to question 8, please complete the form in GENPRU 3 Annex 3G in relation to the financial conglomerate and attach it to this notification.

Attached

13. Please provide a structure chart showing each entity that will be part of the financial conglomerate following this notification.

Attached

Firms ceasing to part of a financial conglomerate

14. Please provide the group reference number of the financial conglomerate of which the firm is ceasing to be a part.

Group reference number (GRN)	
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15. Please confirm whether the financial conglomerate you have identified in question 14 will continue to exist after the firm ceases to be part of the financial conglomerate.

Financial conglomerate will continue to exist

Financial conglomerate will cease to exist

16. If you selected "Financial conglomerate will continue to exist", please provide a structure chart showing each entity that will be part of the financial conglomerate following this notification.

Attached