

**PRA RULEBOOK: CRR FIRMS, NON CRR FIRMS, SOLVENCY II FIRMS, NON SOLVENCY II FIRMS: FORMS AMENDMENT INSTRUMENT 2019**

**Powers exercised**

- A. The Prudential Regulation Authority (“PRA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137G (The PRA’s general rules);
  - (2) section 137T (General supplementary powers);
  - (3) section 179 (Requirements for section 178 notices); and
  - (4) section 191E (Requirements for notices under section 191D).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

**Pre-conditions to making**

- C. In accordance with section 138J of the Act (Consultation by the PRA), the PRA consulted the Financial Conduct Authority. After consulting, the PRA published a draft of proposed rules and had regard to representations made.

**PRA Rulebook: CRR Firms, Non CRR Firms, Solvency II Firms, Non Solvency II Firms: Forms Amendment Instrument 2018**

- D. The PRA makes the rules in the Annexes A to D to this instrument.

Part	Annex
Insurance Special Purpose Vehicles	A
Passporting	B
Change in Control	C
Notifications	D

**Commencement**

- E. This instrument comes into force on 19 January 2019.

**Citation**

- F. This instrument may be cited as the **PRA Rulebook: CRR Firms, Non CRR Firms, Solvency II Firms, Non Solvency II Firms: Forms Amendment Instrument 2019**

**By order of the Prudential Regulation Committee**

18 December 2018

## Annex A

### Amendments to the Insurance Special Purpose Vehicles Part

In this Annex new text is underlined and deleted text is struck through.

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#### **6 FORMS**

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6.1 The *MISPV new risk assumption notification form* can be found ~~here~~ [here](#).

6.2 The *group of cells notification form* can be found ~~here~~ [here](#).

## Annex B

### Amendments to the Passporting Part

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#### **10 FORMS**

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- 10.1 The Branch Notification Form can be found ~~here~~ [here](#).
- 10.2 The Cross Border Services Notification Form can be found ~~here~~ [here](#).
- 10.3 The Declaration can be found ~~here~~ [here](#).

## Annex C

### Amendments to the Change in Control Part

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#### 1 APPLICATION AND DEFINITIONS

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1.2 In this Part, the following definitions shall apply:

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*Annual Controllers Report*

means the report relevant form referred to in Chapter 6.6 in the form approved by the PRA and made available on the PRA's website.

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*Controller's Form*

means the relevant form ~~referred to in Chapter 6.1 to 6.5~~ approved by the PRA and made available on the PRA's website.

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#### 2 OBLIGATIONS ON CONTROLLERS AND PROPOSED CONTROLLERS

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2.1 The PRA directs that ~~a person submitting a section 178 notice~~ submitted to the PRA in accordance with section 178(1) of FSMA must ~~do so using the relevant Controller's Form~~ contain the information and be accompanied by such documents as are required by the Controller's Form approved for the relevant application.

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#### 5 ANNUAL CONTROLLERS REPORT

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5.1 A firm must submit (or procure that another firm in its group submits) to the PRA PRA, by electronic means, a completed written Annual Controllers Report ~~which contains the information specified in the form referred to at 6.6,~~ within four months of the firm's accounting reference date.

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#### 6 FORMS

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6.1 ~~The Controllers Form to be used by a limited company or limited liability partnership can be found here.~~ [Deleted.]

6.2 ~~The Controllers Form to be used by a partnership is can be found here.~~ [Deleted.]

6.3 ~~The Controllers Form to be used by an individual (other than in that individual's capacity as a trustee, settler or beneficiary of a trust) can be found here.~~ [Deleted.]

6.4 ~~The Controllers Form to be used by a person in their capacity as a trustee, settler or beneficiary of a trust can be found here.~~ [Deleted.]

- 6.5 ~~The *Controllers Form* to be used by a *person* in their capacity as an *investment manager* can be found here.~~[\[Deleted.\]](#)
- 6.6 ~~The *Annual Controllers Report* can be found here.~~[\[Deleted.\]](#)

**Annex D**

**Amendments to the Notifications Part**

In this Annex new text is underlined and deleted text is struck through.

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**10 FORMS**

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10.2 The Standing Data Form can be found ~~here~~ [here](#).

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