

**PRA RULEBOOK: CRR FIRMS: NON-CRR FIRMS: SOLVENCY II FIRMS: NON-SOLVENCY II FIRMS: SENIOR MANAGERS REGIME – APPLICATIONS AND NOTIFICATIONS (AMENDMENT) INSTRUMENT 2020**

**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 60 (Applications for Approval);
  - (2) Section 62A (Changes to responsibilities of senior managers);
  - (3) Section 137G (The PRA’s general rules); and
  - (4) Section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instruments) 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: Senior Managers Regime – Applications and Notifications (Amendment) Instrument 2020**

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

Part	Annex
Senior Managers Regime – Applications and Notifications	A
Insurance – Senior Managers Regime – Applications and Notifications	B
Large Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications	C
Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications	D

**Commencement**

- E. This instrument comes into force on 25 October 2020

**Citation**

- F. This instrument may be cited as the PRA Rulebook: CRR Firms: Non-CRR Firms: Solvency II Firms: Non-Solvency II Firms: Senior Managers Regime – Applications and Notifications (Amendment) Instrument 2020.

**By order of the Prudential Regulation Committee**

2 September 2020

## Annex A

### Amendments to Senior Managers Regime – Applications and Notifications Part

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## **2 APPLICATION TO PERFORM A PRA SENIOR MANAGEMENT FUNCTION**

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2.7

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(2) A *statement of responsibilities* must be in the form set out [here](#)~~here~~.

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## **8 FORMS**

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8.1 (1) Form A (long form) may be found [here](#)~~here~~.

(2) Form A (shortened form) may be found [here](#)~~here~~.

(3) Form B may be found [here](#)~~here~~.

(4) Form C may be found [here](#)~~here~~.

(5) Form D may be found [here](#)~~here~~.

(6) Form E may be found [here](#)~~here~~.

**Annex B****Amendments to Insurance – Senior Managers Regime – Applications and Notifications Part**

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

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**7 FORMS**

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## 7.1

- (1) Form A (long form) may be found [here](#)~~here~~.
- (2) Form A (shortened form) may be found [here](#)~~here~~.
- (3) Form B may be found [here](#)~~here~~.
- (4) Form C may be found [here](#)~~here~~.
- (5) Form D may be found [here](#)~~here~~.
- (6) Form E may be found [here](#)~~here~~.
- (7) The *statement of responsibilities form* may be found [here](#)~~here~~.

**Annex C****Amendments to Large Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications Part**

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

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**7 FORMS**

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## 7.1

- (1) Form A (long form) may be found [here](#)~~here~~.
- (2) Form A (shortened form) may be found [here](#)~~here~~.
- (3) Form B may be found [here](#)~~here~~.
- (4) Form C may be found [here](#)~~here~~.
- (5) Form D may be found [here](#)~~here~~.
- (6) Form E may be found [here](#)~~here~~.
- (7) The *statement of responsibilities form* may be found [here](#)~~here~~.

## Annex D

**Amendments to Non-Solvency II Firms – Senior Managers Regime – Applications and Notifications Part**

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

**7 FORMS**

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## 7.1

- (1) Form A (long form) may be found [here](#)~~here~~.
- (2) Form A (shortened form) may be found [here](#)~~here~~.
- (3) Form B may be found [here](#)~~here~~.
- (4) Form C may be found [here](#)~~here~~.
- (5) Form D may be found [here](#)~~here~~.
- (6) Form E may be found [here](#)~~here~~.
- (7) The *statement of responsibilities form* may be found [here](#)~~here~~.