

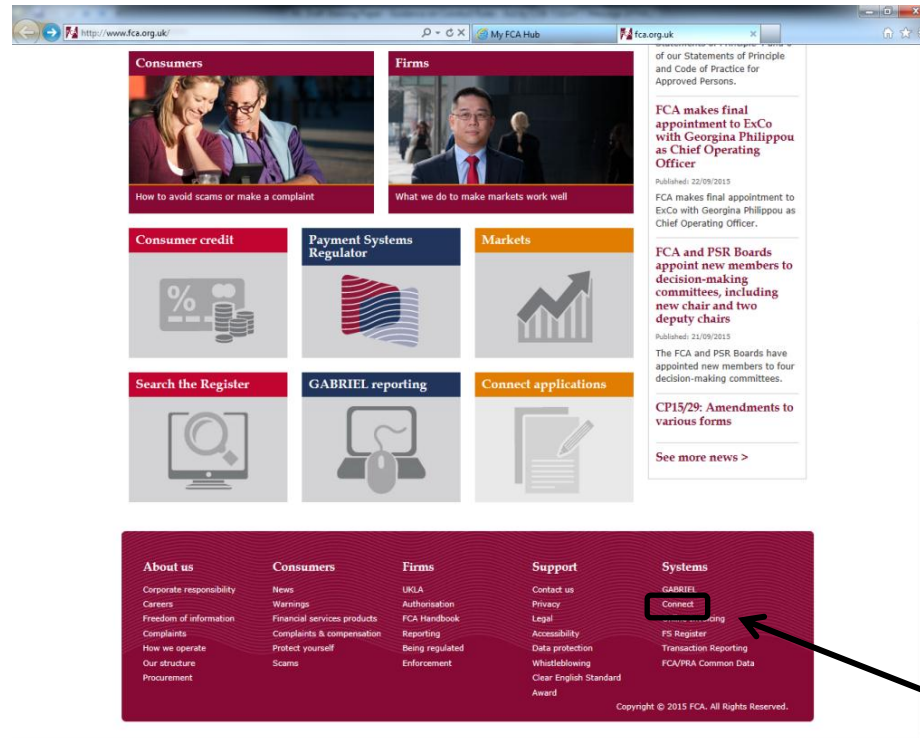


# Electronic submission of Grandfathering and Statements of Responsibilities

## Connect demonstration for Credit Unions

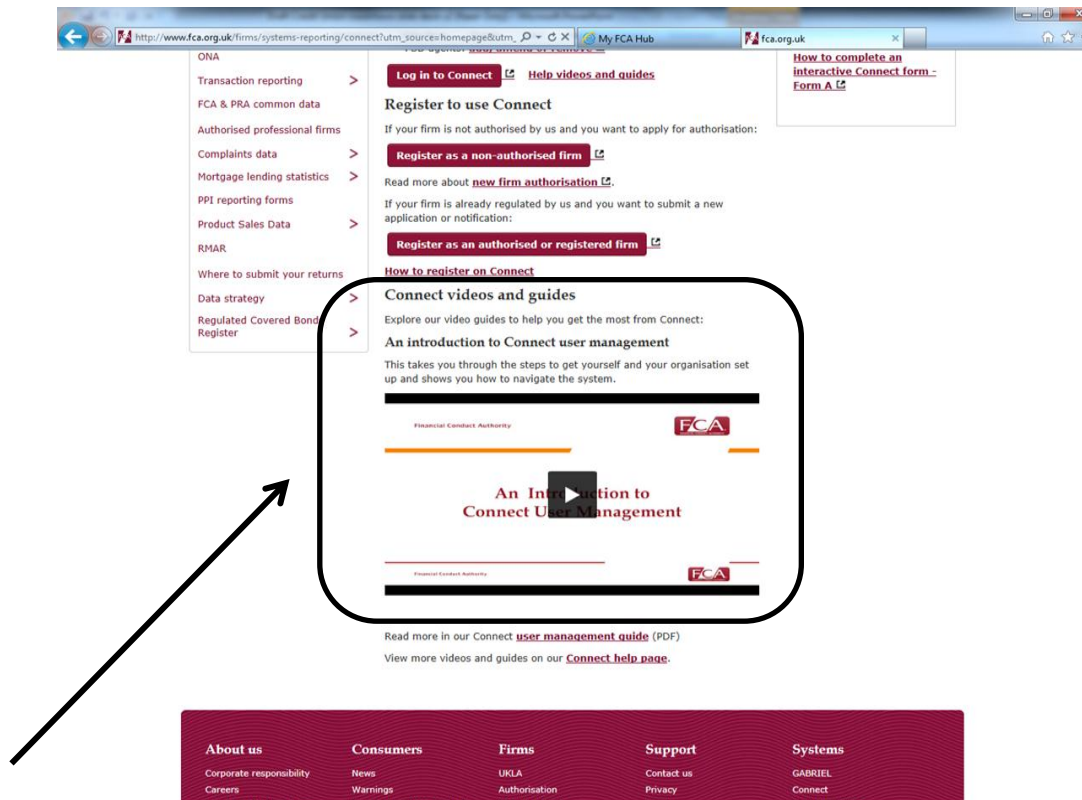


# Registering for Connect



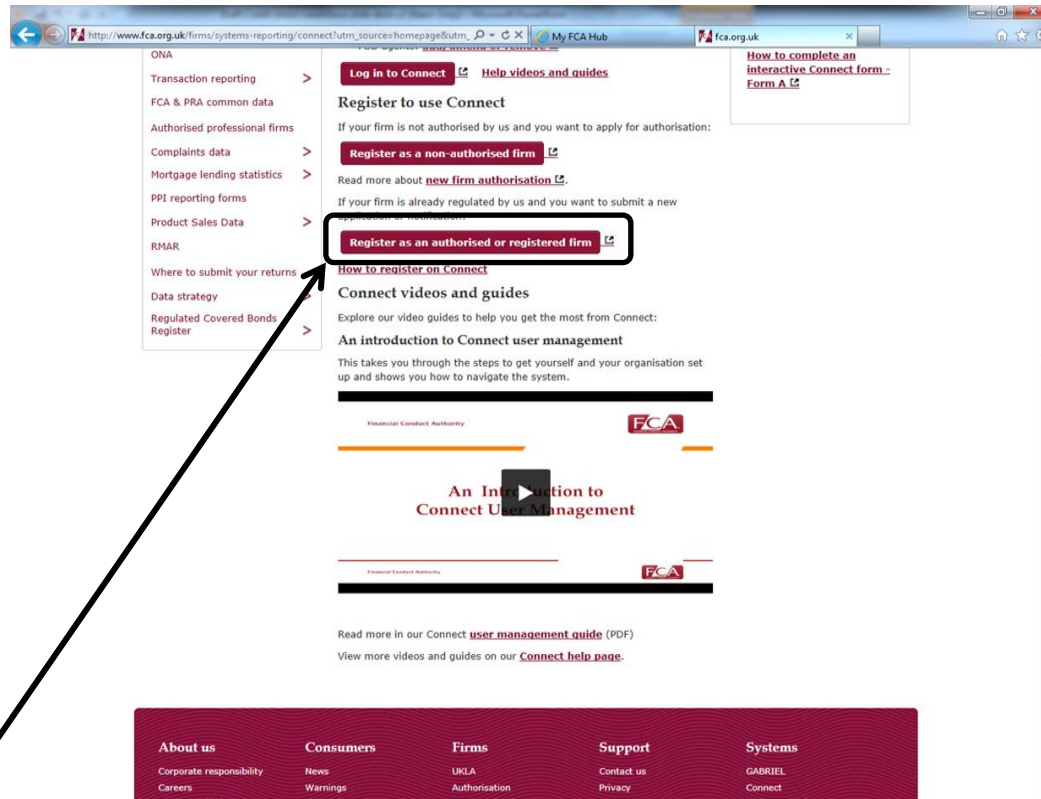
There is a link to the FCA's Connect Pages on the home page of the FCA website, [www.fca.org.uk](http://www.fca.org.uk) . Click on 'Connect' under 'Systems' to navigate to the dedicated Connect pages.

# Registering for Connect



On the Connect Pages, there is a short video that will demonstrate how to register for Connect.

# Registering for Connect



When you're ready, click on 'Register as an authorised or registered firm' to get access to Connect.

# New Firm Registration page

https://connect.fca.org.uk/firms/shpo\_registerpage1

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Connect Firm Registration

Please indicate which of the following applies for the firm you wish to register:

- You hold a Controlled Function (CF) 1, 3-11, 28, 29
- You do not hold a Controlled Function (CF) 1, 3-11, 28, 29 but have a record of the Registration Key from your application for authorisation
- None of the above

Continue

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To register the firm, click the 'You hold a Controlled Function' button, and then press 'Continue'.

# New Firm Registration page

**Connect Firm Registration**

**Connect registration process:**  
Step 1: We verify your identity against our records.  
Step 2: We ask you to select the firm you wish to register. You then enter the details of the person you wish to nominate as the Principal User for the selected firm.  
Step 3: We send an email to the person nominated as Principal User asking them to activate their account.

For security reasons we first authenticate your information against our records. This stage must be carried out by a representative from your firm who has the correct level of authority. Only Approved Persons with Controlled Functions 1, 3-11, 28 or 29 can complete this first stage of the process. If you encounter any problems, please contact the Customer Contact Centre on 0845 606 9966.

**Individual Details**

**This field is required**

Individual Reference Number (IRN)

Date of Birth

NI Number or Passport No.

First Name(s)

Surname

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Then input your details and press 'Continue' to complete the registration. You will then be sent an activation email.

# Logging into Connect

The screenshot shows the FCA Connect page. The left sidebar contains a navigation menu with 'Systems and reporting' expanded. The main content area is titled 'Connect' and includes a 'Log in to Connect' button highlighted with a red box. An arrow points from the 'Transaction reporting' link in the sidebar to this button. The page also features a 'Related links' section on the right and a 'Register to use Connect' section below the login button.

Click the 'Log in to Connect' button on the Connect Page to get to the Log in page.

# Logging into Connect

https://connect.fca.org.uk/firms/aupto\_sitelogin

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BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY

### Connect Login

**Login**

Login to your Connect [Need help?](#)

Email

Password

[Forgot Your Password?](#) | [Register to Authorise a New Firm](#)

**Important Notices**

Senior Managers Regime – UK Relevant Authorised Persons only  
The electronic Grandfathering Notification Form (Form K) is now available for UK Relevant Authorised Persons.

Who should you contact for help? Before you contact us, please check the [Connect Help](#) pages as these may answer your questions. If you still have any questions relating to the Connect Portal or forms, please get in touch with the Customer Contact Centre on 0300 500 0597 or visit the [Contact Us](#) page of our website.

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Then input your registered email address and password and press 'Login'.

There's a reset button if you have forgotten your password.



# Accessing the Grandfathering Form

The screenshot shows the 'My Applications' page in the FCA system. At the top, there are navigation links: Contact Us, Get Help, Manage Users, Change Password, My Profile, and Logout. Below these are the FCA and Bank of England Prudential Regulation Authority logos, and a search bar. The main content area is titled 'My Applications' and contains two buttons: 'Start New Application' (highlighted with a red box and a red arrow) and 'Authorise New Firm'. Below the buttons are tabs for 'Drafts', 'Submitted', 'Closed', and 'Search'. A filter section includes 'Filter By: Firm Name' and 'Application Type'. A table header is visible with columns: Reference, Type, Outcome, Status, FRN, Firm, Individual, Last Modified By, and Last Modified. The footer contains the text: 'Copyright © 2014 Financial Conduct Authority (FCA) and/or Prudential Regulation Authority (PRA) unless otherwise noted'.

Once you've logged in, you will be taken to the 'My applications' screen. Press the 'Start New Application' button.

# Accessing the Grandfathering Form

Start New Application

You are creating an application for Intact R4B UAT grandfathering South Bank savings and credit union - 702220

Select the application type you would like to create

- Appointed Representative
- Approved Persons / SMF
- Cancellation
- Changes to Notified Persons
- Consumer Buy-to-Let Registration
- PSD Agent
- PSD Cancellation
- Passporting Out
- Standing Data
- Variation of Permission

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Select 'Approved Persons/SMF and press 'Continue'.

# Accessing the Grandfathering Form

Approved Person / SMF Application

Cancel

Approved Person Application for Intact R4B UAT grandfathering South Bank savings and credit union

Select the Approved Person / SMF Manager Application

- Application to perform controlled functions under the approved persons regime and/or senior management functions under the senior managers regime (Form A)
- Notice of ceasing to perform controlled functions and/or senior management function(s) (Form C)
- Notice of a change in the personal information or application details for an approved person / SMF Manager (Form D)
- Internal transfer of an approved person or SMF Manager (Form E)
- Application to vary approval
- Notification of Significant change to statement of Responsibilities (Form J)
- Notice of grandfathering/transitioning

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This will bring up the full suite of Approved Persons Forms. Click on 'Notice of grandfathering/transitioning' to access the Grandfathering form.

# Completing the Grandfathering Form

The screenshot shows a web browser window with the URL [https://envc-fcaconnect.cs20.force.com/firms/aupo\\_apapplicationgrandfatherpage?id=a0wm000000kECBAA2](https://envc-fcaconnect.cs20.force.com/firms/aupo_apapplicationgrandfatherpage?id=a0wm000000kECBAA2). The page header includes the FCA logo, the Bank of England Prudential Regulation Authority logo, and a search bar. The main content area is titled 'Grandfathering Notification' and contains the following information:

Firm Name: Intact R4B UAT grandfathering South  
Bank savings and credit union  
FRN : 702220  
Version Number: 1  
Application Reference Number: 000677401  
Last Modified By: stuart allan - 25/09/2015 10:48:45 AM

Buttons: [Back to My Applications](#), [Delete](#)

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons	
Form	Form Status
<a href="#">Application Contact Details</a>	Not Started
<a href="#">Business Details</a>	Not Started
Grandfathering	Not Started
Firm Declaration	Not Started

**Statements of Responsibilities**

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
-----------------	---------------------	-------------	--------

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This takes you to the Grandfathering Notification menu page. To begin, you confirm the contact details of the person filling in the form. Click on 'Application Contact Details'.

# Completing the Grandfathering Form

Firm Name: Intact R4B UAT grandfathering South Bank savings and credit union FRN : 702220  
Form Version Number: 1 Application Reference Number: 000677401 Last Modified By: stuart allan - 25/09/2015 10:48:45 AM

Progress  
Current Step ⚠

Legend  
This field is required  
Click the icon for help on the item  
The page has been validated successfully  
The page is incomplete

Back Save & Exit **Continue** Print

Please enter the contact details of the person we will get in touch with about this application

Choose User: stuart allan - stuart.allan@fca.org.uk

**Associated Individual**

Title Mr.  
First Name(s) stuart  
Last Name allan  
Job Title SME  
Mobile Number  
Email Address stuart.allan@fca.org.uk  
Building name / number  
Postcode Find Address  
Enter Manually  
Address Line 1 25 North Colonnade  
Address Line 2  
Address Line 3  
Address Line 4  
Town  
County  
Postcode E14 5HS  
Country UNITED KINGDOM  
Phone Number Country Code +44  
Phone Number 892376  
Fax Number Country Code +44  
Fax Number

Back Save & Exit **Continue**

Check that the name and contact details are correct. You can update the details if they are incorrect. When you're happy, press 'Continue'.

# Completing the Grandfathering Form

The screenshot shows the FCA Firms application portal. The main heading is "Grandfathering Notification". Below this, there is a summary box with the following information:

- Firm Name: Intact R4B UAT grandfathering South
- Bank savings and credit union
- FRN : 702220
- Version Number: 2
- Application Reference Number: 000677401
- Last Modified By: stuart.allan - 25/09/2015 10:59:01 AM

Below the summary box are two buttons: "Back to My Applications" and "Delete".

A note states: "Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready)."

The "Approved Persons" section contains a table with the following data:

Form	Form Status
Application Contact Details	Complete
<b>Firm Details</b>	Not Started
Grandfathering	Not Started
Firm Declaration	Not Started

The "Firm Details" link is highlighted with a red box, and a red arrow points to it from the bottom left.

The "Statements of Responsibilities" section contains the following text:

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SOR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Below the text is a table with the following columns: Individual Name, Application Outcome, Form Status, and Action.

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Next is to confirm the 'Firm Details' by clicking on that section.

# Completing the Grandfathering Form

The screenshot shows a web browser window with the URL [https://envc-fcaconnect.cs20.force.com/firms/aupo\\_firmdetailsformpage1?ApplicationId=a0wm000000kECBAA2](https://envc-fcaconnect.cs20.force.com/firms/aupo_firmdetailsformpage1?ApplicationId=a0wm000000kECBAA2). The page title is "Firm Details Application".

**Firm Name:** Intact R4B UAT grandfathering South  
**Bank savings and credit union**  
**FRN:** 702220  
**Form Version Number:** 1  
**Application Reference Number:** 0000677401  
**Last Modified By:** stuart.allan - 25/09/2015 10:59:01 AM

**Progress:** Current Step

**Legend:**

- This field is required
- Click the icon for help on the form
- The page has been validated successfully
- The page is incomplete

**Firm Details**

The information you provide within this form is confidential

**Firm Name:** Intact R4B UAT grandfathering South Bank savings and credit union

**Other Address Details**

**Registered Office Address**

*A registered office is the official address of an incorporated company. This address must be in the UK unless the Applicant Firm is a branch of an overseas company. Generally it will form part of the public record where the registered organisation or legal entity is incorporated.*

**Enter Manually**

**Address Line 1:** South Bank Neighbourhood Centre  
**Address Line 2:** South Terrace  
**Address Line 3:** South Bank  
**Address Line 4:**

**Town:** Middlesbrough  
**County:** Cleveland  
**Postcode:** TS6 6HW  
**Country:** UNITED KINGDOM

**Phone Number Country Code:** +44

**Phone Number:**

**Fax Number Country Code:** +44

**Fax Number:**

Buttons: Back, Save & Exit, **Continue** (highlighted with a red box), Print

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If the details are correct, press 'Continue'.

If they are not, you will need to inform the Customer Contact Centre of any changes to the firm's existing data.

# Completing the Grandfathering Form

The screenshot shows the FCA's 'Grandfather CFs to SMFs' form. The page title is 'Grandfather CFs to SMFs'. The firm name is 'Intact R4B UAT grandfathering South Bank savings and credit union' with FRN: 702220. The application reference number is 000677401. The current step is 'Step 2', which is marked as completed. The main section is 'Firm's Management Responsibilities Map and Other Information'. It contains a table for 'Package contents' with one entry: 'Test firm map.docx'. Below this is an 'Add another document' section with a 'Choose File' button highlighted by a red box and an arrow pointing to it. The page also includes a search bar, navigation links, and a legend.

Now you will need to attach the Firm Management Responsibilities Map. Click on 'Choose File', select the document from your computer, and press 'Attach'. If you've attached the incorrect document, press the 'X' in the 'Remove' column, and re-attach the correct one. Once you've attached the correct document, press 'Continue'.



# Completing the Grandfathering Form

The screenshot shows a web browser window with the URL [https://envc-fcaconnect.cs20.force.com/firms/aupo\\_grandfatherformpage1?ApplicationId=a0wm000000kECBAA2](https://envc-fcaconnect.cs20.force.com/firms/aupo_grandfatherformpage1?ApplicationId=a0wm000000kECBAA2). The page displays a list of Senior Management Functions (SMF) with 'Select' buttons. The SMF8 section, 'Credit Union (Small Credit Unions Only)', is highlighted with a black box and an arrow. Below this, a table lists individuals available for grandfathering.

IRN	Name	CFs Held	CFs Applied For	Grandfather
ASR01035	Alan Stuart Ramsay	CF3		<input checked="" type="checkbox"/>
AXP01493	Ann Parfitt	CF1, CF29		<input type="checkbox"/>
CXC01387	Clare Conlin	CF1		<input type="checkbox"/>
CXF01166	Christine Foley	CF1, CF28		<input type="checkbox"/>
DLH00012	David Leslie Hughes	CF2		<input type="checkbox"/>
DWB01091	David William John Bagley	CF2		<input checked="" type="checkbox"/>
JXA01288	Janice Allan	CF1		<input type="checkbox"/>
JXC01748	Jacqueline Conlin	CF1		<input type="checkbox"/>
JXC01749	John Conlin	CF1		<input type="checkbox"/>
JXM02018	John McCormack	CF1, CF11		<input type="checkbox"/>
LXB01291	Lorraine Bowden	CF1		<input type="checkbox"/>
MXB01864	Michael Blott	CF1		<input type="checkbox"/>
MXB01865	Marie Buckton	CF1, CF10		<input type="checkbox"/>
MXO00045	Michael Owen	CF2		<input type="checkbox"/>
RWE00010	Richard William Endacott	CF2		<input type="checkbox"/>
RXH01474	Richard Hulland	CF2		<input type="checkbox"/>
SGH01067	Sandra Gail Higgins	CF2		<input type="checkbox"/>
SXS01704	Sandra Smith	CF1		<input type="checkbox"/>
SKW01459	Susan Watson	CF1		<input type="checkbox"/>

Below the table, there is a note: "If the firm no longer wishes to grandfather an individual it has previously mapped across to a Senior Manager Function please untick the box relating to that individual in the 'Grandfather' column." and a "Hide Section" button.

Next is to select your senior managers. Scroll down to 'SMF8' and press 'Select'. All of your current SIFs (excluding MLRO) will be visible and available to grandfather.

Tick the boxes of the individuals you are grandfathering to the new regime.

# Completing the Grandfathering Form

SMF17 Money Laundering Reporting

Note: Only individuals in Initial FRS On-1 grandfathering South Bank savings and credit union have been listed below who currently hold a Controlled Function that can be mapped to this Senior Management Function

Please select the individuals to be Grandfathered to this SMF

IRN	Name	Cfs Held	Cfs Applied For	Grandfather
JXM02018	John McCormack	CF1, CF11		<input checked="" type="checkbox"/>

If the firm no longer wishes to grandfather an individual it has previously mapped across to a Senior Manager Function please untick the box relating to that individual in the 'Grandfather' column.

Hide Section

SMF18 Other Overall Responsibility Function

Back Save & Exit Continue

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Scroll down to 'SMF17' and press 'Select' to grandfather the MLRO. The existing CF11 will be visible and available to grandfather. Tick the box to grandfather over that individual, then press 'Continue'.

# Completing the Grandfathering Form

**Grandfathering Notification**

Firm Name: Intact R4B UAT grandfathering South  
Bank savings and credit union  
Version Number: 5

FRN : 702220  
Application Reference Number: 0000677401  
Last Modified By: stuart allan - 25/09/2015 11:21:46 AM

[Back to My Applications](#) [Delete](#)

Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).

Approved Persons	
Form	Form Status
<a href="#">Application Contact Details</a>	Complete
<a href="#">Firm Details</a>	Complete
<a href="#">Grandfathering</a>	Complete
<a href="#">Firm Declaration</a>	Not Started

**Statements of Responsibilities**

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SoRs should have a status of 'Completed' before a Grandfathering form can be submitted. A SoR is only 'Complete' when all sections have been filled in.

Where the SMFs for an Individual have been amended as part of a Grandfathering resubmission, the SoR for that Individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
Alan Stuart Ramsay	SOR	Completed	<a href="#">Edit</a>
David William John Bagley	SOR	Completed	<a href="#">Edit</a>
Marie Buckton	SOR	Completed	<a href="#">Edit</a>
John McCormack	SOR	Completed	<a href="#">Edit</a>

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This completes the Grandfathering exercise. The system will then auto-generate a Statement of Responsibilities (SoR) for each individual being grandfathered to an SMF.  
Click on 'Edit' to complete each SoR.

# Statements of Responsibilities (SoRs)

(FCA SYSC 4.7.7R / SYSC 4.8.8R/PRA: Allocation of Responsibilities)

Please indicate if 702220 - Intact RAB UAT grandfathering South Bank savings and credit union is a CRR firm which has gross total assets of £250 million or less, determined on the basis of the annual average amount calculated across a rolling period of five years (calculated by reference to the firm's annual accounting date).

Yes

Please indicate below which of the responsibilities listed are/will be allocated to this individual. Where responsibilities are shared (for example, a responsibility may be shared as part of a job share or where departing and incoming senior managers work together temporarily as part of a handover), please provide details below.

For guidance as to which responsibilities are applicable to your type of firm please refer to Annex 4 of the Policy Statement which is accessible via the following link:  
<https://www.fca.org.uk/your-fca/documents/consultation-papers/cp15-22>

If the individual has not been allocated a prescribed responsibility please skip this section.

Reference	Prescribed Responsibility	Action
a	Responsibility for the firm's performance of its obligations under the senior management regime	Select
b	Responsibility for the firm's performance of its obligations under the employee certification regime	Select
c	Responsibility for compliance with the requirements of the regulatory system about the management responsibilities map	Select
d	Overall responsibility for the firm's policies and procedures for countering the risk that the firm might be used to further financial crime	Select
e	Responsibility for the allocation of all prescribed responsibilities	Select
n	Responsibility for the independence, autonomy and effectiveness of the firm's policies and procedures on whistleblowing, including the procedures for protection of staff who raise concerns from detrimental treatment	Select
u	Responsibility for the firm's performance of its obligations under Fitness and Propriety (in the PRA Rulebook) in respect of its notified non-executive directors	Select
z	Overall responsibility for the firm's compliance with CASS	Select
aa	Responsibility for implementing and management of the firm's risk management policies and procedures	Select
bb	Responsibility for managing the systems and controls of the firm	Select
cc	Responsibility for managing the firm's financial resources	Select
dd	Responsibility for ensuring the governing body is informed of its legal and regulatory obligations	Select

If necessary, please provide additional information about each prescribed responsibility, including a breakdown of the different components and tasks which the responsibility encompasses. Additional information must be relevant, succinct and not dilute or undermine the prescribed responsibility.

Is this prescribed responsibility shared?

ADD

SUMMARY OF PRESCRIBED RESPONSIBILITIES ALLOCATED TO ASR01035 - Alan Stuart Ramsay

For each SoR, the first thing to do is confirm that your credit union has assets of less than £250m which will filter out Prescribed Responsibilities that only apply to larger firms.

You do this by answering 'Yes' to the 'Gross total assets' question. Then 'Select' and 'Add' each prescribed responsibility that applies to each individual.

# Statements of Responsibilities (SoRs)

The screenshot shows a web browser window with the URL [https://envc-fcaconnect.cs20.force.com/firms/apuo\\_sorrelatedformpage4?ApplicationId=a0wm000000kEEWAA2](https://envc-fcaconnect.cs20.force.com/firms/apuo_sorrelatedformpage4?ApplicationId=a0wm000000kEEWAA2). The page title is "DECLARATION".

**Progress:**

- Step 1 ✓
- Step 2 ✓
- Step 3 ✓
- Current Step ✓

**Legend:**

- This field is required
- Click the icon for help on the item
- The page has been validated successfully
- The page is incomplete

**SUPPLEMENTARY DOCUMENT**

If applicable, attach a single supporting document for this statement of responsibilities clearly identifying the question the additional information relates to.

Document Title:

Attachment:

**DECLARATION OF CANDIDATE/APPROVED PERSON**

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

For Grandfathering only, a dated signature is required to accompany the SOR for each candidate being grandfathered. Please attach a dated scanned signature here.

Document Title:

Attachment:

Buttons: Back, Save & Exit, Continue, Print

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Each senior manager then needs to sign and upload an individual declaration (do this in the same way as you uploaded the Firm Management Responsibilities Map).

# Submitting the Grandfathering Form

**Grandfathering Notification**

Firm Name: Intact R4B UAT grandfathering South Bank savings and credit union      FRN : 702220  
Version Number: 5      Application Reference Number: 0000677401      Last Modified By: stuart allan - 25/09/2015 11:21:46 AM

[Back to My Applications](#)      [Delete](#)

*Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).*

Approved Persons	
Form	Form Status
<a href="#">Application Contact Details</a>	Complete
<a href="#">Firm Details</a>	Complete
<a href="#">Grandfathering</a>	Complete
<a href="#">Firm Declaration</a>	Not Started

**Statements of Responsibilities**

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an individual have been amended as part of a Grandfathering resubmission, the SOR for that individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
Alan Stuart Ramsay	SOR	Completed	<a href="#">Edit</a>
David William John Bagley	SOR	Completed	<a href="#">Edit</a>
Marie Buckton	SOR	Completed	<a href="#">Edit</a>
John McCormack	SOR	Completed	<a href="#">Edit</a>

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The system will only permit you to submit the Grandfathering Form when all of the SoRs have been completed. When you have done this, click on 'Firm Declaration'.

# Submitting the Grandfathering Form

The screenshot shows a web browser window with the URL [https://envc-fcaconnect.cs20.force.com/firms/aupo\\_genericdeclarationformpage1?ApplicationId=a0wm0000000kECBAA2](https://envc-fcaconnect.cs20.force.com/firms/aupo_genericdeclarationformpage1?ApplicationId=a0wm0000000kECBAA2). The page title is 'Firms Declaration'. On the left, there is a sidebar with a status indicator: 'This field is required' (red exclamation mark), 'Click the icon for help on the item' (grey circle), 'The page has been validated successfully' (green checkmark), and 'The page is incomplete' (yellow warning triangle). The main content area contains the following text:

grandfathering to a commoner function to cause the information contained in this form relating to such information to be submitted, and that it has made each such individual aware of his/her prospective regulatory responsibilities as set out in the FCA's Code of Conduct (COCON) and/or the PRA Conduct Rules (as applicable).

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).

The applicant 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.

For the purpose of complying with the Data Protection Act 1998, the personal data provided in this Form will be used by the FCA and PRA to discharge its 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 applicant.

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 firm and/or individuals.

The person signing on behalf of the applicant confirms that:

- he or she has read this declaration in full;
- he or she has confirmed that the information supplied is accurate and complete to the best of his/her knowledge;
- Only where the applicant is a RAP [where RAP has the meaning given in the Glossary] - he or she confirms that each Statement of Responsibility submitted with this form accurately reflects the aspects of the affairs of the applicant which it is intended that the relevant individual will be responsible for managing in performing his/her proposed senior management functions.

**Review and Submission**

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Tick here to confirm that the person submitting this Form on behalf of the Applicant and (if applicable) the individual named below have read and understood the declaration.

**Signature**

I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request.

Individual's full name  
Individual's Signature

Name of authorised signatory: stuart allan

Signature (to be signed on the printed version only)

Name of authorised signatory: stuart allan

Name of Person Submitting: stuart allan

Date: 25/09/2015 [25/09/2015]

Buttons: Back, Save & Exit, Continue

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Tick the 'Declaration' boxes (this is effectively an electronic signature), insert the date and press 'Continue'.

# Submitting the Grandfathering Form

**Grandfathering Notification**

Firm Name: Intact R4B UAT grandfathering South  
Bank savings and credit union  
Version Number: 6  
FRN : 702220  
Application Reference Number: 0000677401  
Last Modified By: stuart allan - 25/09/2015 11:41:34 AM

[Back to My Applications](#) **Ready for Submission** [Delete](#)

Once the application is complete and valid, a button will be marked as Ready to Submit (Draft Ready).

Approved Persons	
Form	Form Status
<a href="#">Application Contact Details</a>	Complete
<a href="#">Firm Details</a>	Complete
<a href="#">Grandfathering</a>	Complete
<a href="#">Firm Declaration</a>	Complete

**Statements of Responsibilities**

To complete any Related Applications, the Applicant must first complete all sections of the Grandfathering Application (with the exception of the firm declaration).

All SORs should have a status of 'Completed' before a Grandfathering form can be submitted. A SOR is only 'Complete' when all sections have been filled in.

Where the SMFs for an individual have been amended as part of a Grandfathering resubmission, the SOR for that individual will only move from In Progress to Complete when an updated signature has been added.

Individual Name	Application Outcome	Form Status	Action
Alan Stuart Ramsay	SOR	Completed	<a href="#">Edit</a>
David William John Bagley	SOR	Completed	<a href="#">Edit</a>
Marie Buckton	SOR	Completed	<a href="#">Edit</a>
John McCormack	SOR	Completed	<a href="#">Edit</a>

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You are now ready to submit the form. Click on 'Ready for Submission'.



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The screenshot shows the FCA Firms application interface for Grandfathering Notification. The page title is "Grandfathering Notification". The firm name is "Intact R4B UAT grandfathering South Bank savings and credit union" with FRN: 702220. The application reference number is 000677401, and it was last modified by stuart.allan on 25/09/2015 at 11:43:19 AM. The version number is 6. There are four buttons: "Back to My Applications", "Edit Application", "Submit", and "Delete". The "Submit" button is highlighted with a red box and a red arrow. Below the buttons, there is a table of "Approved Persons" with columns for Form, Form Status, and Action. The table shows that all forms are complete. Below the table, there is a section for "Statements of Responsibilities" with a table of "Individual Name", "Application Outcome", "Form Status", and "Action". The table shows that all individuals have completed their SORs.

**Grandfathering Notification**

Firm Name: Intact R4B UAT grandfathering South Bank savings and credit union FRN : 702220  
Version Number: 6 Application Reference Number: 000677401 Last Modified By: stuart.allan - 25/09/2015 11:43:19 AM

[Back to My Applications](#) [Edit Application](#) [Submit](#) [Delete](#)

*Once the application is complete and valid, a button will appear to allow the application to be submitted as ready to Submit (Draft Ready).*

**Approved Persons**

Form	Form Status
<a href="#">Application Contact Details</a>	Complete
<a href="#">Firm Details</a>	Complete
<a href="#">Grandfathering</a>	Complete
<a href="#">Firm Declaration</a>	Complete

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John McCormack	SOR	Completed	<a href="#">Edit</a>

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Review all the details, then press 'Submit'. And that's you done.