

## MIFIDPRU 3 Annex 1R

### Notification under MIFIDPRU 3.3A.17R to include interim or year-end profits as common equity tier 1 (CET1) capital

Details of Senior Manager responsible for this notification:

*If the notification is being made in respect of a MIFIDPRU investment firm or another SMCR firm, we would expect the individual responsible for it to hold a senior management function (SMF).*

Name of individual	
Job title / position	
Individual reference number (if applicable)	

1. Please confirm which of the following the notifying entity is:
  - a. MIFIDPRU investment firm that is not a consolidating UK parent entity
  - b. MIFIDPRU investment firm that is a consolidating UK parent entity
  - c. Consolidating UK parent entity (other than a MIFIDPRU investment firm)

*If the notification concerns more than one firm in the investment firm group, please submit separate notifications for each firm.*

*For notifications on consolidated basis, references to firm should be interpreted as to a consolidated situation of the UK parent.*

2. Please confirm whether the following apply and if so, provide supporting evidence:
  - a. The profits have been verified by persons independent of your firm, who are responsible for auditing the accounts of that firm:  

Yes/No
--------
  - b. Any foreseeable charge or dividend has been deducted from the amount of those profits and the basis of this calculation:  

Yes/No/Not applicable
-----------------------

  
 Supporting evidence attached (e.g. an independent auditor's letter confirming the above)

3. Please provide the following:

a. The start of your financial year:

DD/MM/YYYY

b. The period in which the interim/year-end profits were earned:

c. Profits as verified by auditors:

£

d. Foreseeable charges/deductions (e.g. dividends):

£

e. Amount to be included as profit:

£

f. If you have calculated expected dividend pay-out by using a pay-out range instead of a fixed value, please confirm that you have used the upper end of that range:

Yes/No

g. If you have calculated expected dividend pay-out as a range, please confirm whether you excluded any exceptional dividends paid during the period covered by that range:

Yes/No

If you have responded "Yes", please attach further information:

Further information attached

h. Auditor's details (name, address, contact details):

4. Please confirm that the inclusion of the interim or year-end profits to which this notification relates complies with the applicable material in MIFIDPRU.

Yes