

# Retail Investment Adviser - Competence Notification Submission Form

(all fields are mandatory)



This form must be sent back to: [RIAnotifications@fca.org.uk](mailto:RIAnotifications@fca.org.uk)

## Firm details

Firm details	Firm Reference Number (FRN)
<input type="text"/>	<input type="text"/>

## Person making notification

Name	Individual Reference Number (IRN) <i>(where applicable)</i>	
<input type="text"/>	<input type="text"/>	
Position in firm	Contact telephone number	Contact email address
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Retail investment adviser

Name	Individual Reference Number (IRN)
<input type="text"/>	<input type="text"/>

Nature of notification		Number of events	Date(s) occurred	Date(s) closed
(1)	<u>a retail investment adviser, who has been assessed as competent for the purposes of TC 2.1.1R, is no longer considered competent for the purposes of TC 2.1.1R;</u>			
(2)	<u>a retail investment adviser has failed to attain an appropriate qualification within the time limit prescribed by TC 2.2A.1R(1);</u>			
(3)	<u>a retail investment adviser has failed to comply with a Statement of Principle in carrying out his controlled function; and</u>			
(4)	<u>a retail investment adviser has performed an activity in TC Appendix 1 before having demonstrated the necessary competence for the purposes of TC 2.1.1R and without appropriate supervision.</u>			

Please provide full information relating to the breach(es) highlighted above

Please provide information about any steps that you have taken or intend to take to rectify the position or prevent any future potential occurrence