Appendix 1 Written notice decision procedures under the AIFMD UK regulation

1.1 Section title

App1.1.1	G	This appendix sets out the procedures that the FCA will follow in relation to written notices under the AIFMD UK regulation.			
App1.1.2	G	■ DEPP 2 Annex 1 G sets out the procedures that the FCA will follow in relation to warning notices and decision notices under the AIFMD UK regulation.			
App 1.1.3	G	For the purposes of this appendix, the procedures in DEPP 4.1 (Executive decision maker) apply to decisions in this appendix that are taken by <i>executive procedures</i> .			
App1.1.4	G	Regulation	Description	Decision Maker	
		12(3)	Where the FCA decides to enter an AIFM on the register of small registered UK AIFMs.	Executive procedures	
		20(3)(a)	Where the FCA proposes to suspend the registration of a <i>small registered UK AIFM</i> or suspends such a registration with immediate effect.	Executive procedures	
		20(6)(a)	Where the FCA decides to suspend the registration of a <i>small registered UK</i> AIFM in the way proposed (or, if the suspension has already been imposed, not to revoke the suspension), to make a suspension other than in the way proposed (or, if the suspension has already been imposed, to amend the suspension) or not to make a suspension (or if the suspension has already been imposed, to revoke such a suspension).	Executive procedures	
		26(7)	Where the FCA proposes to refuse to approve the delegation or sub-delegation	Executive procedures	

	of the functions of portfolio manage- ment or risk management by a <i>full-</i> scope UK AIFM.	
26(8)(a)	Where the FCA decides to refuse to approve the delegation or sub-delegation of the functions of portfolio management or risk management by a <i>full-scope UK AIFM</i> .	Executive procedures
54(6)	Where the FCA proposes to refuse an application to market an AIF by a full- scope UK AIFM under regulation 54 (FCA approval for marketing) of the AIFMD UK regulation.	Executive procedures
54(7)(a)	Where the FCA decides to refuse an application to market an AIF by a full- scope UK AIFM under regulation 54 (FCA approval for marketing) of the AIFMD UK regulation.	Executive procedures
64(3)(a)	Where the FCA proposes to suspend an AIFM's entitlement to market an AIF under regulations 57, 58 or 59 (National Private Placement) of the AIFMD UK regulation or suspends such an entitlement with immediate effect.	Executive procedures
64(7)(a)	Where the FCA decides to suspend an AIFM's entitlement to market an AIF un- der regulations 57, 58 or 59 (National Private Placement) of the AIFMD UK re- gulation in the way proposed, other than in the way proposed or not to re- voke such a suspension.	Executive procedures
64(8)	Where the FCA decides not to suspend an AIFM's entitlement to market an AIF under regulations 57, 58 or 59 (National Private Placement) of the AIFMD UK re- gulation in the way proposed or to re- voke such a suspension.	Executive procedures

1