

Chapter 9

Reporting



9.1 Application

- 9.1.1

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This chapter applies to:

 - (1) a *MIFIDPRU investment firm*;
 - (2) a *UK parent entity* that is required under ■ MIFIDPRU 2.5.7R to comply with ■ MIFIDPRU 9 on the basis of its *consolidated situation*; and
 - (3) a *GCT parent undertaking* that is required to submit reports on its compliance with the *group capital test* in accordance with ■ MIFIDPRU 2.6.10R.
- 9.1.2

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(1) The provisions of ■ SUP 16.3 (General provisions on reporting) listed in (2) apply to reports submitted under this chapter as if the reports had been submitted under ■ SUP 16.

(2) The provisions are:

 - SUP 16.3.6R to ■ SUP 16.3.10G (How to submit reports);
 - SUP 16.3.11R to ■ SUP 16.3.12G (Complete reporting); and
 - SUP 16.3.14R to ■ SUP 16.3.16G (Failure to submit reports).
- 9.1.3

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Under ■ SUP 16.3.14R (as applied to reports under this chapter by ■ MIFIDPRU 9.1.2R), a £250 administrative fee applies where a *firm* does not submit a complete report by the date on which that report is due under the applicable requirements and submission procedures. ■ SUP 16.3.14AG explains that the *FCA* may also take disciplinary action in appropriate cases.