

Chapter 9

Reporting

9.1 Application

- 9.1.1** **R** 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** **R**
- (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** **G** 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.