

Chapter 3

Notification rules for UK recognised bodies

3.2 Form and method of notification

Form of notification

- 3.2.1 **R** Where a *recognised body* is required to give any notice or information under any *notification rule*, it may do so (unless that *rule* expressly provides otherwise) orally or in writing, whichever is the more appropriate in the circumstances, but, where it gives notice or information orally, it must confirm that notice or information in writing promptly.

Method of notification

- 3.2.2 **R** Unless otherwise stated in the *notification rule*, a written notification required from a *recognised body* under any *notification rule* must be:
- (1) given to, or addressed for the attention of, the *recognised body's* usual supervisory contact at the *FCA*;
 - (2) delivered to the *FCA* by one of the methods in **■ REC 3.2.3 R**.

- 3.2.3 **R** **Methods of notification**

| Method of delivery | |
|--------------------|---|
| (1) | Post to the address in REC 3.2.4 R |
| (2) | Leaving the notification at the address in REC 3.2.4 R and obtaining a time-stamped receipt |
| (3) | Electronic mail to an address for the <i>recognised body's</i> usual supervisory contact at the <i>FCA</i> and obtaining an electronic confirmation of receipt |
| (4) | Hand delivery to the <i>recognised body's</i> usual supervisory contact at the <i>FCA</i> |
| (5) | Fax to a fax number for the <i>recognised body's</i> usual supervisory contact at the <i>FCA</i> , provided that the <i>FCA</i> receives a copy of the notification by one of methods (1) - (4) in this table within five <i>business days</i> after the date of the faxed notification |

- 3.2.4 **R** The address for a written notification to the *FCA* is:
 The Financial Conduct Authority
 12 Endeavour Square
 London, E20 1JN

Timely notification

3.2.5

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If a *notification rule* requires notification within a specified period:

- (1) the *recognised body* must give the notification so as to be received by the *FCA* no later than the end of that period; and
- (2) if the end of that period falls on a *day* which is not a *business day*, the notification must be given so as to be received by the *FCA* no later than the first *business day* after the end of that period.

Service of Notice Regulations

3.2.6

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The Financial Services and Markets Act 2000 (Service of Notices) Regulations 2001 (SI 2001/1420) do not apply to notifications required under the *notification rules* in this chapter and in **REC 6** because of the specific *rules* in this section.