

Chapter 10A

FCA Approved Persons in Appointed Representatives

10A.12 **Procedures relating to FCA-
approved persons**

Forms

10A.12.1 **G** The forms listed in **■ SUP 10A.12.2 G** are referred to in **■ SUP 10A.12** (Procedures relating to FCA-approved persons) to **■ SUP 10A.16** (How to apply for approval and give notifications).

10A.12.2 **G** Table: FCA-approved persons forms

Form		Purpose	Handbook requirement
the relevant Form A	SUP 10C Annex 3D	Application to perform controlled functions under the approved persons regime	SUP 10A.13.3 D
Form B	SUP 10C Annex 4R	Notice to withdraw an application to perform controlled functions under the approved persons regime	SUP 10A.13.19 R
Form C	SUP 10C Annex 5R	Notice of ceasing to perform controlled functions	SUP 10A.14.8 R
Form D	SUP 10C Annex 6R	Notification of changes in personal information or application details	SUP 10A.14.15 R
Form E	SUP 10C Annex 7D	Internal transfer of an <i>approved person</i>	SUP 10A.14.4 D

10A.12.3 **G** [deleted]

10A.12.4 **G** Unless the context otherwise requires, in **■ SUP 10A.12** (Procedures relating to FCA-approved persons) to **■ SUP 10A.16** (How to apply for approval and give notifications) where reference is made to a *firm*, this also includes an

applicant for *Part 4A permission*, and other *persons* seeking to carry on *regulated activities* as an *authorised person*.

10A.12.5 **G** Forms B, C, D and E can only be submitted in respect of an *FCA-approved person* by the *firm* that submitted an *FCA-approved person's* original application (the relevant Form A).

10A.12.6 **G** Copies of Forms A, B, C, D and E may be obtained from the *FCA* website. *Credit unions* can obtain copies from the *FCA's* Supervision Hub. To contact the *FCA's* Supervision Hub for *approved persons* enquiries:

- (1) telephone 0300 500 0597; or
- (2) e-mail firm.queries@fca.org.uk; or
- (3) fax 020 7066 0017; or
- (4) write to:
Supervision Hub
The Financial Conduct Authority
12 Endeavour Square
London
E20 1JN.