

SUPERVISION MANUAL (REPORTING No 11) INSTRUMENT 2019

Powers exercised

- A. The Financial Conduct Authority (“the FCA”) makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 139A (Power of the FCA to give guidance).
- B. The rule-making powers listed above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 31 January 2020.

Amendments to the Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Supervision Manual (Reporting No 11) Instrument 2019.

By order of the Board
24 October 2019

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

15 Notifications to the FCA

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15.5 Core information requirements

...

Submitting notifications to the appropriate regulator

15.5.9 R ...

- (2) *A credit union or an FCA-authorized person with permission to carry on only credit-related regulated activity (other than a firm with only an interim permission to which the modifications to SUP 15 in CONC 12 apply) must submit any notice under SUP 15.5.1R, SUP 15.5.4R, SUP 15.5.5R and SUP 15.5.7R by submitting the form in SUP 15 Ann 3R in the way set out in SUP 15.7.4R to SUP 15.7.9G (Form and method of notification) using the appropriate online systems accessible through the FCA's website.*

...

- (3A) Where a firm is obliged to submit a notice online under (2), if the FCA's information technology systems fail and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored, a firm must submit any notice under SUP 15.5.1R, SUP 15.5.4R, SUP 15.5.5R and SUP 15.5.7R in the form in SUP 15 Ann 3R by electronic mail to firm.details@fca.org.uk.

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15 Notification to amend firm details form

Annex

3R

...

...

Notification to amend firm details

To update firm name and trading names, website address, accounting reference date, auditors, locum, contacts and addresses

SUP 15 Annex 3R – Notifications under SUP 16.10

Firm name

Firm reference number

Address

~~Please return the form, marked for the attention of the Customer Contact Centre to:~~

~~Financial Conduct Authority
25 The North Colonnade Canary Wharf
London E14 5HS
United Kingdom~~

~~Telephone +44 (0) 7066 1000~~

~~Facsimile +44 (0) 7066 1099~~

~~Registered as a Limited Company in England and Wales No 1920623.
Registered Office as above.~~

~~Firms are required to submit this form via the appropriate online system referred to in SUP 15.5.9R.~~

4

Change Contact Details

If you wish to change the contact details of the Complaints Officer or Primary Compliance Contact please enter the following details, otherwise please proceed to Section 5.

Please note that this will not change your approved person records. If you want to change these records, please complete the appropriate Approved Persons Form.

4.1 Please indicate which contact this change applies to. ~~If you wish to change the details for both please copy this form and record the details for each on separate forms, unless the details are the same.~~

- Complaints Officer
- Primary Compliance Contact

Title	
Forename(s)	
Surname	
Job title	
Email address	
Phone number. This must be a direct dialled number.	
Fax number	

4.2 Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address									
Postcode									

~~4.3 If you would also like the contact details of the following to be changed, please tick the appropriate boxes. This will amend the contact details in line with the changes recorded above.~~

- ~~Complaints Contact~~
- ~~Primary Compliance Contact~~

5a

Change of Address

5.1 Please indicate which of the following this change applies to. If you wish to change the details for more than one of the following please copy this form and record the details for each on separate forms, unless the details are the same.

- Registered Office
- Principal Place of Business
- Billing Address Invoicing
- Publication Address
- Head Office
- CIS-UK Facilities Address
- Motor claims representative
- UK Branch Address

5.2 Please enter the new address details

Address	
Postcode	
Telephone number	
Fax number	
Email address	

5.3 Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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5.4 Contact Address Details

- Complaints Address
- Principal Compliance Address

5b

Change of Other Address

5.5 Please indicate which of the following this change applies to. ~~If you wish to change the details for more than one of the following please copy this form and record the details for each on separate forms, unless the details are the same.~~

- 3rd Party Administration
- Actuary
- Customer Services
- EEA Branch Address
- Professional Advisor

5.6 Please enter the new address details

Address	
Postcode	
Telephone number	
Fax number	
Email address	

5.7 Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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...

8

Change Auditor Details

8.1 Please enter the following details to change your Auditor's details

Firm name	
Address	
Postcode	
Telephone number	
Fax Number	
Email address	

8.2 Effective date

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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9

Change Locum Details

9.1 Please enter the following details to change your Locum's details

Title	
Forename(s)	
Surname	
Firm name	
Address	
Postcode	
Telephone number	
Fax Number	
Email address	

9.2 Effective date

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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10 Declaration and signatures

Warning

Knowingly or recklessly giving the FCA or PRA information, which is false or misleading in a material particular, may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). SUP 15.6.4R requires an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA or PRA and to notify the FCA or PRA immediately if materially inaccurate information has been provided. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the FCA or PRA. It should not be assumed that information is known to the FCA or PRA merely because it is in the public domain or has previously been disclosed to the FCA or PRA or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

Data Protection

~~For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the Financial Conduct Authority and the Prudential Regulation Authority to discharge their statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the applicant.~~

The FCA processes personal data in line with the requirements of the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website: www.fca.org.uk/privacy.

Declaration

By submitting this notification form:

- I/we confirm that the information contained in this form is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.
- I am/we are aware that it is a criminal offence knowingly or recklessly to give the FCA or PRA information that is false or misleading in a material particular.
- I/we confirm that, for those questions that do not require supporting evidence, the records which demonstrate the firm's compliance with the rules in relation to the questions will be available to the FCA or PRA on request.
- I/we will notify the FCA or PRA immediately if there is a significant change to the information given in the form. If I/we fail to do so, this may result in enforcement action.

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16 Reporting requirements

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16.10 Verification of firm details

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Requirement to check the accuracy of firm details and to report changes to the FCA

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16.10.4 R (1) Within ~~30~~ 60 *business days* of its *accounting reference date*, a *firm* must check the accuracy of its *firm details* through the relevant section of the *FCA* website.

...

16.10.4 R (1) ~~A firm other than:~~
A

(a) ~~a credit union; or~~

(b) ~~an FCA authorised person with permission to carry on only credit related regulated activity;~~

~~must submit any corrected firm details under SUP 16.10.4R (3) using the appropriate online systems available from the FCA's website.~~

A firm must submit any corrected firm details under SUP 16.10.4R(3) using the appropriate online systems accessible through the FCA's website.

(2) ~~A credit union or a firm with permission to carry on only credit related regulated activity must submit any corrected firm details under SUP 16.10.4R (3):~~

(a) ~~to firm.details@fca.org.uk or via post or hand delivery to the FCA marked for the attention of the 'Customer Contact Centre'; or~~

(b) ~~by using the appropriate online systems available from the FCA's website. [deleted]~~

(3) Where a *firm* is obliged to submit corrected *firm details* online under (1), if the *FCA*'s information technology systems fail and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored, a *firm* must submit its corrected *firm details* to firm.details@fca.org.uk ~~or via post or hand~~

delivery to the FCA marked for the attention of the 'Customer Contact Centre'.

Frequency and timing of reports: confirming that firm details remain accurate

- 16.10.4 R (1) This rule applies where, in complying with SUP 16.10.4R(1), a firm does not need to submit corrected firm details under SUP 16.10.4R(3).
- (2) Within 60 business days of its accounting reference date, a firm must submit a report to the FCA confirming that the firm details which it has checked under SUP 16.10.4R(1) remain accurate, using the appropriate online systems accessible through the FCA's website.

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16 Firm details (See SUP 16.10.4R)
Annex
16A

16 R A. Communications with a *firm*
Annex
16A.1R

...

5A. Head office

5B. UK branch address (if the firm is a branch)

...

14. Name and address of *firm's* auditor

14A. Name and address of *firm's* actuary (where relevant)

...

16A. Financial year end date

...