

## HANDBOOK FORMS (EU EXIT) INSTRUMENT 2022

### Powers exercised

- A. The Financial Conduct Authority (“the FCA”) makes this instrument in the exercise of the following powers and related provisions in or under:
- (1) regulation 3 of the Financial Regulators’ Powers (Technical Standards etc.) (Amendment etc.) (EU Exit) Regulations 2018; and
  - (2) the following sections of the Financial Services and Markets Act 2000 (“the Act”):
    - (a) section 137A (The FCA’s general rules);
    - (b) section 137T (General supplementary powers); and
    - (c) section 139A (Power of the FCA to give guidance).
- B. The rule-making provisions listed above are specified for the purposes of section 138G (2) (Rule-making instruments) of the Act.

### Pre-conditions to making

- C. This instrument has been approved by the Treasury, the Minister considering that it makes appropriate provision to prevent, remedy or mitigate any failure of retained EU law to operate effectively, or any other deficiency in retained EU law, arising from the withdrawal of the United Kingdom from the European Union.

### Commencement

- D. This instrument comes into force on 28 January 2022.

### Amendments to the Handbook

- E. The modules of the FCA’s Handbook of rules and guidance listed in column (1) below are amended in accordance with the Annexes to this instrument listed in column (2) below.

(1)	(2)
General Prudential sourcebook (GENPRU)	Annex A
Supervision manual (SUP)	Annex B
Dispute Resolution: Complaints sourcebook (DISP)	Annex C
Investment Funds sourcebook (FUND)	Annex D

**Notes**

- F. In this instrument, notes shown as “**Note:**” and “*Editor’s note:*” are intended for the convenience of the reader but do not form part of the legislative text.

**Citation**

- G. This instrument may be cited as the Handbook Forms (EU Exit) Instrument 2022.

By order of the Board  
27 January 2022

**Annex A**

**Amendments to the General Prudential sourcebook (GENPRU)**

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

**3 Cross sector groups**

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**3 Guidance Notes for Classification of Groups**

**Annex**

**3**

Classification of Groups (GENPRU 3.1.3G) - This annex consists only of one or more forms. Forms are to be found through the following address.

[*Editor's note:* The form can be found at this address:  
[https://www.handbook.fca.org.uk/form/genpru/GENPRU\\_03\\_ann\\_03\\_20160422.pdf](https://www.handbook.fca.org.uk/form/genpru/GENPRU_03_ann_03_20160422.pdf)  
 ]

GENPRU 3 Ann 3G: CLASSIFICATION OF GROUPS (GENPRU 3.1.3G)		form (ref)																					
<b>Part 1: General Information</b>																							
<b>A</b>	Name of Group:	<input style="width: 100%;" type="text"/>																					
<b>B</b>	Name of FCA supervisor:	<input style="width: 100%;" type="text"/>																					
<b>C</b>	Name of entity at head of the group:	<input style="width: 100%;" type="text"/>																					
<b>D</b>	Type of entity at head of the group: <small>(select one of D1, or D2, D3, and D4)</small>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 5%;"><b>D1</b></td> <td style="width: 60%;"><del>EU-regulated</del> <u>Regulated</u> entity country of authorisation</td> <td style="width: 35%;"><input style="width: 100%;" type="text"/></td> </tr> <tr> <td></td> <td>(a) Credit institutions</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td></td> <td>(b) Investment firm</td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td></td> <td>(c) Insurance firm</td> <td><input style="width: 100%;" type="text"/> (tick one)</td> </tr> <tr> <td><b>D2</b></td> <td><del>EU non-regulated entity country of location</del> <u>Non-regulated entity country of authorisation</u></td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td><b>D3</b></td> <td><del>Non-EU regulated entity country of authorisation</del></td> <td><input style="width: 100%;" type="text"/></td> </tr> <tr> <td><b>D4</b></td> <td><del>Non-EU non-regulated entity country of location</del></td> <td><input style="width: 100%;" type="text"/></td> </tr> </table>	<b>D1</b>	<del>EU-regulated</del> <u>Regulated</u> entity country of authorisation	<input style="width: 100%;" type="text"/>		(a) Credit institutions	<input style="width: 100%;" type="text"/>		(b) Investment firm	<input style="width: 100%;" type="text"/>		(c) Insurance firm	<input style="width: 100%;" type="text"/> (tick one)	<b>D2</b>	<del>EU non-regulated entity country of location</del> <u>Non-regulated entity country of authorisation</u>	<input style="width: 100%;" type="text"/>	<b>D3</b>	<del>Non-EU regulated entity country of authorisation</del>	<input style="width: 100%;" type="text"/>	<b>D4</b>	<del>Non-EU non-regulated entity country of location</del>	<input style="width: 100%;" type="text"/>
<b>D1</b>	<del>EU-regulated</del> <u>Regulated</u> entity country of authorisation	<input style="width: 100%;" type="text"/>																					
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<b>D4</b>	<del>Non-EU non-regulated entity country of location</del>	<input style="width: 100%;" type="text"/>																					
<b>E</b>	Year-end for group consolidation purposes	<input style="width: 100%;" type="text"/>																					

Part 2: Threshold Information

F1	Is at least one of the entities in the group within the insurance sector and at least one in the banking/investment sector?	<input type="checkbox"/> Yes <input type="checkbox"/> No (go to part 3)
F2	For D2 & D4-groups only: enter the ratio of the balance sheet total of the financial sectors in the group to the balance sheet total of the group as a whole. Enter percentage in box*.	<input type="text"/> %
F3	What is the smallest financial sector?	<input type="checkbox"/> Insurance <input type="checkbox"/> Banking/Investing
F4	Ratio of balance sheet total of smallest financial sector to the balance sheet total of the financial sector entities in the group. Enter percentage in the box*.	<input type="text"/> %
F5	Ratio of the solvency requirement of the smallest financial sector to the solvency requirements of the total financial sector entities in the group. Enter percentage in box*.	<input type="text"/> %
F6	What is the balance sheet total of the smallest financial sector in the group (identified in F3)*?	<input type="text"/> (€'m)

\* see guidance notes on a recommended method of calculation

Part 3: Conclusion on reason for becoming a financial conglomerate

G	Select <b>ONE</b> of the following based on the answers in section 1 & 2.	
	<b>If <u>The answer to F1 is NO</u> or if <u>none of the following are met then select type-Z:</u></b>	<input type="checkbox"/> Z Not a conglomerate.
	If the group is category D1 or D3 and the average of F4 and F5 is greater than 10% <del>then select type-i.</del>	<input type="checkbox"/> i Conglomerate headed by a regulated institution with significant cross sector activities. <del>[article 3(2)] (GENPRU 3, Annex 4, Threshold test 2)</del>
	If the group is category D1 or D3 and the average of F4 and F5 is <del>less</del> <b>greater</b> than 10% <del>but</del> <b>and</b> F6 is greater than €6bn <del>then select ii.</del>	<input type="checkbox"/> ii Possible conglomerate headed by a regulated institution with presumed significant cross sector activities. <del>[article 3(3)] (GENPRU 3, Annex 4, Threshold test 3)</del>
	If the group is category D2 or D4 and the answer to F2 is greater than 40% AND the average of F4 and F5 is greater than 10% <del>then select type iii.</del>	<input type="checkbox"/> iii Conglomerate headed by non-regulated entity with significant cross sector activities. <del>[article 3(1) &amp; 3(2)] (GENPRU 3, Annex 4, Threshold tests 1 and 3)</del>
	If the group is category D2 or D4 and the answer to F2 is greater than 40% AND the average of F4 and F5 is <del>less</del> <b>greater</b> than 10% <del>but</del> <b>and</b> F6 is greater than €6bn <del>then select type iv.</del>	<input type="checkbox"/> iv Possible conglomerate headed by non-regulated entity with presumed significant cross-sector activities. <del>[article 3(1) &amp; 3(3)] (GENPRU 3, Annex 4, Threshold tests 1 and 3)</del>

Part 4: Other relevant information

H1	Who do you think are the relevant competent authorities for your group (i.e. supervisors in EEA States in which the group has significant regulated activity? See article 2 (17)(a) for definition of relevant competent authorities.	<input type="text"/>
H2	Who do you think should be the likely coordinator for the group? (i.e. EEA supervisor of the group's most important regulated activity in the EU)? See article 19(1) and 19(2). (See Regulation 1(2) of the Financial Conglomerates and Groups Regulations 2004 for a definition of 'co-ordinator')	<input type="text"/>
H3	Do you consider that balance sheet value and solvency requirements were an appropriate criterion to determine whether a group is financial and whether cross sector activities exist? If not, do you consider there are other parameters (as referred to in article 3(5)) that would be more appropriate? If not, do you consider there are other parameters (as referred to in regulation 19(3) of the Financial Conglomerates and Groups Regulations 2004) that would be more appropriate?	<input type="text"/>
H4	Do you have any other relevant comments? (use continuation sheet if necessary)	<input type="text"/>

## Annex B

### Amendments to the Supervision manual (SUP)

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

#### 15 Notifications to the FCA

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#### 15 Annex 3R Notification to amend firm details form

This form can be completed online now by visiting the *FCA*'s website.

The form is also to be found through the following ~~address~~ link:

~~Notification to amend firm details – SUP 15 Annex 3~~



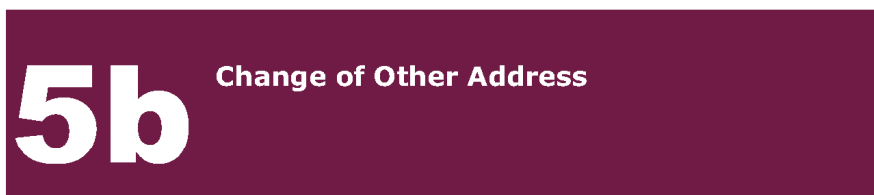
#### Notification to amend firm details

**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

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5 Change of Address



#### 5.5 Please indicate which of the following this change applies to.

- Actuary
- EEA Non-UK Branch
- Address Firm
- Association Branch
- Professional Advisor

# 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**

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](http://www.fca.org.uk/privacy).

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**15 Annex      SEF and RVECA management and marketing notifications**  
**6FG**

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**~~EuSEF and EuVECA~~ SEF and RVECA management and marketing notifications**

**Name of alternative investment fund manager:**

**Firms reference number (FRN)**

**Legal entity identification code (LEI)**

**Important information you should read before completing this form**

This form is **only** for AIFMs that are registered under the ~~EuSEF regulation (Regulation EU 2013/346)~~ or the ~~EuVECA regulation (Regulation EU 2013/345)~~ **SEF Regulation and the Venture Capital Funds (Amendment) (EU Exit) Regulations 2019.**

Other categories of sub-threshold AIFMs seeking to notify us of new funds should use the AIFMD new fund under management notification form, which is available on the FCA website at <https://www.fca.org.uk/firms/aifmd>

You should use this form to notify us of your intention to:

- manage and market a new fund under article 16 of the ~~EuSEF regulation~~ SEF Regulation or article 15 of the ~~EuVECA regulations~~ RVECA Regulations
- market an existing ~~EuSEF~~ SEF or ~~EuVECA~~ RVECA fund to a new jurisdiction
- cease marketing a ~~EuSEF~~ SEF or ~~EuVECA~~ RVECA to a jurisdiction that you currently market to
- cease managing a ~~EuSEF~~ SEF or ~~EuVECA~~ RVECA fund

References to the 'AIFMD UK Regulation' are to the Treasury's Alternative Investment Fund Managers Regulations 2013, the ~~'EuSEF regulation'~~ to Regulation EU 346/2013 and the ~~'EuVECA regulation'~~ to Regulation EU 345/2013 the SEF Regulation and the Venture Capital Funds (Amendment) (EU Exit) Regulations 2019.

**Reporting of sub-funds**

If an AIF takes the form of an umbrella AIF with several compartments or sub-funds, AIF-specific information should be reported at the level of the compartments or sub-funds.

For the purpose of this form, any reference to AIF includes compartments or sub-funds of that AIF that exhibit all the elements in the definition of 'AIF' in article 4(1)(a) of the AIFMD (ie, 'collective investment undertaking', 'raising capital', 'number of investors' and 'defined investment policy')

Submit the form by email to [AIFMDMaterialChange@fca.org.uk](mailto:AIFMDMaterialChange@fca.org.uk)

Alternatively you may post the application to the FCA at:

**Fund Authorisations Team  
 Asset Management Department, Wholesale Supervision  
 The Financial Conduct Authority  
 12 Endeavour Square  
 LONDON  
 E20 1JN**

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2 AIFs managed by the AIFM

## 2. Alternative investments funds (AIFs) managed by AIFM

Please complete this section if you are notifying us of a new fund that you intend to manage and market under article 16 of the ~~EuSEF~~ **SEF Regulation** or article 15 of the ~~EuVECA~~ **RVECA Regulation**.

- 2.1 Small registered UK AIFM:** If you are a small registered UK AIFM you should complete the '~~EuSEF~~ **SEF** & ~~EuVECA~~ **RVECA**' tab on the 'Schedule of AIFs' for small registered UK AIFMs with details of all new or amended AIFs being notified. (<http://fca.org.uk/static/documents/forms/aif-schedule-small-registered-aifm.xlsx>)

**Small authorised UK AIFM:** If you are a small authorised UK AIFM you should complete the '~~EuSEF~~ **SEF** & ~~EuVECA~~ **RVECA**' tab on the 'Schedule of AIFs' for small authorised UK AIFMs with details of all new or amended AIFs being notified. (<https://www.fca.org.uk/publication/forms/aif-schedule-small-authorised-aifm.xlsx>)

**Full-scope UK AIFM:** If you are a full-scope UK AIFM you should complete the '~~EuSEF~~ **SEF** & ~~EuVECA~~ **RVECA**' tab on the 'Schedule of AIFs' for full-scope UK AIFMs with details of all new or amended AIFs being notified. (<https://www.fca.org.uk/publication/forms/aif-schedule-full-scope-aifm.xlsx>)

- The schedule of new AIFs has been completed and attached.

**Note:** This form and all supporting documents should be in final form and saved using the document naming convention AIFMD EXAUM XXXXXX FRN##### YYYYMMDD replacing the X with an intuitive description of the documents, for example PROSPECTUS, PPM, LPA and replacing # with your six-digit FRN.

- 2.2 Please confirm which of the options below has been provided to satisfy the information required by article 5(2)(a) to (c) of the AIFMD level 2 regulation in relation to each new AIF.**

- Offering document attached for all new AIFs.  
 Extract of an offering document attached for all new AIFs.  
 Columns L to U completed for all new AIFs.

If you provide an offering document or an extract of an offering document that contains all of the information required by columns L to U of the schedule, then you are not required to separately complete these columns. If the offering document or extract of the offering document does not contain all of the information required in columns L to U, you must provide this information separately in the schedule referred to in question 2.1 above.

- 2.3 Please confirm the total assets under management for all AIFs to which you are, and will be, appointed AIFM, excluding any AIFs subject to transitional arrangements under regulations 74 and 75. This should be calculated as set out in article 2 of the AIFMD level 2 regulation.**

- 2.4 Small registered UK AIFMs only: please confirm that the combined assets of AIFs to which you are, and will be, appointed as AIFM will be within the small AIFM threshold set out in the UK AIFM regulations 9(1)(a).**



2 AIFs managed by the AIFM

- Yes ▶ Proceed to next section.
- No ▶ Please provide further details below.

**2.5 Please confirm that you can demonstrate that the fund will be marketed exclusively to investors who are considered to be one of the following.**

- a. ~~Professional clients in accordance with section 1 of Annex II to the Markets in Financial Instruments Directive (MiFID) 2004/39/EC, or which may, on request, be treated as professional clients in accordance with section II of Annex II to MiFID, considered to be professionals under The Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2017.~~
- b. Investors that commit to invest a minimum of €100,000 and state in writing in a separate document from the contract that is concluded for the commitment to invest, that they are aware of the risks associated with the envisaged commitment.
- c. Executives, directors or employees involved in the management of a ~~EuSEF/EuVECA~~ SEF/RVECA manager when investing in the ~~EuSEFs/EuVECA~~ SEFs/RVECAs that they manage.

- Yes ▶ Please provide further details below including explanation on compliance

### 3. ~~EuSEF~~ SEF designation

Complete this section if your notification concerns a ~~EuSEF~~ SEF fund

**We must be satisfied that the funds you manage will meet all relevant conditions for qualifying as a ~~European social entrepreneurship fund (EuSEF)~~ social entrepreneurship fund (SEF).**

Note: Please ensure that a separate copy of this section has been filled in for each intended qualifying social entrepreneurship fund being notified. You may generate additional copies of this section of the form by printing this section multiple times.

<del>EuSEF</del> <u>SEF</u> name	
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**3.1 Please indicate the type of notification you wish to make in respect of this fund**

Note: If you no longer manage any ~~EuSEF or EuVECA~~ SEF or RVECA funds and wish to cancel your registration, please submit a Small Registered AIFMD Change Form

- intention to manage and market a new fund ▶ Proceed to next question
- intention to market this existing fund to a new jurisdiction ▶ Continue to section 5
- intention to cease marketing in existing jurisdictions ▶ Continue to section 5
- intention to cease managing this fund ▶ Please provide the effective date of this change and say why management of this fund has/will cease, then continue to section 6

Note: The FCA will inform you within 20 working days of receiving the notification if we determine that the fund is not a qualifying social entrepreneurship fund under article 16 of the ~~EuSEF regulation~~ SEF Regulation.

**3.2 Please provide details of the overall social outcomes targeted by the fund and the methods used to measure these targeted outcomes.**

For examples of relevant criteria for these purposes, see article 10(1) of the ~~EuSEF regulation~~ SEF Regulation.

3 ~~EuSEF~~ SEF designation

**3.3 Please confirm that for the fund, at least 70% of the aggregate capital contributions and uncalled committed capital are intended to be invested in assets that are classified as qualifying investments, in line with article 3(1)(e) of the ~~EuSEF regulation~~ SEF Regulation.**

Yes ▶ Please provide further details below.

**3.4 Please confirm that, for the fund, no more than 30% of the aggregate capital contributions and uncalled capital will be used for acquisition of assets other than qualifying investments.**

Yes ▶ Please provide further details below.

**Details on the calculation of the 30% threshold can be found under article 5(1) of the ~~EuSEF regulation~~ SEF Regulation.**

**3.5 Please confirm that, at the time of investment by the fund, the achievement of measurable positive social impact will be the primary objective of each of the qualifying portfolio undertakings in which the fund invests.**

Yes ▶ Please provide further details below.

3 ~~EuSEF~~ SEF designation

**3.6 Please confirm that, for investments in portfolio undertakings that are established in a third country, you will take sufficient measures to ensure that each of these portfolio undertakings will fulfil the requirements of article 3(1)(d)(v) of the ~~EuSEF regulation~~ SEF Regulation.**

- Not applicable
- Yes ▶ Please provide further details below on these measures.

**3.7 Please confirm whether any portion of the funds will be invested in one or several other ~~EuSEFs~~ SEFs?**

- Yes ▶ Please provide further details below including explanation on compliance with article 3(1)(e)(iii) of the ~~EuSEF regulation~~ SEF Regulation.
- No ▶ Please proceed to next question.

**3.8 Please confirm that you have developed procedures to measure the extent to which the qualifying portfolio undertakings that the fund invests in achieve the positive social impact they are committed to. The procedures must meet the requirement of article 10(1) of the ~~EuSEF regulation~~ SEF Regulation.**

- Yes ▶ Please provide further details below on the procedures developed.

**3.9 Please confirm that you can demonstrate that the firm will not employ at the level of the ~~EuSEF~~ SEF, any method by which the exposure of the fund will be increased beyond the level of its committed capital?**

- Yes

3 EuSEF designation

**3.10 Please confirm that the rules for the valuation of assets are set out in the ~~EuSEF~~ SEF's rules or instruments of incorporation and that these rules ensure asound and transparent valuation process.**

Yes

**3.11 Please confirm that the valuation procedures used shall ensure that the assets are valued properly and that the asset value is calculated at least annually.**

Yes

**3.12 Is the applicant a full-scope AIFM?**

Yes ▶ Continue to 3.13

No ▶ Continue to Section 5

**3.13 You must attach the rules or instruments of incorporation of the qualifying social entrepreneurship fund(s).**

Attached

**3.14 Please provide information on the identity of the depositary.**

Give details below as per article 15a(2)(b) of the ~~EuSEF~~ SEF Regulation.

**3.15 Please list those EU Member States in which the firm has established, or intendsto establish, qualifying social entrepreneurship funds.**

Give details below as per article 15a(2)(d) of the ~~EuSEF~~ SEF Regulation.

4 ~~EuVECA~~ RVECA designation

**4. ~~EuVECA~~ RVECA designation**  
 Complete this section if your notification concerns a ~~EuVECA~~ RVECA fund

**We must be satisfied that the funds you manage will meet all relevant conditions for qualifying as a ~~European venture capital fund (EuVECA)~~ Registered Venture Capital fund (RVECA).**

Note: Please ensure that a separate copy of this section has been filled in for each intended qualifying venture capital fund being notified. You may generate additional copies of this section of the form by printing this section multiple times.

<b><del>EuVECA</del> <u>RVECA</u> name</b>	
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**4.1 Please indicate the type of notification you wish to make in respect of this fund**

Note: If you no longer manage any ~~EuSEF or EuVECA SEF~~ or RVECA funds and wish to cancel your registration, please submit a Small Registered AIFMD Change Form

- intention to manage and market a new fund ▶ Proceed to next question
- intention to market this existing fund to a new jurisdiction ▶ Continue to section 5
- intention to cease marketing in existing jurisdictions ▶ Continue to section 5
- intention to cease managing this fund ▶ Please provide the effective date of this change and say why management of this fund has/will cease, then continue to section 6

Note: The FCA will inform you within 20 working days of receiving the notification if we determine that the fund is not a qualifying venture capital fund under article 15 of the ~~EuVECA~~ RVECA Regulation.

...

4 ~~EuVECA~~ RVECA designation

**4.3 Please confirm that, for the fund, at least 70% of the aggregate capital contributions and uncalled committed capital are intended to be invested in assets that are classified as qualifying investments, in line with article 3(e) of the ~~EuVECA regulation~~ RVECA Regulation.**

Yes ▶ Please provide further details below.

**4.4 Please confirm that, for the fund, no more than 30% of the aggregate capital contributions and uncalled capital will be used for acquisition of assets other than qualifying investments.**

Yes ▶ Please provide further details below.

**Details of the calculation of the 30% threshold can be found under article 5(1) of the ~~EuVECA regulation~~ RVECA Regulation.**

**4.5 Please confirm that, for investments in portfolio undertakings that are established in a third country, you will take sufficient measures to ensure that each of these portfolio undertakings will fulfil the requirements of article 3(d)(iv) of the ~~EuVECA regulation~~ RVECA Regulation.**

Yes ▶ Please provide further details below on these measures.

N/A ▶ Please proceed to next question.

4 EuVECA RVECA designation

**4.6 Please confirm whether any portion of the funds will be invested in one or several other EuVECA RVECA's?**

- Yes ▶ Please provide further details below including explanation on compliance with article 3(e)(iv) of the EuVECA RVECA Regulation.
- No ▶ Please proceed to next question.

**4.7 Please confirm that you can demonstrate that the firm will not employ at the level of the EuVECA RVECA, any method by which the exposure of the fund will be increased beyond the level of its committed capital?**

- Yes ▶ Please provide further details below including explanation on compliance

**4.8 Please confirm that the rules for the valuation of assets are set out in the EuVECA RVECA's rules or instruments of incorporation and that these rules ensure sound and transparent valuation process.**

- Yes

**4.9 Please confirm that the valuation procedures used shall ensure that the assets are valued properly and that the asset value is calculated at least annually.**

- Yes

**4.10 Is the applicant firm a full-scope AIFM?**

- Yes ▶ Continue to 4.11
- No ▶ Continue to Section 5

**4.11 You must attach the rules or instruments of incorporation of the qualifying venture capital fund(s).**

- Attached

**4.12 Please provide information on the identity of the depositary.**

Give details below as per article 14a(2)(b) of the EuVECA RVECA Regulation.

4 EuVECA RVECA designation

**4.13 Please also list those Member States countries in which the firm has established, or intends to establish, qualifying venture capital funds.**

Give details below as per article 14a(2)(d) of the EuVECA RVECA Regulation.



## 5. Marketing activities ~~within the EEA~~ overseas

We need to know the ~~member states~~ non-UK countries where the ~~EuSEF/EuVECA SEF/RVECA~~ will be marketed.

Note: Please ensure that a separate copy of this section has been filled in for each ~~EuSEF/EuVECA SEF/RVECA~~ being notified. You may generate additional copies of this section of the form by printing this section multiple times.

<input type="checkbox"/> <del>EuSEF-SEF</del>	Fund legal name
<input type="checkbox"/> <del>EuVECA RVECA</del>	

5.1 Please confirm the ~~member states~~ non-UK countries where the ~~EuSEF or EuVECA SEF or RVECA~~ will be marketed.

...

**Note 1:** For permission to market in the UK, you must check the relevant box in the above table.

**\*Note 2:** The annexation of the ~~EuSEF/EuVECA Regulations to the EEA agreement with the European Union~~ has not been completed. Applicant firms have been instructed to ascertain from the competent authorities indicated in red the requirements to allow marketing activity in the interim period before annexation of the ~~EuSEF/EuVECA Regulations into the EEA agreement~~.

## 6. Declaration and signature

### Warning

It is a criminal offence to knowingly or recklessly give us information that is false or misleading. If necessary, please seek appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

### Data protection

~~For the purposes of complying with the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation.~~

~~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 the privacy notice available on our website: <https://www.fca.org.uk/privacy>.~~

~~For the purposes of complying with data protection legislation, please read our privacy notices: FCA's privacy notice <https://www.fca.org.uk/data-protection>. This notice will tell you what to expect when the FCA collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.~~

### Declaration

By submitting this notification form:

- **I confirm that I understand it is a criminal offence to knowingly or recklessly to give the FCA information that is false or misleading in a material particular (sections 398 and 400 of the Financial Services and Markets Act 2000).**
- **I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.**
- **I confirm that I am authorised to sign this notifications on behalf of the firm.**

<b>Date</b>	<input type="text"/>
<b>Name of signatory<sup>1</sup></b>	<input type="text"/>
<b>Position<sup>2</sup> of signatory</b>	<input type="text"/>
<b>Individual registration number (if applicable)</b>	<input type="text"/>
<b>Signature</b>	<input type="text"/>

<sup>1</sup> The signatory must be a suitable person of appropriate seniority at the firm.

<sup>2</sup> eg, Director, Sole Trader, Compliance Officer, etc.

...

## 16 Reporting requirements

...

### 16 Annex 42A Annual Financial Crime Report

REP-CRIM - Financial Crime Report

GROUP REPORTING

1 Does the data in this report cover more than one authorised firm?

A

--

2 If Yes, list the firm reference numbers (FRNs) of all additional firms included in this report.

FRN


+

Section 1: Operating Jurisdictions

3 Please list:

A	B
The jurisdictions within which the firm operates as at the end of the reporting period	Those jurisdictions assessed and considered high-risk by the firm
	+

Section 2: Customer Information

If any part of the the firm's business is subject to the Money Laundering Regulations, please provide the total number of the firm's relationships with:

- 4 Politically Exposed Persons
- 5 ~~Non-EEA Non-UK~~ Correspondent Banks
- 6 All Other High-Risk Customers

A	B
As at the end of the reporting period	New in the reporting period

**Annex C**

**Amendments to the Dispute Resolution: Complaints sourcebook (DISP)**

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

**1 Treating complainants fairly**

...

**1 Annex 1 Complaints return form**

...

Complaints return form - *DISP* 1 Annex 1R

**Complaints Return (DISP 1 Ann 1R)**

**GROUP REPORTING**

...

93		<u>Unit trusts/OEIGs UK authorised collective investment schemes</u>						
94		Structured products						
95		ETPs						
96		Discretionary management services						
97		Non-discretionary management services						
98	Investments	Platforms						
99		Crowdfunding / peer to peer						
100		FX/CFD/Spreadbetting						
101		<u>UCITS Overseas recognised schemes</u>						
102		Investment packaged multi products						
103		Other investment products/funds - Please provide details below						
			103X					
104			<b>Total investments</b>					

Part A-2, DISP Annex 1R

For firms receiving more than 500 complaints in the reporting period

Table 4

Complaints opened when greater than or equal to 500 opened complaints

		A	B	C	E	F	G	I	J	K	M	N	O
		Total	Advising, selling and arranging	Information, sums/charges or product performance	General admin/customer service	Arrears Related	Other	Claims					
		Total	Unsuitable advice	Unclear guidance/arrangement	Disputes over sums/charges	Product performance/features	Product disclosure information	Errors / not following instructions	Delays / timescales	Other general admin/customer service	Arrears related	Other	Number of complaints in columns B to N which are claims related
50	Product/service grouping	Product/service											
51	Banking and credit cards	Current accounts											
52		Credit cards											
53		Overdrafts											
		Packaged accounts											

88		87 X											
		<b>Total decumulation &amp; pensions</b>											
89	Investments	Investment bonds											
90		Endowments											
91		ISAs (where investment held)											
92		Investment trusts											
93		<u>Unit trusts/OEICs UK authorised collective investment schemes</u>											
94		Structured products											
95		ETPs											
96		Discretionary management services											
97		Non-discretionary management services											
98		Platforms											
99		Crowdfunding / peer to peer											
100		FX/CFD/Spreadbetting											
101		<u>UCITS Overseas recognised schemes</u>											
102		Investment packaged multi products											
103		Other investment products/funds - Please provide details below											
104		103 X											
		<b>Total investments</b>											

137		Other pensions														
138		Annuities (including enhanced and impaired)														
139		Drawdown and UFPLS														
140		Third way products (e.g. investment linked, variable, fixed term)														
141		Decumulation packaged multi products														
142		Other decumulation														
143		<b>Total decumulation &amp; pensions</b>														
144	Investments	Investment bonds														
145		Endowments														
146		ISAs (where investment held)														
147		Investment trusts														
148		<u>Unit trusts/OEICs UK authorised collective investment schemes</u>														
149		Structured products														
150		ETPs														
151		Discretionary management services														
152		Non-discretionary management services														
153		Platforms														
154		Crowdfunding / peer to peer														
155		FX/CFD/Spreadbetting														
156		<u>UCITS Overseas recognised schemes</u>														
157		Investment packaged multi products														
158		Other investment products/funds														
159		<b>Total Investments</b>														

...

			Number of client accounts	Number of sales or equivalent transactions
206	Investments	Investment bonds		
207		Endowments		
208		ISAs (where investment held)		
209		Investment trusts		
210		<u>Unit trusts/OEICs UK authorised collective investment schemes</u>		
211		Structured products		
212		ETPs		
213		Crowdfunding / Peer to Peer		
214		FX/CFD/Spreadbetting		
215		<u>UCITS Overseas recognised schemes</u>		
216		Investment packaged multi products		
217	Other investment products/funds			

**Annex D****Amendments to the Investment Funds sourcebook (FUND)**

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

**4 Specialist AIF Regimes**

...

**4 Annex  
1R Additional documentation and information to market an LTIF**

This annex consists only of one or more forms. Forms are to be found through the following address: *FUND* 4 Annex 1R



**Additional documentation and information to market an ~~ELTIF~~ LTIF  
(FUND 4 Annex 1R)**

<b>AIFM name</b>	
<b>FRN</b>	
<b>AIF name</b>	
<b>PRN</b>	

**Purpose of this form**

You should complete this form if you are a *full-scope UK firm* that wishes to *market* an ~~ELTIF~~ LTIF. This form sets out the information required by the ~~ELTIF~~ LTIF regulation that is in addition to the information required by ~~article 31 or 32 of AIFMD~~ regulation 54 of the AIFMD UK regulation and *FUND 3 Annex 1D*.

You may also use this form if you are a *full-scope UK firm* that wishes to notify the *FCA* of changes to the additional marketing information that was supplied previously.

**Important information**

A *full-scope UK AIFM* that wishes to *market* an ~~ELTIF~~ LTIF also needs to complete the form in *FUND3 Annex 1D* (Notification of intention to market an AIF in the United Kingdom) to *market* an ~~ELTIF~~ LTIF in the *United Kingdom*, and ~~SUP 13 Annex 8BR (Passporting: AIFMD)~~ to *market* an ~~ELTIF~~ in an *EEA State other than the United Kingdom*.

**Filling in the form**

1. If you are using your computer to complete the form, use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question. Once completed, print the relevant sections and sign the declaration in section 3.
2. If you are filling in the form by hand, use black ink, write clearly and, once you have completed the relevant sections, sign the declaration in section 3.
3. All firms should answer sections 1, 2 and 3.
4. If there is not enough space on the form, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**This form should be sent to:**

*Fund Authorisation and Supervision Team  
Financial Conduct Authority  
25 The North Colonnade  
Canary Wharf  
London  
E14 5HS  
12 Endeavour Square,  
London E20 1JN*

An electronic copy must be submitted by email to [fundsupervision@fca.org.uk](mailto:fundsupervision@fca.org.uk) [ukcis@fca.org.uk](mailto:ukcis@fca.org.uk)  
Website: [www.fca.org.uk](http://www.fca.org.uk)



## 1 Contact details

### 1.1 Details of the contact for this application

Contact name	
Position	
Firm	
Telephone number	
Fax number	
Email address	

## 2 Additional information to market an ~~ELTIF~~ LTIF

Please provide the following documentation and information

- 2.1 A copy of the prospectus of the ~~ELTIF~~ LTIF  Attached
- 2.2 A copy of the key information document of the ~~ELTIF~~ LTIF in the event that it is marketed to retail clients  Attached
- 2.3 Information on the facilities referred to in article 26 of the ~~ELTIF~~ LTIF regulation (continue on an additional sheet if required)

### 3 Declaration

**Warning**

Knowingly or recklessly giving us information that is false or misleading in a material particular is a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). We expect you to take reasonable steps to ensure the accuracy and completeness of information given to us and to tell us immediately if materially inaccurate information has been provided. Contravening these requirements may lead to disciplinary sanctions or other enforcement action by us. It should not be assumed that issues are known to us just because they are in the public domain or have previously been disclosed to us or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway. If necessary, please seek appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. And failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

**Data protection**

~~For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the FCA to discharge its 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 firm concerned.~~ For the purpose of complying with the General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000, the AIFMD UK regulation, the LTIF Regulation and other relevant legislation.

**Declaration**

By submitting this notification form:

- **I confirm that the information 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 aware that it is a criminal offence knowingly or recklessly to give the FCA information that is false or misleading in a material particular.**
  
- **I confirm that I am authorised to sign on behalf of the firm.**

Tick here to confirm you have read and understood the declaration.

Name	<input type="text"/>
Position	<input type="text"/>
Signature	<input type="text"/>
Date (dd/mm/yy)	<input type="text"/>

I enclose the following sections

Section 1 – Contact details	<input type="checkbox"/>
Section 2 – Additional information to market an <del>ELTIF</del> LTIF	<input type="checkbox"/>
Section 3 – Declaration	<input type="checkbox"/>

**Note to Declaration**

If you are submitting this notification electronically you do not need to provide a signature here. However, you still need to have the authority to make this notification on behalf of the firm.

Additional documentation and information to market an ~~ELTIF~~ LTIF (FUND 4 Annex 1)