|  |
| --- |
| **Add an appointed representative or tied agent form** |
| **Notification under *SUP* 12.7.1R (i.e. the form in *SUP* 12 Ann 3R)** |

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|  |  |
| --- | --- |
| *Firm* name (i.e. the *principal firm*) [[1]](#footnote-1)† |  **("*The firm*")** |
| Firm reference number**§** \* |   |
| Address**§** [[2]](#footnote-2)\* |   |

Please return the form to:

Financial Conduct Authority

12 Endeavour Square
London, E20 1JN

United Kingdom

Telephone +44 (0)

300 500 0597

Facsimile +44 (0) 207 066 0017

E-mail iva@fca.org.uk

Website http://www.fca.org.uk

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

**NONOTESTES**

This form should be used to notify the FCA of a new appointed representative or tied agent. It is the form required by *SUP* 12.7.1R which is set out in *SUP* 12 Ann 3R.

For the purposes of this form, references to ‘appointed representative’ include ‘tied agent’ unless the context otherwise requires.

**Personal Details** **Personal Details Section A**

|  |  |  |
| --- | --- | --- |
| **1** | Contact name for this form (this is not necessarily the same person making the declaration at the end of the form)[[3]](#footnote-3)† | **§** |
| **2** | Contact's details: |  |
|  | **a** | position in the *firm*† | **§**  |
|  | **b** | daytime telephone number† | **§**  |
|  | **c** | e-mail address† |   |
|  | **d** | individual reference number (IRN), if applicable[[4]](#footnote-4)\* |   |
|  | **e** | business address† |   |
|  | **f** | post code† |   |
|  | **g** | mobile phone† |   |

New Appointed Representative Details **Section B**

|  |  |  |
| --- | --- | --- |
| **1** | Name of the appointed representative[[5]](#footnote-5)† **§** | § |
|  | Appointed Representative FRN (if known) [[6]](#footnote-6)\* |   |
|  | Company registration number (Companies House number if incorporated in the United Kingdom)[[7]](#footnote-7)† |  |
| **2** | Address of the appointed representative† **§** | §   |
|  |  | Postcode:  |
| **3** | Trading name(s) of the appointed representative, if different to the name given in question 1 above† |   |
|  |  |   |
| **4** | Telephone number of the appointed representative† |   |
| **5** | Email address of the appointed representative†§ |  § |
| **6** | Website address of the appointed representative† |   |
| **7** | Legal status of the appointed representative **†** § |  |
|  | Private limited company | [ ]  | Public limited company | **[ ]**  |
|  | Partnership | [ ]  | Limited partnership | **[ ]**  |
|  | Limited liability partnership | [ ]  | Unincorporated association | **[ ]**  |
|  | Sole trader | [ ]  | Other, please specify below | [ ]  |
|  |   |
| **8** | Intended date of commencement of the appointed representative’s activities |  |
|  | Yes | No |
| **9** | Will the appointed representative be an introducer appointed representative? §**†** | **[ ]**  | **[ ]**  |
|  | Yes | No |
| **10** | Is the application in respect of a tied agent?†§ | **[ ]**  | **[ ]**  |
| **11** | If the appointed representative will carry on insurance distribution activities, name of main contact for Financial Services Register: † | Title † | § |
|  |  | Forename(s) † | § |
|  |  | Surname † | § |
|  | Yes | No |
| **12** | Was the appointed representative to which this form refers previously an appointed representative of a different principal? **†** §⸙ | **[ ]**  | **[ ]**  |
| **12A** | If “yes”, for what reason was the arrangement with the previous principal terminated? **†** ⸙ |
|  | End of contract | **[ ]**  | Terminated by principal | **[ ]**  |
|  | Retirement | **[ ]**  | Terminated by the appointed representative | **[ ]**  |
|  | Suspension | **[ ]**  | Failure of the appointed representative | **[ ]**  |
|  | Other | **[ ]**  |  |  |
| **12B** | If “yes”, please provide any additional information considered relevant.† ⸙ |  |
|  |  |
|  | Yes | No |
| **13** | Is the appointed representative part of a group? [[8]](#footnote-8) [[9]](#footnote-9)† § ⸙ | **[ ]**  | **[ ]**  |
| **13A** | If the appointed representative is part of a group, what is the name(s) and FRN(s) of the parent undertaking(s)?[[10]](#footnote-10) † ⸙ |  |
| **14** | What is the primary market covered by the appointed representative agreement in which the appointed representative will undertake regulated activity?[[11]](#footnote-11) † §  |
|  | Credit-related regulated activity; Select all that apply below:Credit brokingOther credit-related regulated activity | [ ] [ ] [ ]  | Operating an electronic system in relation to lending | **[ ]**  |
|  | Insurance distribution activity | [ ]  | Funeral plan distribution | **[ ]**  |
|  | Structured deposit regulated activity | [ ]  | Bidding in emissions auctions | **[ ]**  |
|  | Consumer buy-to-let mortgage business  | [ ]  | Home finance mediation activity; Select all that apply below:1. mortgage mediation activity;
2. reversion mediation activity;
3. home purchase mediation activity
 | **[ ]** **[ ]** **[ ]** **[ ]**  |
|  | Designated investment business; Select all that apply below:1. in connection with managing investments;
2. involves advising on pension transfers and pension opt-outs;
3. other designated investment business
 | **[ ]** **[ ]** **[ ]** [ ]  |  |  |
| **15** | If the appointed representative will be permitted to undertake regulated activities under the appointed representative agreement in additional markets, what markets will the appointed representative undertake regulated activities in? Select all options that apply: **†** §  |
|  | Credit-related regulated activity; Select all that apply below:Credit brokingOther credit-related regulated activity | [ ] [ ] [ ]  | Operating an electronic system in relation to lending | **[ ]**  |
|  |  Insurance distribution activity | [ ]  |  Funeral plan distribution | **[ ]**  |
|  |  Structured deposit regulated activity | [ ]  | Bidding in emissions auctions | **[ ]**  |
|  | Consumer buy-to-let mortgage business  | [ ]  | Home finance mediation activity; Select all that apply below:1. mortgage mediation activity;
2. reversion mediation activity;
3. home purchase mediation activity
 | **[ ]** **[ ]** **[ ]** **[ ]**  |
|  | Designated investment business; Select all that apply below:1. in connection with managing investments;
2. involves advising on pension transfers and pension opt-outs;
3. other designated investment business
 | **[ ]** **[ ]** **[ ]** [ ]  |  |  |
|  |  | Yes | No |
| **15A** | Will the appointed representative undertake funeral plan distribution? † § | **[ ]**  | **[ ]**  |
|  |  | Yes | No |
| **16** | Will the appointed representative provide services to retail clients, as applicable? † § ⸙ | **[ ]**  | **[ ]**  |
|  |  | Yes | No |
| **17** | Will any individuals from the appointed representative be seconded or contracted to the principal firm to carry on portfolio management / dealing activities? † § ⸙ | **[ ]**  | **[ ]**  |
| **18** | If ’Yes’ please explain the rationale for entering into such an arrangement. † ⸙ |  |
|  |  |
| **19** | What is the primary reason for the principal’s intention to appoint the appointed representative? † §⸙  |
|  | Distribution of products/services | **[ ]**  | Acquisition of an appointed representative / restructuring of business | **[ ]**  |
|  | Investment adviser to fund managed by principal/connected firm | **[ ]**  | Introductions/capital raising for principal’s business | **[ ]**  |
|  | Hosting/compliance services/incubation | **[ ]**  | Other | **[ ]**  |
|  |  |  | If other, provide details |  |
|  |  |  |  |  |
|  |  | Yes | No |
| **20** | Will the appointed representative conduct any non-regulated activities?[[12]](#footnote-12)† § ⸙ | [ ]  | **[ ]**  |
|  | If question 20 is answered “yes”, you must consider the two fields immediately below: | Yes | No |
| **20A** | Will the non-regulated activity include non-regulated financial services activities?[[13]](#footnote-13) † ⸙ | [ ]  | [ ]  |
| **20B** | If yes, what is the non-regulated financial services activity? † ⸙ | Open text box |

|  |  |  |
| --- | --- | --- |
| **21** | Approximately how much revenue does the appointed representative expect to generate from its regulated activities in the first year following the commencement of its appointment?[[14]](#footnote-14)† § | [ ] ≥£0 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |
| **22** | If question 20A is answered “yes”, approximately how much revenue does the appointed representative expect to generate from its non-regulated financial services activities in the first year following the commencement of its appointment? † § ⸙ | [ ] =£0 [ ] ≥£1 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |
| **23** | If question 20 is answered “yes”, approximately how much revenue does the appointed representative expect to generate from its non-regulated non-financial services activities in the first year following the commencement of its appointment? † § ⸙ | [ ] =£0 [ ] ≥£1 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |

|  |  |  |  |
| --- | --- | --- | --- |
|  |  | Yes | No |
| **24** | Will the appointed representative pay the principal firm for services received? † § | [ ]  | **[ ]**  |
| **24A** | If “yes”, indicate for which services the appointed representative will pay the principal firm: † |  |  |
|  | Commission[[15]](#footnote-15) | [ ]  | Compliance services[[16]](#footnote-16) | **[ ]**  |
|  | IT services[[17]](#footnote-17) | [ ]  | Regulatory hosting services  | **[ ]**  |
|  | Any other fees | [ ]  | If other, provide details |  |
| **24B** | Please provide any additional information about the financial relationship between the appointed representative and the principal considered relevant:[[18]](#footnote-18) † |  |

Declaration and signaturesSection C

**Warning**†

Knowingly or recklessly giving the FCA 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 and to notify the FCA immediately if materially inaccurate information has been provided.

Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the Appropriate Regulator.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA 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 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 applicant.

**Review and submission**†

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Some questions do not require supporting evidence. However, the records, which demonstrate the applicant firm's compliance with the rules in relation to the questions, must be available to the FCA on request.

**Declaration**†

**By submitting this notification:**

* **I/we confirm that this information 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/we confirm that I/we have complied with all of my/our regulatory obligations as a principal, including those contained in the Financial Services and Markets Act 2000 and SUP 12.**
* **I am/we are 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/we will notify the FCA** **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 a delay in the application process or enforcement action.**

|  |  |
| --- | --- |
| Signature [[19]](#footnote-19)\* |  |
| Name of signatory† |  |
| Date† |  |
| Position in firm † |  |
| Individual Registration Number (if applicable) |  |

[ ] Tick here to confirm you have read and understood this declaration: ∞

1. † These questions should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 [↑](#footnote-ref-1)
2. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online

§ Denotes a mandatory field

⸙ These questions are not applicable to introducer appointed representatives [↑](#footnote-ref-2)
3. † These questions should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 [↑](#footnote-ref-3)
4. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online

§ Denotes a mandatory field [↑](#footnote-ref-4)
5. † These questions should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 [↑](#footnote-ref-5)
6. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online

§ Denotes a mandatory field

⸙ These questions are not applicable to introducer appointed representatives [↑](#footnote-ref-6)
7. [↑](#footnote-ref-7)
8. “Group” has the meaning given in section 421 of the Financial Services and Markets Act 2000 and contained in the Glossary of the FCA Handbook: https://www.handbook.fca.org.uk/handbook/glossary/G486.html [↑](#footnote-ref-8)
9. [↑](#footnote-ref-9)
10. “Parent undertaking” has the meaning given in section 420 of the Financial Services and Markets Act 2000 and contained in the Glossary of the FCA Handbook: https://www.handbook.fca.org.uk/handbook/glossary/G832.html [↑](#footnote-ref-10)
11. The primary market refers to the category of regulated activity from which the largest percentage of the appointed representative’s gross income is expected to be derived. [↑](#footnote-ref-11)
12. In this form, ‘non-regulated activity’ means activity that is not a *regulated activity*. [↑](#footnote-ref-12)
13. In this form, ‘non-regulated financial services activities’ refers to any activity of a financial nature but that does not involve the *person* carrying on *regulated activity*.  This includes, but is not limited to, activities relating to investment services; insurance; pensions; banking; lending (including consumer credit, mortgages, factoring, financing of commercial transactions); financial leasing; money transmission; payments; guarantees and commitments; foreign exchange; the issuance of securities and other service of a corporate finance nature; custodial, depositary and trust services; and financial information and data services.   [↑](#footnote-ref-13)
14. Where the data is available, for example if the appointed representative already conducts these activities (for example, for non-regulated business, or if regulated business was conducted under a different principal) the principal should provide the estimation based on actual figures. [↑](#footnote-ref-14)
15. Most commission is paid by the principal firm to appointed representatives. This question asks about payments the appointed representative makes to the principal firm. Select this option if the appointed representative will make commission payments to the principal. [↑](#footnote-ref-15)
16. Fees the appointed representative will pay the principal for providing them or assisting them with compliance. [↑](#footnote-ref-16)
17. Payments the appointed representative will make to the principal for use of IT systems, including licences. [↑](#footnote-ref-17)
18. Principals can use this text box to explain the nature of the financial relationship between themselves and the appointed representative. This could include, for example, explanations of payments made by the appointed representative to the principal, or by the principal to the appointed representative. It can also be used to explain the financial arrangement if no money is paid. [↑](#footnote-ref-18)
19. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online. [↑](#footnote-ref-19)