|  |
| --- |
| Appointed representative or tied agent -  change details |
| Notification under *SUP* 12.7.7R (i.e. the form in *SUP* 12 Ann 4R) |



|  |  |
| --- | --- |
| *Firm* name (i.e. the *principal firm*) † | **("*The firm*")** |
| Firm reference number\* |  |
| Address\* |  |

|  |  |  |  |
| --- | --- | --- | --- |
| |  |  | | --- | --- | | 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 |  | |  |

NOTES

This form should be used to change the details of an existing appointed representative or tied agent. It is the form required by *SUP* 12.7.7R which is set out in *SUP* 12 Ann 4R.

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

**N.B. if all the changes made on the form do not take effect from the same date, you should use more than one form for each set of changes that take effect on the same date.**

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) † | | **§** |
| **2** | Contact's details: | |  |
|  | **a** | position in the *firm*† | **§** |
|  | **b** | daytime telephone number† | **§** |
|  | **c** | e-mail address† |  |
|  | **d** | business address† |  |
|  | **e** | post code† |  |
|  | **f** | mobile phone number† |  |

Change Details of an Existing Appointed Representative Section B

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| What is the name of the appointed representative whose details are to be amended? † | | **§** | | |
| What is this appointed representative's Firm Reference Number? (If not known, this can be found on the Financial Services Register on our website at www.fca.org.uk) † | | **§** | | |
|  | | | Yes |  |
| 1 | a. Do you wish to suspend the appointed representative?† | |  |  |
|  | If ‘Yes’, please give the reasons for this: † | | |  |
|  |  | | | |
|  | If you have any additional information to add to the reason above please attach it to this form †.  Yes  **b. Do you wish to reinstate** the appointed representative? † | | |  |
| |  |  |  | | --- | --- | --- | | è | I have supplied further information  related to this page in Section 3†  . | YES  NO | |  |  |  | | | | | | |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | | | | | | Yes |  |
| 2 | Do you wish to change the name of the appointed representative? † | | | | |  |  |
|  | If ‘Yes’, what is the new name of the appointed representative? † | | **§** | | | | |
|  | | | | | | Yes |  |
| 3a | Do you wish to change the legal status of the appointed representative? † | | | | |  |  |
|  | If ‘Yes’, what is the new 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 | | |  |
|  |  | | | | | | |
|  |  | | | | Yes | No | N/A |
| **3b** | Has the name change been approved by Companies House? † | | | |  |  |  |
|  | **N.B.** If the appointed representative is a UK registered company or LLP, the name of the appointed representative can only be changed if the change has already been approved by Companies House. | | | | | | |
|  | | | | | | Yes |  |
| 4 | Do you wish to change the address of the appointed representative?† | | | | |  |  |
|  | If ‘Yes’, please enter the new address: † | | | **§**  Postcode: | | | |

† 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

⸙ These questions are not applicable to introducer appointed representatives

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| |  |  |  |  | | --- | --- | --- | --- | |  | | Yes |  | | 5 | Do you wish to change the trading name(s) of the appointed representative? † |  |  | | | |
|  | If ‘Yes’, please provide details below. If you wish to amend a trading name please enter the name to be deleted in the box on the left and add the new one in the box on the right. | |
|  | Please detail the trading name(s) to be deleted below: † | Please detail the trading name(s) to be added  below: † |
|  |  |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | | | | | Yes |  |
| 6 | Do you wish to change the telephone number of the appointed representative? † | | | |  |  |
|  | If ‘Yes’, please enter the new telephone number: † | **§** | | | | |
|  | | | | | Yes |  |
| 7 | Do you wish to change the E-mail address of the appointed representative? † | | | |  |  |
|  | If ‘Yes’, please enter the new e-mail address† | **§** | | | | |
|  | | | | | Yes |  |
| 8 | Do you wish to change the website address of the appointed representative? † | | | |  |  |
|  | If ‘Yes’, please enter the new website address: † | | **§** | | | |
|  | | | | | Yes | No |
| 9 | Is the appointed representative currently an introducer appointed representative? † | | | |  |  |
|  | Do you wish to change this? If ‘Yes’, please provide details below: † | | | |  |  |
|  |  | | | | | |
|  | | | | | Yes | No |
| **10** | Do you wish to change the details of the Main Contact for the Financial Services Register for this appointed representative? † | | | |  |  |
|  | If ‘Yes’, please give the new details: | Title† | |  | | |
|  |  | Forename(s) † | |  | | |
|  |  | Surname† | |  | | |

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | | | | | | | | | Yes | | | No | |
| 11 | Is the appointed representative currently part of a group? [[1]](#footnote-1) [[2]](#footnote-2)† ⸙ | | | | | | | | |  | | |  | |
| 11A | Do you wish to change this? If ‘Yes’, please provide details below. If the appointed representative was not part of a group and will become part of a group following the change, provide the name(s) and FRN(s) of the parent undertaking(s)[[3]](#footnote-3): † ⸙ | | | | | | | | |  | | |  | |
|  |  | | | | | | | | | Yes | | | No | |
| 12 | Do you wish to change the primary market in which the appointed representative will undertake regulated activity?[[4]](#footnote-4) [[5]](#footnote-5)† | | | | | | | | |  | | |  | |
| 12A | If ‘Yes’, please enter the new primary market in which the appointed representative will undertake regulated activity: † | | | | | | | | | | | | | |
|  | Credit related regulated activity; Select all that apply below:  Credit broking  Other 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 | |
| 13 | Do you wish to change the additional markets in which the AR will undertake regulated activities? † | | | | | | | | |  | | |  | |
| 13A | If ‘Yes’, please select all the markets (other than the primary market) in which the appointed representative will undertake regulated activity, following the change: † | | | | | | | | |  | | |  | |
|  | Credit related regulated activity; Select all that apply below:  Credit broking  Other 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 | | | |
| 13B | Do you wish to change whether the appointed representative is a tied agent? If ‘Yes’, please respond to the question below. † ⸙ | | | | | | | | |  | | |  | |
|  |  | | | | | | | | | Yes | | | No | |
| 13C | Does the appointed representative undertake funeral plan distribution? † § | | | | | | | | |  | | |  | |
|  | Do you wish to change this? If ‘Yes’, please provide details below:† | | | | | | | | |  | | |  | |
| 14 | Do you wish to change whether the appointed representative provides services to retail clients? If ‘Yes’, please respond to the question below. † ⸙ | | | | | | | | |  | | |  | |
| 14A | Will the appointed representative provide services to retail clients following the change? † ⸙ | | | | | | | | |  | | |  | |
|  | | | | | | | | | | Yes | | | No | | | |
| 15 | Do you wish to change whether the appointed representative conducts any non-regulated activities?[[6]](#footnote-6) † ⸙ | | | | | | | | |  | | |  | |
| 15A | Will the appointed representative conduct any non-regulated activities following the change? † ⸙ | | | | | | | | |  | | |  | |
| 15B | If question 15A is answered “yes”, will the non-regulated activity include non-regulated financial services activities?[[7]](#footnote-7) † ⸙ | | | | | | | | |  | | |  | |
|  | If question 15B is answered “yes”, you must also answer question 16B. | | | | | | | | |  | | |  | |
|  |  | | | | | | | | | Yes | | | No | |
| 16 | Do you wish to change the nature of the non-regulated business the appointed representative will conduct following the change? † ⸙ | | | | | | | | |  | | |  | |
| 16A | Does the non-regulated activity include non-regulated financial services activities?5 † ⸙ | | | | | | | | |  | | |  | |
| 16B | If questions 15B or 16A are answered “yes”, what is the non-regulated financial services activity? † ⸙ | | | | | | | | |  | | | | |
|  |  | | | | | | | | | Yes | | | No | |
| 17 | Are any individuals from the appointed representative currently seconded or contracted to the principal firm to carry on portfolio management / dealing activities? † ⸙ | | | | | | | | |  | | |  | |
| 17A | Will any individuals from the appointed representative be seconded or contracted to the principal firm to carry on portfolio management / dealing activities following the change? † ⸙ | | | | | | | | |  | | |  | |
|  |  | | | | | | | | | Yes | | | No | |
| 18 | Do you wish to change the primary reason for the principal’s appointment of the appointed representative? † | | | | | | | | |  | | |  | |
| **18A** | What is the primary reason for the principal’s appointment of 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 | | | |
| 19 | Does the appointed representative currently pay the principal firm for services received? † | | | | | | | | |  | | |  | |
| 19A | Do you wish to change this? † | | | | | | | | |  | | |  | |
| 19B | If the appointed representative did not pay the principal for services before and will pay following the change; indicate which services the appointed representative will pay the principal firm for following the change: † | | | | | | | | |  | | |  | |
|  | Commission[[8]](#footnote-8) | | |  | | Compliance services[[9]](#footnote-9) | | | | | | |  | |
|  | IT services[[10]](#footnote-10) | | |  | | Regulatory hosting services | | | | | | |  | |
|  | Any other fees | | |  | | If other, provide details | | | | | | |  | |
| **19C** | Please provide any additional information about the financial relationship between the appointed representative and the principal considered relevant (including if the appointed representative did pay the principal for services before and will not pay following the change):[[11]](#footnote-11) † | | | | | | |  | | | | | |
|  |  | | | | | | | | | | | | | |
| **20** | Please enter the date on which these changes take effect. † § | | | | | | | |  | | | | | |

Supplementary information Section 3

**3.01** Is there any other information the approved person or the firm considers to be relevant to the application? †

|  |  |
| --- | --- |
| Yes | No |
|  |  |

If so, please provide full details†

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | | | |
| 3.02 | Please indicate clearly which question the supplementary information relates to. † | | | |
|  | **Question** | **Information** | | |
| 3.03 | How many additional sheets are being submitted? † | |  | |

Supporting Documents

Indicate the required supporting documents to accompany this form†.

|  |  |
| --- | --- |
| **Documents** | **Mode (Send by email, Post, or Fax)** |
|  |  |

Other information (please specify) †:

|  |
| --- |
|  |

Declaration and signature Section 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 FCA. 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.  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 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\* |  |
| Name of signatory†. |  |
| Date† |  |
| Position in *firm* † |  |
| Individual Reference Number (if applicable) † |  |
|  | |

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

1. “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-1)
2. [↑](#footnote-ref-2)
3. “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-3)
4. The primary market refers to the category of regulated activity from which the largest percentage of the appointed representative’s gross income is derived. [↑](#footnote-ref-4)
5. [↑](#footnote-ref-5)
6. In this form, ‘non-regulated activity’ means activity that is not a *regulated activity*. [↑](#footnote-ref-6)
7. 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-7)
8. 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-8)
9. Fees the appointed representative will pay the principal for providing them or assisting them with compliance. [↑](#footnote-ref-9)
10. Payments the appointed representative will make to the principal for use of IT systems, including licences. [↑](#footnote-ref-10)
11. 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-11)