

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.

Notes

This form should be used to update your firm name and trading name(s), website address, accounting reference date, auditors, locum, contacts and addresses.

1 Personal Details

1.1 Contact Name for this notification

1.2 Contact Details

| | |
|--|--|
| Position in the firm | |
| Daytime telephone number | |
| Email address | |
| Individual reference number (IRN), if applicable | |

2 Change Full Name of Firm

If you wish to advise the FCA or PRA of a change to the firm's name please enter the following details, otherwise proceed to Section 3.

Note: this section is not intended to be used by firms that are covered by Industrial & Provident, Friendly Society, Credit Union or Building Society legislation. These firms should contact the FCA's Mutuals Team.

2.1 Current Legal Status

- Private Limited Company
 Public limited company
 Limited Liability Partnership
 Limited partnership
 Sole trader
 Unlimited Liability Company
 Partnership
 Other ▶ Please specify below

2.2 New full name of firm

2.3 Please enter the date on which the change becomes effective

 / /

2.4 Has the change requested been approved by Companies House?

- Yes
 No
 N/A

If your firm is a UK registered limited company (including PLC), limited partnership (if registered at Companies House), limited liability partnership or unlimited liability company, you should only make a change to your firm name if the change has already been approved by Companies House.

If you have answered 'Not Applicable', please explain why below.

2.5 I confirm that the change requested does not constitute a change of legal status.

- Yes

3a

Add New Trading Name(s)

If you wish to add a new trading name of the firm please enter the following details, otherwise please proceed to Section 3b.

New Trading Name

Please enter the date on which the change becomes effective

 / /

New Trading Name

Please enter the date on which the change becomes effective

 / /

New Trading Name

Please enter the date on which the change becomes effective

 / /

New Trading Name

Please enter the date on which the change becomes effective

 / /

3b**Delete Current Trading Name(s)**

If you wish to delete a trading name of the firm please enter the following details, otherwise please proceed to Section 4.

Trading name to be deleted

Please confirm when the trading name must cease
 / /

I confirm that the above trading name will not be used by the firm from the date indicated above

Yes

Trading name to be deleted

Please confirm when the trading name must cease
 / /

I confirm that the above trading name will not be used by the firm from the date indicated above

Yes

Trading name to be deleted

Please confirm when the trading name must cease
 / /

I confirm that the above trading name will not be used by the firm from the date indicated above

Yes

Trading name to be deleted

Please confirm when the trading name must cease
 / /

I confirm that the above trading name will not be used by the firm from the date indicated above

Yes

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
- 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"/> |
|----------------------|----------------------|---|----------------------|----------------------|---|----------------------|----------------------|----------------------|----------------------|

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
 Firm Association Branch
 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"/> |
|----------------------|----------------------|---|----------------------|----------------------|---|----------------------|----------------------|----------------------|----------------------|

6

Change of Accounting Reference date

6.1 Please enter the following details to change your accounting reference date

Current Accounting Reference Date (dd/mm)

| | | | | |
|---|---|---|---|---|
| □ | □ | / | □ | □ |
|---|---|---|---|---|

New Accounting Reference Date (dd/mm)

| | | | | |
|---|---|---|---|---|
| □ | □ | / | □ | □ |
|---|---|---|---|---|

6.2 What accounting periods will result from the change? The new accounting reference date that you have entered could result in several different periods depending on whether you want to extend or reduce your periods and which period is the first period affected.

Although the FCA or PRA may accept accounting periods of up to 18 months, SUP 16.3.18G advises firms that accounting periods longer than 15 months may be deemed unacceptable as this may hinder the timely provision of relevant and important information to the FCA or PRA. If a firm wishes to have an accounting period of longer than 18 months (sole traders and certain partnerships), the firm must apply to the FCA in writing.

Please detail the start and end dates for the current accounting period and the two following periods below:

Current Period

From

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

To

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

Next Period

From

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

To

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

Next Period 2

From

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

To

| | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| □ | □ | / | □ | □ | / | □ | □ | □ | □ |
|---|---|---|---|---|---|---|---|---|---|

Note the change that you have requested will result in a change to your reporting timetable.

I confirm the change requested above and that it is correctly represented by the accounting periods listed.

7 Change of Website Address

7.1 Please enter the new website address (format – www.fca.org.uk)

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"/> |
|----------------------|----------------------|---|----------------------|----------------------|---|----------------------|----------------------|----------------------|----------------------|

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

/ /

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.

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.

| Signature one | | Signature two |
|-----------------------------------|----------|----------------------|
| Name ¹ | | |
| Position ² | | |
| Individual Reference Number (IRN) | | |
| Signature | | |
| Date | dd/mm/yy | dd/mm/yy |

¹ For a sole trader, the signature of the principal is required

For a limited company, the signature of two directors or one director and the company secretary is required.

² For a partnership, the signature of at least one partner is required. e.g. director, partner or sole trader