

Firm name:

FSA firm reference number:



Intended EEA state(s) of establishment:

Purpose of this form

- *auction regulation* to establish a branch and/or use agents located in another *EEA state*.
- This form assists the *FSA's* supervision of a branch in another *EEA state* and its cooperation with regulators in other *EEA states*.

For general guidance on the exercise of passport rights by *UK firms*, please refer to *SUP 13*.

Filling in the form

1. When completing the notification, use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question. Once completed send to the email address below.
2. All relevant questions must be answered in full and all relevant documents attached.

If you have any questions in connection with Auction regulation, please call the Firm Contact Centre on: 0845 606 9966 (Call rates may vary) Overseas call +44 20 7066 1000 or E-mail: EmissionsTrading@fsa.gov.uk

Emissions Trading team
The Financial Services Authority
25 The North Colonnade
Canary Wharf
London, E14 5HS
Telephone: +44 (0)20 7066 1000

E-mail: EmissionsTrading@fsa.gov.uk

Contact details of the firm in the UK

1.1 Details of the person we can contact about this notification.

Contact name	
Position at firm	
Telephone number	+
Email address	@
Web address	www

2. Details about the establishment (branch and/or agents)

2.1 Branch details

Please provide the address of the proposed EEA branch(es)

Address	
Country	
Telephone number	
Email address at branch	@

2.2 Please provide details of the branch manager(s)

<i>Title</i>	<i>Forename</i>	<i>Surname</i>	<i>Direct E-mail:</i>	<i>Direct dial telephone</i>

2.3 Please give the proposed date for the business to start at the branch or the date on which business started at the branch (dd/mm/yyyy).

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2.4 Do you intend to use an agent located in another EEA state to carry on auction regulation bidding in that EEA state?

Yes No

If 'Yes' please complete sections 2.5 – 2.7.

2.5 Agent details

Name of agent	
Contact name	
Address	
Postcode	
Telephone number	+44(0)
Email address	@

2.6 If you are using more than one agent, please attach their details to this form using the format above.

2.7 Please give the proposed date the agent is to commence business on the firm's behalf or the date on which business commenced (dd/mm/yyyy).

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3. Declaration

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.

It is a criminal offence to knowingly or recklessly give us information that is false or misleading. If necessary, please take 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.

- I understand it is a criminal offence to knowingly or recklessly give the FSA information that is false or misleading.
- 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 on behalf of the firm.

Name	
Position	
Telephone	
E-mail	
Signature	
Date	dd/mm/yy

Data protection

For the purposes of complying with the Data Protection Act 1998, the personal information in this form will be used by the FSA to discharge its statutory functions under the *auction regulation* and other relevant legislation and may be disclosed to third parties for those purposes.

Where to send this form

Please email the completed form, together with any required documentation to the Emissions Trading team at: EmissionsTrading@fsa.gov.uk