

Chapter 3

Notification rules for UK recognised bodies

3.1 Application and purpose

Application

- 3.1.1
- R
- (1) The *notification rules* in this chapter, which are made under section 293 of the *Act* (Notification requirements), apply to all *UK recognised bodies*.

(2) The *rules* relating to the form and method of notification in ■ REC 3.2 also apply to *overseas recognised bodies*.

- 3.1.2
- G
- The *notification rules* for *overseas recognised bodies* are set out in ■ REC 6. The *guidance* set out at ■ REC 3.3 in relation to the waiving and modification of *notification rules* also applies to the *notification rules* in this chapter and to the *notification rules* in ■ REC 6.

- 3.1.3
- G
- The *notification rules* in this chapter are in addition to the requirements on *UK RIEs* to give notice or information to the *FCA* and if applicable, the Bank of England under sub-sections 293(5) and (6) of the *Act*.

- 3.1.3A
- G
- The *notification rules* in this chapter which apply to a *RAP* are without prejudice to *notification rules* which apply to a *UK RIE* which operates the *RAP*. However, a *UK RIE* which operates a *RAP* may make a single notification where a notification is required both in its capacity as a *UK RIE* and a *RAP*.

Purpose

- 3.1.4
- G
- The *notification rules* in this chapter are made by the *FCA* in order to ensure that it is provided with notice of events and information which it reasonably requires for the exercise of its functions under the *Act*.