

## Chapter 10A

# FCA Approved Persons in Appointed Representatives



10A.12

Procedures relating to FCA-  
approved persons

Forms

10A.12.1

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The forms listed in [SUP 10A.12.2 G](#) are referred to in [SUP 10A.12](#) (Procedures relating to FCA-approved persons) to [SUP 10A.16](#) (How to apply for approval and give notifications).

10A.12.2

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Table: FCA-approved persons forms

Form		Purpose	Handbook re- quirement
the relevant Form A	<a href="#">SUP 10C Annex 3D</a>	Application to perform controlled functions under the approved persons regime	<a href="#">SUP 10A.13.3 D</a>
Form B	<a href="#">SUP 10C Annex 4R</a>	Notice to withdraw an application to perform controlled functions under the approved persons regime	<a href="#">SUP 10A.13.19 R</a>
Form C	<a href="#">SUP 10C Annex 5R</a>	Notice of ceasing to perform controlled functions	<a href="#">SUP 10A.14.8 R</a>
Form D	<a href="#">SUP 10C Annex 6R</a>	Notification of changes in personal information or application details	<a href="#">SUP 10A.14.15 R</a>
Form E	<a href="#">SUP 10C Annex 7D</a>	Internal transfer of an <i>approved person</i>	<a href="#">SUP 10A.14.4 D</a>

10A.12.3

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[deleted]

10A.12.4

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Unless the context otherwise requires, in [SUP 10A.12](#) (Procedures relating to FCA-approved persons) to [SUP 10A.16](#) (How to apply for approval and give notifications) where reference is made to a *firm*, this also includes an

applicant for *Part 4A permission*, and other *persons* seeking to carry on *regulated activities* as an *authorised person*.

**10A.12.5** G Forms B, C, D and E can only be submitted in respect of an *FCA-approved person* by the *firm* that submitted an *FCA-approved person's* original application (the relevant Form A).

**10A.12.6** G Copies of Forms A, B, C, D and E may be obtained from the *FCA* website. *Credit unions* can obtain copies from the *FCA's* Supervision Hub. To contact the *FCA's* Supervision Hub for *approved persons* enquiries:

- (1) telephone 0300 500 0597; or
- (2) e-mail [firm.queries@fca.org.uk](mailto:firm.queries@fca.org.uk); or
- (3) fax 020 7066 0017; or
- (4) write to:  
Supervision Hub  
The Financial Conduct Authority  
12 Endeavour Square  
London  
E20 1JN.