

Chapter 10A

FCA Approved Persons in Appointed Representatives

		<div>10A.15</div> <div>References and accurate information</div>
		<div>References</div>
10A.15.1	G	<div><div>(1) ■ SYSC 22 (Regulatory references) says that if a <i>firm</i> (A): is considering appointing a <i>person</i> (P) to perform any <i>controlled function</i> or certain other functions; (b) requests a reference from a <i>firm</i> (B) that is P's current or former <i>employer</i>; and (c) indicates to B the purpose of the request; B should, as soon as reasonably practicable, give a reference to A. (2) ■ SYSC 22.8.3R and ■ SYSC 22.8.4R (Appointed representatives) say that this applies to B's <i>appointed representatives</i> as well as to B. (3) [deleted]</div></div>
10A.15.2	G	[deleted]
10A.15.3	G	[deleted]
10A.15.3A	G	[deleted]
		<div>The need for complete and accurate information</div>
10A.15.4	G	<div>The obligations to supply information to the <i>FCA</i> under either ■ SUP 10A.14.8R or ■ SUP 10A.14.10R apply notwithstanding any agreement (for example a 'COT 3' Agreement settled by the Advisory, Conciliation and Arbitration Service (ACAS)) or any other arrangements entered into by a <i>firm</i> or its <i>appointed representative</i> and an <i>employee</i> upon termination of the <i>employee's</i> employment. A <i>firm</i> should not (and should ensure that its <i>appointed representatives</i> do not) enter into any such arrangements or agreements that could conflict with its obligations under this section.</div>
10A.15.5	G	<div>Failing to disclose relevant information to the <i>FCA</i> may be a criminal offence under section 398 of the <i>Act</i>.</div>