

Chapter 10C

FCA senior managers regime
for approved persons in
SMCR firms



10C.15 Forms and other documents and how to submit them to the FCA

Purpose

- 10C.15.1
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- The purpose of this section is to:
- (1)

summarise the main forms and other documents used in this chapter; and
- (2)

explain how they should be submitted to the FCA.

Forms and documents

- 10C.15.2
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- The main forms and other documents used in this chapter are listed in
- SUP 10C.15.3G.

- 10C.15.3
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- Table: FCA approved persons forms and other documents

Form or other document		Purpose	Handbook requirement
The relevant Form A	SUP 10C Annex 3D	Application to perform <i>designated senior management functions</i>	SUP 10C.10.8D
Form B	SUP 10C Annex 4R	Notice to withdraw an application to perform <i>controlled functions</i> under the senior managers regime	SUP 10C.10.36R
		Notice to withdraw an application to vary an approval under the senior managers regime	SUP 10C.13.15R
Form C	SUP 10C Annex 5R	Notice of ceasing to perform <i>controlled functions</i>	SUP 10C.14.5R

Form or other document		Purpose	Handbook requirement
Form D	SUP 10C Annex 6R	Notification of changes in personal information or application details or functions	SUP 10C.14.13R SUP 10C.14.15R
		Notification about fitness or of breach of conduct rules	SUP 10C.14.18R SUP 10C.14.22R
Form E	SUP 10C Annex 7D	Internal transfer of an <i>approved person</i>	SUP 10C.10.9D
Form I	SUP 10C Annex 8D	Application to vary a conditional approval	SUP 10C.13.6D
Form J	SUP 10C Annex 9D	Notification of significant change to a <i>statement of responsibilities</i>	SUP 10C.11
Relevant <i>statement of responsibilities</i>	SUP 10C Annex 10D		SUP 10C.11
MiFID Article 4 SMR Information Form	SUP 10C Annex 11D		SUP 10C.10.9BD
Annex III template	https://www.fca.org.uk/publication/forms/mifid-changes-management-body-form.docx	As required by the <i>MiFID authorisation and management body change notification ITS</i>	SUP 10C.10.9AG and SUP 10C.14.6AG
[Note: Some of these forms are also used for the purposes of SUP 10A (FCA Approved Persons in Appointed Representatives)]			

- 10C.15.4

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■ SUP 10C Annex 2G gives examples of the circumstances in which the documents in ■ SUP 10C.15.3G should be used.
- 10C.15.5

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Copies of the forms in ■ SUP 10C.15.3G and of the *statement of responsibilities* may be obtained from the FCA website. *Credit unions* can obtain copies from the FCA's Supervision Hub.
- 10C.15.6

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To contact the FCA's Supervision Hub for *approved persons* enquiries:

(1) telephone: 0300 500 0597;

(2) email: firm.queries@fca.org.uk; or

(3) [deleted]

(4) write to:

Supervision Hub
The Financial Conduct Authority
12 Endeavour Square
London, E20 1JN.

How to make applications and give notifications

- 10C.15.7 D
- (1) A *firm* other than *firm* in (2) must submit a document in column 1 of the table in ■ SUP 10C.15.10R, in accordance with the corresponding requirement in column two of that table.

(2) A:

(a) *credit union*; or

(b) a *firm* whose *Part 4A permission* covers only *credit-related regulated activities*;

must submit a document in column 1 of the table in ■ SUP 10C.15.10R, in accordance with the corresponding requirement in column three of that table.

(3) This direction applies to the forms and other documents listed in the table in ■ SUP 10C.15.10R that are submitted under a direction.

10C.15.8 R

■ SUP 10C.15.7D also applies to the forms and other documents listed in the table in ■ SUP 10C.15.10R that are submitted under a *rule*.

10C.15.9 G

It is up to the *firm* referred to in ■ SUP 10C.15.7D(2) concerned to decide which of the methods of submission available to it under ■ SUP 10C.15.10R it is going to use.

10C.15.10 R

Table: Method of submission

Form or other document	Firms that are not credit unions or consumer credit firms (SUP 10C.15.7D(1))	Credit unions and consumer credit firms (SUP 10C.15.7D(2))
The relevant Form A	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R
Form B	SUP 10C.15.14R	SUP 10C.15.14R
Form C	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R
Form D	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R
Form E	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R
Form I	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R
Form J	SUP 10C.15.11R	SUP 10C.15.11R or SUP 10C.15.14R

Form or other document	Firms that are not credit unions or consumer credit firms (SUP 10C.15.7D(1))	Credit unions and consumer credit firms (SUP 10C.15.7D(2))
Relevant <i>statement of responsibilities</i>	In accordance with the requirements for the form with which it is submitted	In accordance with the requirements for the form with which it is submitted
MiFID Article 4 SMR Information Form	Submit at the same time as Form A and/or E	Not applicable
Annex II or III template	Submit at the same time as Form A, C and/or E	Not applicable

Method of submission: electronic submission

10C.15.11 R

- (1) An application or submission by a *firm* made under this *rule* must be made by submitting the form or document online at fca.org.uk using the *FCA's* and *PRA's* online notification and application system.
- (2) A *firm* must use the version of the form or document made available on the electronic system referred to in (1). If the form or document is included in an Annex to this chapter, that electronic version is based on the version found in the applicable Annex to this chapter (which are listed in [SUP 10C.15.3G](#)).
- (3) If the information technology systems used by the *FCA* fail and online submission is unavailable for 24 hours or more, [SUP 10C.15.14R](#) applies until such time as facilities for online submission are restored.

10C.15.12 G

If the information technology systems used by the *FCA* fail and online submission is unavailable for 24 hours or more, the *FCA* and *PRA* will endeavour to publish a notice on their websites confirming that:

- (1) online submission is unavailable; and
- (2) the alternative methods of submission in [SUP 10C.15.14R](#) applies.

10C.15.13 G

Where [SUP 10C.15.11R\(3\)](#) applies to a *firm*, [GEN 1.3.2R](#) (Emergency) does not apply.

Method of submission: other forms of submission

10C.15.14 R

- (1) An application or submission by a *firm* made under this *rule* must be made in the way set out in [SUP 15.7.4R](#) to [SUP 15.7.9G](#) (Form and method of notification).
- (2) If the form or document is included in an Annex to this chapter, a *firm* must use the version of the form or document found in the applicable Annex to this chapter (which are listed in [SUP 10C.15.3G](#)).