

## Chapter 15

# Notifications to the FCA

		<div><div></div><div>15.1</div><div>Application</div></div>
		<div>Who?</div>
15.1.1	G	<div><div>This chapter applies to every <i>firm</i> except that:</div><div><div>(1) only ■ SUP 15.10 applies to an <i>ICVC</i>; and</div><div>(2) ■ SUP 15.3.22 D to ■ SUP 15.3.25 D apply only to the <i>Society</i>.</div></div></div>
15.1.2	R	<div>[deleted]</div>
15.1.3	G	<div><div>In some cases, the application of provisions set out in ■ SUP 15 Annex 1 depends on whether responsibility is reserved to a <i>Home State regulator</i>.</div></div>
15.1.3A	G	<div><div>The guidance in ■ SUP 15.13 applies to all <i>CBTL firms</i> whether or not they are also <i>firms</i>.</div></div>
15.1.3B	D	<div><div>The directions and guidance in ■ SUP 15.14 apply to <i>payment service providers</i> as set out in that section.</div></div>
		<div>What?</div>
15.1.4	R	<div><div>This chapter:</div><div><div>(1) applies with respect to the carrying on of both <i>regulated activities</i> and <i>unregulated activities</i>; and</div><div>(2) takes into account any activity of other members of a <i>group</i> of which the <i>firm</i> is a member.</div></div></div>
15.1.4AR	D	<div><div>■ SUP 15.8 and ■ SUP 15.14 apply with respect to the carrying on of <i>payment services</i> and other activities to which the <i>Payment Services Regulations</i> apply.</div></div>
		<div>Where?</div>
15.1.5	G	<div><div><i>Firms</i> are reminded that, unless expressly stated otherwise, where a <i>rule</i> or <i>guidance</i> includes a reference to a <i>firm</i> this includes all <i>UK</i> and overseas branches and representative offices of that <i>firm</i>, whether or not those branches or offices carry on any <i>regulated activities</i>.</div></div>

15.1.6 R [deleted]

**SMCR firms**.....

15.1.7 R The following apply only to *SMCR firms*:

- (1) ■ SUP 15.2.5G (Purpose);
- (2) ■ SUP 15.11 (Notification of COCON breaches and disciplinary action);
- (3) ■ SUP 15.15 (Enhanced scope SMCR firm retail intermediaries);
- (4) ■ SUP 15.16 (Notification of changes in the management body); and
- (5) ■ SUP 15.17 (Notification by limited scope SMCR benchmark firm).