

Chapter 15

Notifications to the FCA



15.5 Core information requirements

Change in name

- 15.5.1 **R** A *firm* must give the FCA reasonable advance notice of a change in:
- (1) the *firm's* name (which is the registered name if the *firm* is a *body corporate*);
 - (2) any business name under which the *firm* carries on a *regulated activity* or *ancillary activity* either from an establishment in the *United Kingdom* or with or for clients in the *United Kingdom*.

- 15.5.2 **G** A notification under **■ SUP 15.5.1 R** should include the details of the proposed new name and the date on which the *firm* intends to implement the change of name.

- 15.5.3 **G** *Firms* are reminded that certain name changes (for example, to include 'Limited') may also require a notification under **■ SUP 15.5.1R**.

Change in address

- 15.5.4 **R** A *firm* must give the FCA reasonable advance notice of a change in any of the following addresses, and give details of the new address and the date of the change:
- (1) the *firm's* principal place of business in the *United Kingdom*;
 - (2) in the case of an *overseas firm*, its registered office (or head office) address.

Change in telephone numbers

- 15.5.5 **R** A *firm* must give the FCA reasonable advance notice of a change in any of the following telephone numbers, and give details of the new telephone number and the date of the change:
- (1) the number of the *firm's* principal place of business in the *United Kingdom*;
 - (2) in the case of an *overseas firm*, the number of its head office.

15.5.6 **G** ■ SUP 15.5.4 R and ■ SUP 15.5.5 R mean that a *firm* should notify the FCA of a change in telephone number even if the address of the office is not changing.

Other regulators

15.5.7 **R** A *firm* must notify the FCA immediately if it becomes subject to or ceases to be subject to the supervision of any *overseas regulator* (including a *Home State regulator*).

15.5.8 **G** The FCA's approach to the supervision of a *firm* is influenced by the regulatory regime and any legislative or foreign provisions to which that *firm*, including its branches, is subject.

Submitting notifications to the appropriate regulator

15.5.9 **R** (1) A *firm* other than:
 (a) a *credit union*; or
 (b) an *FCA-authorized person with permission to carry on only credit-related regulated activity*;

must submit any notice under ■ SUP 15.5.1R, ■ SUP 15.5.4R and ■ SUP 15.5.5 R by submitting the form in ■ SUP 15 Ann 3R online at the FCA's website.

(2) A *credit union* or an *FCA-authorized person with permission to carry on only credit-related regulated activity* (other than a *firm* with only an *interim permission* to which the modifications to ■ SUP 15 in ■ CONC 12 apply) must submit any notice under ■ SUP 15.5.1R, ■ SUP 15.5.4R, ■ SUP 15.5.5 R and ■ SUP 15.5.7R by submitting the form in ■ SUP 15 Ann 3R in the way set out in ■ SUP 15.7.4R to ■ SUP 15.7.9G (Form and method of notification).

(3) Where a *firm* is obliged to submit a notice online under (1), if the FCA's *appropriate regulator's* information technology systems fail and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored, a *firm* must submit any notice under ■ SUP 15.5.1R, ■ SUP 15.5.4R and ■ SUP 15.5.5 R in the form in ■ SUP 15 Ann 3R and in the way set out in ■ SUP 15.7.4R to ■ SUP 15.7.9G (Form and method of notification).

(4) A *firm* must submit any notice required under ■ SUP 15.5.7 R by submitting the form in ■ SUP 15 Ann 4 in the way set out in ■ SUP 15.7.4 R to ■ SUP 15.7.9 G (Form and method of notification).

15.5.10 **G** (1) If the FCA's information technology systems fail and online submission is unavailable for 24 hours or more, the FCA will endeavour to publish a notice on its website confirming that online submission is unavailable and that the alternative methods of submission set out in ■ SUP 15.5.9R(3) and ■ SUP 15.7.4R to ■ SUP 15.7.9G (Form and method of notification) should be used.

(2) Where ■ SUP 15.5.9R (2) applies to a *firm*, ■ GEN 1.3.2 R (Emergency) does not apply.