Chapter 15

Notifications to the FCA
15.5 Core information requirements

Change in name

15.5.1 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 (other than a regulated claims management activity) or ancillary activity either from an establishment in the United Kingdom or with or for clients in the United Kingdom; and

(3) any business name under which the firm carries on a regulated claims management activity or ancillary activity.

15.5.2 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 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 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 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:
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(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 ■ 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 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 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 (1) A firm other than:

(a) a credit union; or

(b) an FCA-authorised 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-authorised 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 15.5.7 R by submitting the form in ■ SUP 15 Ann 3R using the appropriate online systems accessible through the FCA’s website.

(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).

(3A) Where a firm is obliged to submit a notice online under (2), if the FCA’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, ■ SUP 15.5.5 R and ■ SUP 15.5.7 R in the form in ■ SUP 15 Ann 3R by electronic mail to firm.details@fca.org.uk.
(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).

(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.