

## 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* (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

**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 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 15.5.5R and ■ SUP 15.5.7R in the form in ■ SUP 15 Ann 3R by electronic mail to firm.details@fca.org.uk.

15.5.10

G

- (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.