

Chapter 8

Waiver and modification of rules



8.5 Notification of altered circumstances relating to waivers

- 8.5.1 **R** A *firm* which has applied for or has been granted a *waiver* must notify the *appropriate regulator* immediately if it becomes aware of any matter which could affect the continuing relevance or appropriateness of the application or the *waiver*.

- 8.5.2 **G** *Firms* are also referred to **■** SUP 15.6 (Inaccurate, false or misleading information). This requires, in **■** SUP 15.6.4 R, a *firm* to notify the *appropriate regulator* if false, misleading, incomplete or inaccurate information has been provided. This would apply in relation to information provided in an application for a *waiver*.