

## Supervision

### Schedule 1 Record keeping requirements

#### Sch 1.1 G

The aim of the *guidance* in the following table is to give the reader a quick overall view of the relevant record keeping requirements.

It is not a complete statement of those requirements and should not be relied on as if it were.

#### Sch 1.2 G

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
SUP 4.3.17 R (3) [FCA] [PRA]	Data for <i>actuary</i> (or <i>actuaries</i> appointed under SUP 4 (Actuaries))	Such data as the <i>actuary</i> (or <i>actuaries</i> ) appointed under SUP 4 (Actuaries) reasonably require	Not specified	Not specified
SUP 12.6A.4R	<i>Appointed representatives</i>	Written record of each review	Following each review undertaken for the purposes of SUP 12.6A.2R or SUP 12.6A.3R	6 years from date of review
SUP 12.6A.8R	<i>Appointed representatives</i>	Copy of each approved self-assessment document	Following approval by the <i>firm's governing body</i>	6 years from date of approval
SUP 12.9.1 R, SUP 12.9.2 R, [FCA] [PRA]	<i>Appointed representatives</i>	(1) <i>Appointed representative's</i> name	On appointment, amendment of contract or termination of contract	3 years from termination or amendment of the contract, other than in respect of <i>tied agents</i> when period is five years.
SUP 12.9.5 R [FCA] [PRA]	<i>FCA registered tied agents</i>	If a <i>MiFID investment firm</i> appoints an <i>FCA registered tied agent</i> the record		

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		keeping requirements in SUP 12.9 applies to that <i>firm</i> as though the <i>FCA registered tied agent</i> were an <i>appointed representative</i> .		
		(2) Copy of the original contract with the <i>appointed representative</i> and any subsequent amendments to it (including details of any restrictions placed on the activities which the <i>appointed representative</i> may carry on)		
		(3) Date and reason for terminating or amending the contract		
		(4) arrangements agreed with other <i>principals</i> under SUP 12.4.5B R		
		(2) The details relating to those services or activities (as set out in SUP 13.6 and SUP 13.7).		(2) <i>firm</i> ceasing to have any <i>EEA branches</i> or cross-border services.
SUP 16.8.23 R [FCA] [PRA]	Persistency reports and data reports	Records to enable the <i>firm</i> to monitor regularly the persistency of <i>life policies</i> and stakeholder pensions effected through each of its <i>representatives</i> and make the required reports to the <i>FCA</i> .	Not specified	Not specified