

SUPERVISION MANUAL (AMENDMENT NO 4) INSTRUMENT 2001

Powers exercised

- A. The Financial Services Authority amends the Supervision manual in the exercise of the power in section 157(1) of the Financial Services and Markets Act 2000.

Commencement

- B. This instrument comes into force immediately.

Amendment of the Supervision manual

- C. The Supervision manual is amended by adding Schedule 1 (Record keeping requirements) as set out in the Annex to this instrument.

Citation

- D. This instrument may be cited as the Supervision Manual (Amendment No 4) Instrument 2001.

By order of the Board
18 October 2001

Annex
SUP Schedule 1 (Record keeping requirements)

Schedule 1
Record keeping requirements

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- 1 The aim of the guidance in the following table is to give the reader a quick overall view of the relevant record keeping requirements.
- 2 It is not a complete statement of those requirements and should not be relied on as if it were.
- 3 Table

Handbook reference	Subject of record	Contents of record	When record must be made	Retention period
<i>SUP 4.3.17R(3)</i>	Data for <i>appointed actuary</i>	Such data as the <i>appointed actuary</i> reasonably requires	Not specified	Not specified
<i>SUP 12.9.1R,</i> <i>SUP 12.9.2R</i>	<i>Appointed representatives</i>	(1) <i>Appointed representative's</i> name (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	On appointment, amendment of contract or termination of contract	3 years from termination or amendment of the contract

<p><i>SUP 13.11.1R</i></p>	<p>Exercise of passport rights by <i>UK firms</i></p>	<p>(1) Services or activities carried on from a <i>branch</i> in, or cross-border into, another <i>EEA State</i> under an <i>EEA right</i></p> <p>(2) The <i>requisite details</i> or relevant details (if applicable)</p>	<p>Not specified</p>	<p>Three years from earlier of:</p> <p>(1) record being superseded;</p> <p>(2) <i>firm</i> ceasing to have any <i>EEA branches</i> or <i>cross-border services</i>.</p>
<p><i>SUP 16.8.23R</i></p>	<p>Persistency reports</p>	<p>Records to enable the <i>firm</i> to monitor regularly the persistency of <i>life policies effected</i> through each of its <i>representatives</i> and make the required reports to the <i>FSA</i>.</p>	<p>Not specified</p>	<p>Not specified</p>