

**SUPERVISION MANUAL (CORE INFORMATION) (AMENDMENT)
INSTRUMENT 2011**

Powers exercised

- A. The Financial Services Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 138 (General rule-making power);
 - (2) section 156 (General supplementary powers); and
 - (3) section 157 (Guidance).
- B. The rule-making powers listed above are specified for the purpose of section 153(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 6 May 2011.

Amendments to the Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Supervision Manual (Core Information) (Amendment) Instrument 2011.

By order of the Board
28 April 2011

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

15 Notifications to the FSA

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15.5 Core information requirements

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15.5.4 R ...

Change in telephone numbers

15.5.5 R ~~{deleted}~~ A firm must give the FSA 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 ~~{deleted}~~ SUP 15.5.4R and SUP 15.5.5R mean that a firm should notify the FSA of a change in telephone number even if the address of the office is not changing.

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Submitting notifications to the FSA

- 15.5.9 R
- (1) A firm other than a credit union must submit any notice under SUP 15.5.1R, SUP 15.5.4R, SUP 15.5.5R and SUP 15.5.7R by submitting the form in SUP 15 Ann 3R online at www.fsa.gov.uk.
 - (2) A credit union must submit any notice under SUP 15.5.1R, SUP 15.5.4R, SUP 15.5.5R and SUP 15.5.7R by submitting the form in SUP 15 Ann 3R in the way set out in SUP 15.7.4R to SUP 15.7.9G (Form and method of notification).
 - (3) Where a firm is obliged to submit a notice online under (1), if the FSA'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 and in the way set out in SUP 15.7.4R to

SUP 15.7.9G (Form and method of notification).

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15 Annex 1R Application of SUP 15 to incoming EEA firms and incoming Treaty firms

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Applicable sections		Application
...		
SUP 15.5.5R to SUP 15.5.6G	Change in legal status <u>Change in telephone numbers</u>	Do not apply <u>Applies in full</u>
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Sch 2 Notification requirements

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Handbook reference	Matter to be notified	Contents of notification	Trigger event	Time allowed
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SUP 15.5.5 R	Notifications—change in legal status <u>Change to certain telephone numbers.</u>	The fact of the proposed change in liability <u>Details of the new number and the date of the change.</u>	A proposed change in a firm's legal status which limits the liability of any of its members or partners <u>Change to certain telephone numbers.</u> <u>This includes:</u>	Reasonable advance notice.

			(1) re- registration as a limited liability company of a <i>company</i> incorporated with unlimited liability; and	
			(2) a general <i>partner in a firm</i> becoming a limited <i>partner</i> .	
...				