

**FINANCIAL CONDUCT AUTHORITY (CHANGE OF ADDRESS) INSTRUMENT
2018**

Powers exercised

- A. The Financial Conduct Authority makes this instrument in the exercise of:
- (1) the following powers and related provisions in the Financial Services and Markets Act 2000 (the “Act”):
 - (a) section 55U (Applications under Part 4A), as applied by paragraph 5(4) of Schedule 4 (Treaty rights);
 - (b) section 137A (The FCA’s general rules);
 - (c) section 139A (Power of the FCA to give guidance); and
 - (2) the powers of direction, guidance and related provisions in or under the following provisions of the Data Reporting Services Regulations 2017 (SI 2017/699):
 - (a) regulation 7 (Application for authorisation);
 - (b) regulation 8 (Application for verification of compliance);
 - (c) regulation 11 (Cancellation of authorisation);
 - (d) regulation 12 (Variation of authorisation); and
 - (e) regulation 21(1) (Reporting requirements).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 1 July 2018.

Amendments to the Handbook

- D. The modules of the Handbook of rules and guidance listed in column (1) below are amended in accordance with the Annexes to this instrument listed in column (2).

(1)	(2)
General Provisions (GEN)	Annex A
Market Conduct sourcebook (MAR)	Annex B
Supervision manual (SUP)	Annex C
Credit Unions sourcebook (CREDS)	Annex D
Recognised Investment Exchanges and Recognised Clearing Houses sourcebook (REC)	Annex E
Listing Rules sourcebook (LR)	Annex F
Disclosure Guidance and Transparency Rules sourcebook (DTR)	Annex G

Amendments to material outside the Handbook

- E. The Enforcement Guide (EG) is amended in accordance with Annex H to this instrument.

Notes

- F. In Annexes F and G to this instrument, the “notes” (indicated by “**Note:**”) are included for the convenience of readers but do not form part of the legislative text.

Citation

- G. This instrument may be cited as the Financial Conduct Authority (Change of Address) Instrument 2018.

By order of the Board
26 April 2018

Annex A

Amendments to the General Provisions (GEN)

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

1 FCA approval and emergencies

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1.3 Emergency

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1.3.2 R ...

- (4) A notification under (3) must be given to or addressed and delivered in accordance with *SUP* 15.7 (Form and method of notification) (whether or not the *person* is a *firm*). If the *person* is not a *firm*, the notification must be given to or addressed for the attention of Contact Centre, The Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, ~~Canary Wharf~~, London, ~~E14 5HS~~ E20 1JN (tel: 0300 500 0597).

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2 Interpreting the Handbook

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2 Annex Designated investment exchanges

1G

Introduction	
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Applications to be added to the list of designated investment exchanges	
6.	An application to be added to the list should be in writing and delivered to the <i>FCA</i> by:
(1)	post to: The Financial Conduct Authority 25 The North Colonnade <u>12 Endeavour Square</u> Canary Wharf London E14 5HS <u>E20 1JN</u> ; or

	(2)	leaving the application at that address.
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Annex B

Amendments to the Market Conduct sourcebook (MAR)

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

9 Data reporting service

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9.2 Authorisation and verification

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Provision of the forms in MAR 9 Annexes 1D, 2D, 3D and 4D to the FCA

9.2.6 D A *person* must provide MAR 9 Annexes 1D, 2D, 3D and 4D together with supporting documentation to the *FCA* by:

(1) emailing MiFiDII.Applications@fca.org.uk; or

(2) posting to the *FCA* addressed to:

The Financial Conduct Authority

FAO The Authorisations Support Team

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London

~~E14 5HS~~ E20 1JN.

9.3 Notification and information

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Notification to the FCA by an APA or a CTP of compliance with connectivity requirements

9.3.4 D As soon as possible and within 2 weeks of being authorised as an *APA* or a *CTP*, an *APA* or a *CTP* seeking a connection to the *FCA's market data processor system* must:

...

(2) email it to MDP.onboarding@fca.org.uk or post an original signed copy to the *FCA* addressed to:

The Financial Conduct Authority
FAO The Markets Reporting Team
~~25 The North Colonnade~~ 12 Endeavour Square
~~Canary Wharf~~
London
~~E14 5HS~~ E20 1JN.

...

9.3.12 D *A data reporting services provider* must promptly provide the forms in *MAR 9 Annexes 5D, 6D, 7D, 8D and 9D* and supporting documentation to the *FCA*:

- (1) at MRT@fca.org.uk; or
- (2) by posting it to the *FCA*, addressed to:
The Financial Conduct Authority
The Markets Reporting Team
~~25 The North Colonnade~~ 12 Endeavour Square
~~Canary Wharf~~
London
~~E14 5HS~~ E20 1JN.

Annex C

Amendments to the Supervision manual (SUP)

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

6 Applications to vary and cancel Part 4A permission and to impose, vary or cancel requirements

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6.4 Applications for cancellation of permission

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6.4.6 G ...

(2) To contact the Cancellations Team:

(a) write to: Cancellations Team, The Financial Conduct Authority,
~~25 The North Colonnade~~ 12 Endeavour Square, ~~Canary Wharf,~~
London, ~~E14 5HS~~ E20 1JN; or

...

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10A FCA Approved Persons

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10A.12 Procedures relating to FCA approved persons

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10A.12. G Copies of Forms A, B, C, D and E may be obtained from the *FCA* website.
6 *Credit unions* can obtain copies from the *FCA*'s Contact Centre. To contact the *FCA*'s Contact Centre for *approved persons* enquiries:

...

(4) write to:

Customer Contact Centre

The Financial Conduct Authority

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~
~~LONDON London~~
~~E14 5HS E20 1JN.~~

...

10A Form E: Internal transfer of an approved person
Annex
8D

...

SECTION 6 – DECLARATIONS AND SIGNATURES

This section contains declarations which must be signed by both an appropriate individual for the *firm* or applicant submitting the application and the *candidate*.

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PLEASE RETURN THE COMPLETED FORM TO:

Financial Conduct Authority 25 The North Colonnade <u>12 Endeavour Square</u> Canary Wharf London, E14 5HS <u>E20 1JN</u> United Kingdom	Prudential Regulation Authority ...
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10C FCA senior management regime for approved persons in relevant authorised persons

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10C.15 Forms and other documents and how to submit them to the FCA

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10C.15.6 G To contact the ~~FCA's~~ FCA's Customer Contact Centre for *approved persons* enquiries:

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(4) write to:

Customer Contact Centre
 The Financial Conduct Authority
~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

~~LONDON E14 5HS~~ London, E20 1JN.

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12 Appointed representatives

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12.7 Notification requirements

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12.7.5 G To contact the *FCA's* Contact Centre with *appointed representatives* enquiries:

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- (2) write to: Customer Contact Centre, The Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, Canary Wharf, London, ~~E14 5HS~~ E20 1JN; or

...

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13A Qualifying for authorisation under the Act

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13A.3 Qualifications for authorisation under the Act

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13A.3.7 D ...

- (2) The written notice may be delivered by:

(a) *post* to either of the following addresses, as appropriate:

- (i) the address for notices to the *FCA*: The Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, ~~Canary Wharf,~~ London, ~~E14 5HS~~ E20 1JN; or

- (ii) the address for notices to the *PRA*: ...

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13A Annex EEA UCITS management companies: application for approval to manage a UCITS scheme established in the United Kingdom

3R

Under paragraph 15A(1) of Part II of Schedule 3 to the *Act*, an *EEA UCITS management company* intending to exercise an *EEA right* to provide *collective portfolio management services* for a *UCITS scheme* must, before it undertakes that activity, obtain the *FCA's* approval to manage that *UCITS scheme*. *Firms* should use the application form below for this purpose. *Firms* may cross refer to other sources where the information has already been provided to the *FCA*.

Application by an EEA UCITS management company to manage one or more UCITS schemes established in the United Kingdom (paragraph 15A(1) of Part II of Schedule 3 to the Financial Services and Markets Act 2000).

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When completed send this form to:

Investment Funds Team

The Financial Conduct Authority

~~25 the North Colonnade~~ 12 Endeavour Square

~~London E14 5HS~~

E20 1JN.

Or electronically to: recognisedcis@fca.org.uk

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14 Incoming EEA firms changing details, and cancelling qualification for authorisation

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14.4 Notices of proposed changes: form and delivery

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14.4.1A G The address for *FCA* notices is: The Passport Notifications Unit, The Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, Canary Wharf, London, E14 5HS E20 1JN.

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15 Notifications to the FCA

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15.7 Form and method of notification

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15.7.6A G The current published address of the *FCA* for postal submission or hand

delivery of notifications is:

(1)	The Financial Conduct Authority
	25 The North Colonnade <u>12 Endeavour Square</u>
	Canary Wharf
	London, E14 5HS <u>E20 1JN</u>

if the *firm's* usual supervisory contact at the *FCA* is based in London,
or

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16 Reporting requirements

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16.3 General provisions on reporting

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16.3.10 G ...

(2) The published address of the *FCA* for hand delivery of reports is:

(a)	Central Reporting
	The Financial Conduct Authority
	25 The North Colonnade <u>12 Endeavour Square</u>
	Canary Wharf
	London, E14 5HS <u>E20 1JN</u>

if the *firm's* usual supervisory contact at the *FCA* is based in
London, or:

...

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17A Transaction reporting and supply of reference data

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17A.2 Connectivity with FCA systems

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17A.2.2 R To ensure the security of the *FCA*'s systems, a *firm* or operator of a *trading venue* in *SUP* 17A.2.1R must:

...

- (2) send it by email ~~it~~ to MDP.onboarding@fca.org.uk or post an original signed copy to the *FCA* addressed to:

The Financial Conduct Authority

FAO The Markets Reporting Team

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London, ~~E14 5HS~~ E20 1JN.

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Annex D

Amendments to the Credit Unions sourcebook (CREDS)

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

8 Supervision

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8.2 Reporting requirements

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8.2.6A R The methods referred to in *CREDS* 8.2.6R(2)(b) are:

...

- (2) by post to Mutuals Team, Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, Canary Wharf, London, E14 5HS
E20 1JN.

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Annex E

Amendments to the Recognised Investment Exchanges and Recognised Clearing Houses sourcebook (REC)

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

3 Notification rules for UK recognised bodies

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3.2 Form and method of notification

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3.2.4 R The address for a written notification to the *FCA* is:

The Financial Conduct Authority

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London, ~~E14 5HS~~ E20 1JN

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6 Overseas Investment Exchanges

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6.2 Applications

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6.2.3 G Applicants for *authorised person* status should refer to the *FCA* website “Authorisation”: www.fca.org.uk/firms/authorisation. Applications for recognition as an *overseas recognised body* should be addressed to:

The Financial Conduct Authority (Infrastructure and Trading Firms Department)

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London, ~~E14 5HS~~ E20 1JN

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Annex F

Amendments to the Listing Rules sourcebook (LR)

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

1 Preliminary: All securities

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1.2 Modifying rules and consulting the FCA

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- 1.2.6 G Where a *listing rule* refers to consultation with the *FCA*, submissions should be made in writing other than in circumstances of exceptional urgency or in the case of a submission from a *sponsor* in relation to the provision of a *sponsor service*.

Address for correspondence

Note: The *FCA*'s address for correspondence is:

The Financial Conduct Authority
25 The North Colonnade <u>12 Endeavour Square</u>
Canary Wharf
London, E14 5HS <u>E20 1JN</u>
Tel: 020 7066 8333
www.fca.org.uk/markets/ukla

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Annex G

Amendments to the Disclosure Guidance and Transparency Rules sourcebook (DTR)

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

1 Introduction

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1.2 Modifying rules and consulting the FCA

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- 1.2.5 G Where a *disclosure requirements* and the *disclosure guidance* refers to consultation with the *FCA*, submissions should be made in writing other than in circumstances of exceptional urgency.

Address for correspondence

Note: The *FCA*'s address for correspondence in relation to the *disclosure requirements* and the *disclosure guidance* is:

Primary Market Monitoring
Enforcement and Markets Oversight Division
The Financial Conduct Authority
25 The North Colonnade <u>12 Endeavour Square</u>
Canary Wharf
London, E14 5HS <u>E20 1JN</u>

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1A Introduction (Transparency rules)

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1A.2 Modifying rules and consulting the FCA

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- 1A.2.5 G Where a *transparency rule* refers to consultation with the *FCA*, submissions should be made in writing other than in circumstances of exceptional urgency.

Address for correspondence

Note: The *FCA*'s address for correspondence in relation to the *transparency rules* is:

Primary Market Monitoring
Enforcement and Markets Oversight Division
The Financial Conduct Authority
25 The North Colonnade <u>12 Endeavour Square</u>
Canary Wharf
London, E14 5HS <u>E20 1JN</u>

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1C Introduction (Primary information providers)

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1C.2 Modifying rules and consulting the FCA

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- 1C.2.5 R Where a requirement in *DTR 8* refers to consultation with the *FCA*, submissions must be made in writing other than in circumstances of exceptional urgency.

Address for correspondence

Note: The *FCA*'s address for correspondence in relation to *DTR 8* is:

Primary Market Monitoring
Markets Division
The Financial Conduct Authority
25 The North Colonnade <u>12 Endeavour Square</u>
Canary Wharf
London
E14 5HS <u>E20 1JN</u>
Fax: 0207 066 8349.

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6 Continuing obligations and access to information

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6.3 Dissemination of information

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6.3.3B R ...

(2) ...

Address for correspondence

Note: The *FCA*'s address for correspondence in relation to *DTR* 6.3 is:

Primary Market Monitoring

Markets Division

The Financial Conduct Authority

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London

~~E14 5HS~~ E20 1JN

Fax: 020 7066 8349

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8 Primary Information Providers

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8.4 Continuing obligations

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8.4.38 R ...

(2) Notifications to the *FCA* must be sent to the following address:

Sponsor Supervision

Enforcement and Market Oversight Division

The Financial Conduct Authority

~~25 The North Colonnade~~ 12 Endeavour Square

~~Canary Wharf~~

London

~~E14 5HS~~ E20 1JN

Fax: 020 7066 8349

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Annex H

Amendments to the Enforcement Guide (EG)

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

13 Insolvency

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13.12 Insolvency regime and relevant sections of the Act

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13.12.2 Unless paragraph 13.13.1 applies, the information and documents identified in 13.12.2 should be sent to the Financial Conduct Authority, ~~25 The North Colonnade~~ 12 Endeavour Square, Canary Wharf, London, E14 5HS E20 1JN marked 'Insolvency Information'. ...

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