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).

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

... 

1.3 Emergency

...

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).

...

2 Interpreting the Handbook

...

2 Annex Designated investment exchanges

1G

<table>
<thead>
<tr>
<th>Introduction</th>
</tr>
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<tbody>
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<td>...</td>
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</tbody>
</table>

<p>| 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 FCA by: |
| (1) post to: |
| The Financial Conduct Authority |
| 25 The North Colonnade, 12 Endeavour Square |
| Canary Wharf |
| London |
| E14 5HS E20 1JN; or |</p>
<table>
<thead>
<tr>
<th>(2)</th>
<th>leaving the application at that address.</th>
</tr>
</thead>
<tbody>
<tr>
<td>...</td>
<td></td>
</tr>
</tbody>
</table>
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

...

9.2 Authorisation and verification

...

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

...

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:
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

...

6.4 Applications for cancellation of permission

...

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

...

...

10A FCA Approved Persons

...

10A.12 Procedures relating to FCA approved persons

...

10A.12 G Copies of Forms A, B, C, D and E may be obtained from the FCA website. 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
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.

PLEASE RETURN THE COMPLETED FORM TO:

<table>
<thead>
<tr>
<th>Financial Conduct Authority</th>
<th>Prudential Regulation Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>25 The North Colonnade 12 Endeavour Square</td>
<td>…</td>
</tr>
<tr>
<td>Canary Wharf</td>
<td>…</td>
</tr>
<tr>
<td>London, E14 5HS E20 1JN</td>
<td>…</td>
</tr>
<tr>
<td>United Kingdom</td>
<td>…</td>
</tr>
</tbody>
</table>

10C  FCA senior management regime for approved persons in relevant authorised persons

... 

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

... 

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

... 

(4) write to:

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

12.7  Notification requirements

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

(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

13A  Qualifying for authorisation under the Act

13A.3  Qualifications for authorisation under the Act

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: …

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

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

Incoming EEA firms changing details, and cancelling qualification for authorisation

Notices of proposed changes: form and delivery

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.

Notifications to the FCA

Form and method of notification

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 12 Endeavour Square
Canary Wharf
London, E14 5HS E20 1JN

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

…

…

16 Reporting requirements

…

16.3 General provisions on reporting

…

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 12 Endeavour Square
Canary Wharf
London, E14 5HS E20 1JN

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

…

…

17A Transaction reporting and supply of reference data

…

17A.2 Connectivity with FCA systems

…
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 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.

…
Annex D

Amendments to the Credit Unions sourcebook (CREDS)

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

8 Supervision

...

8.2 Reporting requirements

...

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.

...
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

3.2 Form and method of notification

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

6 Overseas Investment Exchanges

6.2 Applications

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
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


1.2 Modifying rules and consulting the FCA


1.2.6 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:

<table>
<thead>
<tr>
<th>The Financial Conduct Authority</th>
</tr>
</thead>
<tbody>
<tr>
<td>25 The North Colonnade, 12 Endeavour Square</td>
</tr>
<tr>
<td>Canary Wharf</td>
</tr>
<tr>
<td>London, E14 5HS E20 1JN</td>
</tr>
<tr>
<td>Tel: 020 7066 8333</td>
</tr>
<tr>
<td><a href="http://www.fca.org.uk/markets/ukla">www.fca.org.uk/markets/ukla</a></td>
</tr>
</tbody>
</table>

...
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

1.2 Modifying rules and consulting the FCA

1.2.5 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:

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

1A Introduction (Transparency rules)

1A.2 Modifying rules and consulting the FCA

1A.2.5 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:

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

...  

1C Introduction (Primary information providers)  

...  

1C.2 Modifying rules and consulting the FCA  

...  

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:

<table>
<thead>
<tr>
<th>Primary Market Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Markets Division</td>
</tr>
<tr>
<td>The Financial Conduct Authority</td>
</tr>
<tr>
<td>25 The North Colonnade 12 Endeavour Square</td>
</tr>
<tr>
<td>Canary Wharf</td>
</tr>
<tr>
<td>London</td>
</tr>
<tr>
<td>E14 5HS E20 1JN</td>
</tr>
</tbody>
</table>

Fax: 0207 066 8349.
6 Continuing obligations and access to information

... 

6.3 Dissemination of information

... 

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

...

8 Primary Information Providers

...

8.4 Continuing obligations

...

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
Annex H

Amendments to the Enforcement Guide (EG)

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

13 Insolvency

13.12 Insolvency regime and relevant sections of the Act

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’. …