

SUPERVISION MANUAL (REPORTING No 14) INSTRUMENT 2020

Powers exercised

- A. The Financial Conduct Authority (“the FCA”) 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 137A (The FCA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 139A (Power of the FCA to give guidance).
- B. The rule-making powers listed above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 22 May 2020.

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 (Reporting No 14) Instrument 2020.

By order of the Board
21 May 2020

Annex

Amendments to the Supervision manual (SUP)

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

The form at SUP 15 Annex 3R (Notification to amend firm details form) is amended as follows.



**Notification to amend
firm details**

**To update firm name and trading names, website address, accounting
reference date, auditors, locum, contacts and addresses**

SUP 15 Annex 3R – Notifications under SUP 16.10

Firm name

Firm reference number

Address

Firms are required to submit this form via the appropriate online system referred to in SUP 15.5.9R.

This form should be used to update your firm name and trading name(s), website address, accounting reference data, auditors, locum, contacts and addresses.

Notes

~~This form should be used to update your firm name and trading name(s), website address, accounting reference date, auditors, locum, contacts and addresses.~~

1

Personal Details Application contact details**1.1 ~~Contact Name for this notification~~ Please enter the contact details of the person we will get in touch with about this application**

Title	
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First name(s)	
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Last name	
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Job title	
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Business address	
Postcode	
Country	

Phone number country code	
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Phone number	
--------------	--

Mobile number	
---------------	--

Email address	
---------------	--

1.2 Contact Details

Position in the firm	
Daytime telephone number	
Email address	
Individual reference number (IRN), if applicable	

2

Change Full Name of Firm

If you wish to advise the FCA or PRA of a change to the firm's name please enter the following details, otherwise proceed to Section 3.

Note: this section is not intended to be used by firms that are covered by Industrial & Provident, Friendly Society, Credit Union or Building Society legislation. These firms should contact the FCA's Mutuals Team.

2.1 Current ~~Existing~~ legal status

- Private Limited Company
- Public limited company
- Limited Liability Partnership
- Limited partnership
- Sole trader
- Unlimited Liability Company
- Partnership
- Other ▶ Please specify below

2.2 New full name of firm registered firm name

If you are a sole trader, you should enter your own name in this section.
You can add any trading names later in the application

2.2A Company House registration number

2.2B I confirm that the change requested does not constitute a change of legal status.

- Yes

2.3 Please enter the date on which the change becomes effective

 / /

2.4 ...

~~2.5 I confirm that the change requested does not constitute a change of legal status:~~

- Yes

...

4

Change Contact Details

If you wish to change the contact details of the ~~Complaints Officer~~ Contact or ~~Primary Compliance Officer~~ Contact please enter the following details, otherwise please proceed to Section 5.

Please note that this will not change your approved person records. If you want to change these records, please complete the appropriate Approved Persons Form.

4.1 Please indicate which contact this change applies to.

- ~~Complaints Officer~~ Contact Person's Details for the Financial Services Register
- ~~Primary Compliance Officer~~ Contact Officer

Title	
Forename(s) <u>First name</u>	
Surname <u>Last name</u>	
Job title	
Email address <u>Address</u>	
Postcode	

Country	
Phone number country code	
Phone number- This must be a direct dialled number.	
Mobile number	
Email address	

4.2 Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Address									
Postcode									

5a

Change of Address

5.1 ...

5.2 Please enter the new address details

Address	
Postcode	
Country	
Phone number country code	
Telephone Phone number	
Email address (only applicable for Principal Place of Business)	

5.3 Please enter the date on which the change becomes effective

/ /

Change of Other Address

5b

5.5 ...

5.6 Please enter the new contact and address details

<u>Firm name (for professional advisor only)</u>	
<u>Title</u>	
<u>First name(s)</u>	
<u>Last name</u>	
<u>Job title</u>	
<u>Address</u>	
<u>Postcode</u>	
<u>Country</u>	
<u>Phone number</u> <u>country code</u>	
<u>Telephone</u> <u>Phone</u> <u>number</u>	
<u>Mobile number</u>	
<u>Email address</u>	

5.7 Please enter the date on which the change becomes effective

/
 /

6

Change of Accounting-Reference financial year end date**6.1 Please enter the following details to change your accounting reference financial year end date**Current Accounting-Reference financial year end date (dd/mm) / New Accounting-Reference financial year end date (dd/mm) / **6.2 What accounting periods will result from the change? The new accounting reference financial year end date that you have entered could result in several different periods depending on whether you want to extend or reduce your periods and which period is the first period affected.**

Although the FCA or PRA may accept accounting periods of up to 18 months, SUP 16.3.18G advises firms that accounting periods longer than 15 months may be deemed unacceptable as this may hinder the timely provision of relevant and important information to the FCA or PRA. If a firm wishes to have an accounting period of longer than 18 months (sole traders and certain partnerships), the firm must apply to the FCA in writing.

Please detail the start and end dates for the current accounting period and the two following periods below:

Current Period

From

 / /

To

 / /

Next Period

From

 / /

To

 / /

Next Period 2

From

/ /

To

/ /

Note the change that you have requested will result in a change to your reporting timetable.

I confirm the change requested above and that it is correctly represented by the accounting periods listed.

Change of Website Address

7

7.1 Please enter the new website address (format – www.fca.org.uk)

7.2 Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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8 Change Auditor/Reporting Accountant details

8.1 Please enter the following details to change your Auditor's/Reporting Accountant details

Firm name	
Title	
First name(s)	
Last name	
Job title	
Address	
Postcode	
Telephone <u>Phone</u> number	
Mobile number	
Email address	

8.2 ~~Effective date~~ Please enter the date on which the change becomes effective

/ /

9

Change Locum details

9.1 Please tick this box if the applicant is dependent on a single key person**9.12 Please enter the following details to change your Locum's details**

Firm name	
Firm reference number	
Title	
Forename(s) First name	
Surname Last name	
Job title	
Address	
Postcode	
Country	
Phone number country code	
Telephone Phone number	
Mobile number	
Email address	

9.23 ~~Effective date~~ Please enter the date on which the change becomes effective

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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