

**VARIATION OF PERMISSION AND CANCELLATION FORM (MISCELLANEOUS AMENDMENTS) INSTRUMENT 2020**

**Powers exercised**

- A. The Financial Conduct Authority makes this instrument in the exercise of the powers and related provisions under the Financial Services and Markets Act 2000:
- (1) section 55U (Applications under this Part);
  - (2) section 139A (Power of the FCA to give guidance); and
  - (3) article 1 of the Financial Services and Markets Act 2000 (Claims Management Activity) Order 2018.

**Commencement**

- B. This instrument comes into force on 26 June 2020.

**Amendments to the Handbook**

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

**Citation**

- D. This instrument may be cited as the Variation of Permission and Cancellation Form (Miscellaneous Amendments) Instrument 2020.

By order of the Board  
25 June 2020

**Annex**

**Amendments to forms in the Supervision Manual (SUP)**

The forms and guidance notes in SUP 6 Annex 5D (Variation of permission application form) are amended as shown. Underlining indicates new text and striking through indicates deleted text.



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## Variation of Permission (VOP) Application Applications for Insurance Business, Banking, Electronic Money, Lloyd's Market and Funeral Plan Providers

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~~Permissions Department~~ Authorisations  
The Financial Conduct Authority  
~~25 The North Colonnade~~ 12 Endeavour Square  
Canary Wharf LONDON  
~~E14 5HS~~ E20 1JN

Assessment and Monitoring Team  
Prudential Regulation Authority  
20 Moorgate  
LONDON  
EC2R 6DA

...

## 2

### Variation of Permission – activities (continued)

Tell us what it is you wish to do to change your firm's permission.

...

### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**2.3 If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

Yes

No

...

# 6

## Approved Persons

If a firm changes its permission it may need new Controlled Functions and Approved Persons or it may no longer require certain Controlled Functions.

You should consider the effect of this change on approved persons before submitting your application. ~~If you require help, please call the Approved Persons Helpline on 020 7066 0019 or email [iva@fca.org.uk](mailto:iva@fca.org.uk)~~

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**Variation of Permission (VOP) Application  
Applications for Insurance Business, Banking, Electronic Money,  
Lloyd's Market and Funeral Plan Providers – notes**

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# 2

## Variation of Permission – activities

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### Changing customer types

...

### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

### **If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

For further help please refer to our website: <https://www.fca.org.uk/firms/money-laundering-terrorist-financing>

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## Variation of Permission (VOP) Application

### Investment Business

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Submit your application by post to:

Permissions Department Authorisations  
The Financial Conduct Authority  
25 The North Colonnade 12 Endeavour Square  
Canary Wharf LONDON  
E14 5HS E20 1JN



## 2

### Variation of Permission – Investment Business activities (cont'd)

Tell us what it is you wish to do to change your firm's permission.

...

#### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**2.3 If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

Yes

No

...

# 6

## Approved Persons

If a firm changes its permission it may need to have new Approved Persons and/or additional Controlled Functions or it may no longer need some existing Controlled Functions.

You should consider the effect of this change on approved persons before submitting your application. ~~If you require help, please call the Approved Persons Helpline on 020 7066 0019 or email [iva@fca.org.uk](mailto:iva@fca.org.uk).~~

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## Variation of Permission (VOP) Application

### Investment Business – notes

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# 2

## Variation of Permission – Investment Business activities

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### Changing Customer Types

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### Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017

### If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?

For further help please refer to our website: <https://www.fca.org.uk/firms/money-laundering-terrorist-financing>

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## Variation of Permission (VOP) Application Home Finance Mediation and General Insurance Distribution Activities

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Submit your application by post to:

If the appropriate regulator is the FCA send to:  
send to:

~~Permissions Department~~ Authorisations  
The Financial Conduct Authority  
~~25 The North Colonnade~~ 12 Endeavour Square  
~~Canary Wharf~~ LONDON  
~~E14 5HS~~ E20 1JN

If the appropriate regulator is the PRA

Assessment and Monitoring Team  
The Prudential Regulation Authority  
20 Moorgate  
LONDON  
EC2R 6DA

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## 2

### Variation of Permission – Home Finance Mediation and General Insurance Distribution activities (cont'd)

Tell us what it is you wish to do to change your firm's permission.

...

#### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**2.3 If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

Yes

No

...

# 6

## Approved Persons

If a firm changes its permission it may need to have new Controlled Functions and Approved Persons or it may no longer require certain Controlled Functions.

You should consider the effect of this change on approved persons before submitting your application. ~~If you require help, please from the FCA please call the FCA Approved Persons Helpline on +44 (0) 845 606 9966 or email [iva@fca.org.uk](mailto:iva@fca.org.uk). If you are a dual regulated firm and require help from the PRA, please call PRA Firm Enquiries on +44 (0) 203 461 7000 or email [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)~~

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## **Variation of Permission (VOP) Application Home Finance Mediation and General Insurance Mediation Distribution Activities – notes**

These notes will help you fill in the Home Finance Mediation and General Insurance Mediation Distribution Activities form correctly

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## 2

### Variation of Permission – Home Finance Mediation and General Insurance Mediation-Distribution activities

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If the applicant firm carries on a regulated activity that is not set out in its permission notice it could be in breach of FSMA and subject to enforcement action.

...

#### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

For further help please refer to our website: <https://www.fca.org.uk/firms/money-laundering-terrorist-financing>

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## 5

### Threshold Condition

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What if I intend to carry on more than one regulated activity?

If you carry on a combination of investment, home finance mediation and/or insurance mediation distribution regulated activities you will only need to comply with the higher of the prudential requirements as stated in MIPRU 3.2 and/or IPRU (INV)13 for each of these regulated activities.



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## **Variation of Permission (VOP) Application**

### **Consumer Credit Activities**

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## 2

### Variation of Permission – Consumer Credit activities

Tell us what it is you wish to do to change your firm's permission.

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#### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**2.3 If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

Yes

No

...

# 6

## Approved Persons

If a firm changes its permission it may need new controlled functions and approved persons or it may no longer require certain controlled functions.

You should consider the effect of this change on approved persons before submitting your application. ~~If you require help, please from the FCA please call the FCA Approved Persons Helpline on +44 (0) 845 606 9966 or email [iva@fca.org.uk](mailto:iva@fca.org.uk).~~ If you are a dual regulated firm and require help from the PRA, please call PRA Firm Enquiries on +44 (0) 203 461 7000 or email [PRA.firmenquiries@bankofengland.co.uk](mailto:PRA.firmenquiries@bankofengland.co.uk)

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## Variation of Permission (VOP) Application

### Consumer Credit – notes

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## 2

### Variation of Permission – Consumer Credit activities

...

If the applicant firm carries on a regulated activity that is not set out in its permission notice it could be in breach of FSMA and subject to enforcement action.

#### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

#### **If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

For further help please refer to our website: <https://www.fca.org.uk/firms/money-laundering-terrorist-financing>

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## **Variation of Permission (VOP) Application**

### **Claims Management**

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# 2

## Scope of Permission required

Tell us what it is you wish to do to change your firms permissions.

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### 2.1 Answer this section if you wish to do the following:

- add a new Claims Management activity to your permission; or
- delete an activity from your permission.

If you wish to add or amend several activities in different ways, copy this page and attach it to this form.

Select activity(ies)			
Add new activity	Amend current activity	Delete activity	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Seeking out, referrals and identification of claims or potential claims (personal injury claim; financial services or financial product claim; housing disrepair claim; claim for a specified benefit; criminal injury claim; employment related claim)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to a personal injury claim
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to a financial services or financial product claim
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to a housing disrepair claim
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to a claim for a specified benefit
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to a criminal injury claim
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Advice, investigation or representation in relation to an employment related claim

### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

#### **2.1A If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

- Yes  
 No

...





## **Variation of Permission (VOP) Application**

### **Claims Management – notes**

...

# 2

## Scope of Permission required

Tell us what it is you wish to do to change your firms permissions.

...

### **Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017**

**If the variation of permission is granted will the applicant firm become, or continue to be, subject to the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 and supervised by the FCA?**

For further help please refer to our website: <https://www.fca.org.uk/firms/money-laundering-terrorist-financing>

### **Client money**

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The form in SUP 6 Annex 6D (Cancellation of permission application) is amended as shown.



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## **Cancellation of Part 4A Permission (SUP 6 Ann 6D)**

### **Application Form**

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The Financial Conduct Authority  
~~Permissions Department~~ Cancellations Team  
~~Regulatory Transactions~~  
~~25 The North Colonnade~~ 12 Endeavour Square  
~~Canary Wharf~~  
London, ~~E14 5HS~~ E20 1JN  
~~Telephone +44(0)20 7066 1000~~  
~~Facsimile +44(0)20 7066 1099~~

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