

11 Annex 1G: Summary of notifications required in this chapter

References in this annex to a “*firm with only a limited permission*” are to an *FCA- authorised person* only.

Event triggering a notification	Requirement	reference
	When	How
Notifications from a <i>controller</i> or proposed <i>controller</i> of a <i>UK domestic firm</i> other than a <i>non-directive firm</i> or a <i>firm with only a limited permission</i>)		
1. When a <i>person</i> decides to become a <i>controller</i> or an existing <i>controller</i> decides to increase <i>control</i>	SUP 11.3.2G	SUP 11.3.7D to SUP 11.3.14G
2. When an existing <i>controller</i> decides to reduce <i>control</i> or to cease to have <i>control</i>	SUP 11.3.2G	SUP 11.3.15AD
Notifications from a <i>controller</i> or potential <i>controller</i> of a <i>non-directive firm</i> other than a <i>firm with only a limited permission</i>		
1. When a potential <i>controller</i> of a <i>non-directive firm</i> other than a <i>firm with only a limited permission</i> (“A”) decides to acquire (a) 20% or more of the <i>shares</i> in A or in a <i>parent undertaking</i> of A (“P”); (b) 20% or more of the <i>voting power</i> in A or P; or (c) <i>shares</i> or <i>voting power</i> in A or P as a result of which the potential <i>controller</i> will be able to exercise significant influence over the management of A	SUP 11.3.2AG(3)	SUP 11.3.7D to SUP 11.3.14G
2. When an existing <i>controller</i> decides to reduce <i>control</i> over A in a manner which will result in the <i>controller</i> failing to fall in any of the cases described in 1 above	SUP 11.3.2AG(3)	SUP 11.3.15AD
Notifications from a <i>controller</i> or potential <i>controller</i> of a <i>firm with only a limited permission</i>		
1. When a potential <i>controller</i> of a <i>firm with only a limited permission</i> (“A”) decides to acquire (a) 33% or more of the <i>shares</i> in A or in a <i>parent undertaking</i> of A (“P”); (b) 33% or more of the <i>voting power</i> in A or P; or (c) <i>shares</i> or <i>voting power</i> in A or P as a result of which the potential <i>controller</i> will be able to exercise significant influence over the management of A	SUP 11.3.2AG(4)	SUP 11.3.7D to SUP 11.3.14G
2. When an existing <i>controller</i> decides to reduce <i>control</i> over A in a manner which will result in the <i>controller</i> failing to fall in any of the cases described in 1 above	SUP 11.3.2AG(4)	SUP 11.3.15AD
Notifications from a <i>UK domestic firm</i> other than a <i>non-directive firm</i> (or a <i>firm with only a limited permission</i>) relating to a change in <i>control</i>		

1.	When a <i>firm</i> becomes aware of a <i>person</i> proposing to become a <i>controller</i> or an existing <i>controller</i> proposing to increase his <i>control</i> over the <i>firm</i>	SUP 11.4.2R SUP 11.4.7R SUP 11.4.8G	SUP 11.5.1R SUP 11.5.1AG SUP 11.5.2R SUP 11.5.3G SUP 15.7
2.	When a <i>firm</i> becomes aware that an existing <i>controller</i> is proposing to reduce his <i>control</i> over the <i>firm</i> or is proposing to cease to be a <i>controller</i> of the <i>firm</i>	SUP 11.4.2R SUP 11.4.7R SUP 11.4.8G	SUP 11.5.7R SUP 15.7
3.	When a <i>firm</i> becomes aware of any material inaccuracies, omissions or changes in information previously provided to the <i>appropriate regulator</i> either by the <i>firm</i> or by the <i>controller</i>	SUP 11.6.1G SUP 11.6.2R	SUP 15.7
4.	When a change in <i>control</i> actually takes place or, although a notification has been submitted, is not, after all, going to take place	SUP 11.6.4R SUP 11.6.5R	SUP 15.7
Notification from a <i>non-directive firm</i> relating to a change in <i>control</i> other than a <i>firm</i> with only a <i>limited permission</i>			
1.	When a <i>firm</i> becomes aware that a <i>person</i> (“A”) is acquiring (a) 20% or more of the <i>shares</i> in the <i>firm</i> (“B”) or in a <i>parent undertaking</i> of B (“P”); (b) 20% or more of the <i>voting power</i> in B or P; or (c) <i>shares</i> or <i>voting power</i> in B or P as a result of which the <i>controller</i> is able to exercise significant influence over the management of B	SUP 11.4.2AR SUP 11.4.7R SUP 11.4.8G	SUP 11.5.1R SUP 11.5.2R SUP 11.5.3G
2.	When a <i>firm</i> becomes aware that A is ceasing to fall in any of the cases described in 1 above	SUP 11.4.2R SUP 11.4.7R SUP 11.4.8G	SUP 11.5.7R SUP 15.7
3.	When a <i>firm</i> becomes aware of any material inaccuracies omissions or changes in information previously provided to the <i>appropriate regulator</i> either by the <i>firm</i> or by the <i>controller</i>	SUP 11.6.1G SUP 11.6.2R	SUP 15.7
4.	When a change in <i>control</i> actually takes place or, although a notification has been submitted, is not, after all, going to take place	SUP 11.6.4R SUP 11.6.5R	SUP 15.7
Notification from a <i>firm</i> with only a <i>limited permission</i> relating to a change in <i>control</i>			
1.	When a <i>firm</i> becomes aware that a <i>person</i> (“A”) is acquiring (a) 33% or more of the <i>shares</i> in the <i>firm</i> (“B”) or in a <i>parent undertaking</i> of B (“P”); (b) 33% or more of the <i>voting power</i> in B or P; or (c) <i>shares</i> or <i>voting power</i> in B or P as a result of which the <i>controller</i> is able to exercise significant influence over the management of B	SUP 11.4.2 AR SUP 11.4.7R SUP 11.4.8G	SUP 11.5.1R SUP 11.5.2R

2. When a <i>firm</i> becomes aware that A is ceasing to fall in any of the cases described in 1 above	<p>SUP 11.4.2 AR</p> <p>SUP 11.4.7R</p> <p>SUP 11.4.8G</p>	<p>SUP 11.5.7R</p> <p>SUP 15.7</p>
3. When a <i>firm</i> becomes aware of any material inaccuracies omissions or changes in information previously provided to the <i>appropriate regulator</i> either by the <i>firm</i> or by the <i>controller</i>	<p>SUP 11.6.1G</p> <p>SUP 11.6.2R</p>	<p>SUP 15.7</p>
4. When a change in <i>control</i> actually takes place or, although a notification has been submitted, is not, after all, going to take place	<p>SUP 11.6.4R SUP 11.6.5R</p>	<p>SUP 15.7</p>
<p>Notifications from an overseas <i>firm</i> relating to a change in control</p>		
1. When a <i>firm</i> becomes aware that a <i>person</i> becomes a <i>controller</i> of the <i>firm</i> , increases or reduces his <i>control</i> over the <i>firm</i> or ceases to be have <i>control</i> over the <i>firm</i>	<p>SUP 11.4.4R</p> <p>SUP 11.4.7R</p> <p>SUP 11.4.8G</p>	<p>SUP 11.5.1R</p> <p>SUP 11.5.2R</p> <p>SUP 11.5.3G</p> <p>SUP 15.7</p>
2. When a <i>firm</i> becomes aware of any material inaccuracies, omissions or changes in information previously provided to the <i>appropriate regulator</i> by the <i>firm</i>	<p>SUP 11.6.1G</p>	<p>SUP 15.7</p>
3. When a change in <i>control</i> actually takes place or, although a notification has been submitted, is not, after all, going to take place	<p>SUP 11.6.4R</p> <p>SUP 11.6.5R</p>	<p>SUP 15.7</p>
<p>Other ongoing notifications from a <i>firm</i> (UK domestic or overseas)</p>		
1. When a <i>firm</i> becomes aware of a change in the circumstances of an existing <i>controller</i>	<p>SUP 11.8.1R</p> <p>to</p> <p>SUP 11.8.4G</p>	<p>SUP 15.7</p>
2. When a <i>firm</i> becomes aware that it has become or ceased to be <i>closely linked</i> with any person	<p>SUP 11.9.1R</p>	<p>SUP 15.7</p>