

Firm name:

EEA state of authorisation (home member state):



Purpose of this form

- You must complete this notification if you are an *incoming EEA firm* that is seeking to exercise an *EEA right* under the *auction regulation* to establish a branch and/or use agents located in the United Kingdom.
- This form enables the FSA to supervise a UK establishment of an *incoming EEA firm's* compliance with the *applicable provisions* that apply to that establishment as set out in the FSA Handbook at SUP 13A Annex 1G (Application of the Handbook to Incoming EEA Firms).
- Please note that we require an *incoming EEA firm* with an establishment in the UK to have an approved *Money Laundering Reporting Officer*.
- For general guidance on the exercise of passport rights in the UK by *incoming EEA firms*, please refer to SUP 13A (Qualifying for authorisation under the Act).

Filling in the form

1. When completing the notification, use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question. Once completed send to the email address below.
2. All relevant questions must be answered in full and all relevant documents attached.

If you have any questions in connection with Auction regulation, please call the Firm Contact Centre on: 0845 606 9966 (Call rates may vary) Overseas call +44 20 7066 1000 or E-mail:

EmissionsTrading@fsa.gov.uk

Emissions Trading team
The Financial Services Authority
25 The North Colonnade
Canary Wharf
London, E14 5HS
Telephone: +44 (0)20 7066 1000

E-mail: EmissionsTrading@fsa.gov.uk

1. Contact details of the firm in the home state

1.1 Details of the person we can contact about this notification in the *home state*.

Contact name	
Position at firm	
Telephone number	+
Email address	
Web address	www

2. Details about the establishment (branch and/or agents)

2.1 Branch details

Please provide the address of the UK branch from which we can obtain information about the business.

Address			
Postcode			
Telephone number		+44(0)	
Email address at branch			@

2.2 Please provide details of the branch manager(s) and (if different) the Money Laundering Reporting Officer

<i>Title</i>	<i>Forename</i>	<i>Surname</i>	<i>Direct E-mail:</i>	<i>Direct dial telephone</i>

The Money Laundering Reporting Officer (CF11) is required to be registered as an [approved person](#) with the FSA and an incoming EEA firm should submit the appropriate form in application for this if it has not done so at the time of submitting this form.

2.3 Please give the proposed date for the business to start at the branch or the date on which business started at the branch (dd/mm/yyyy)

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2.4 Do you intend to use an agent located in the UK to carry on *auction regulation bidding* in the UK?

Yes No

If 'Yes' please complete sections 2.5 – 2.7

2.5 Agent details

Name of agent			
Contact name			
Address			
Postcode			
Telephone number			+44(0)
Email address			@

2.6 If you are using more than one agent, please attach their details to this form using the format above.

2.7 Please give the proposed date the agent is to commence business on the firm's behalf or the date on which business commenced (*dd/mm/yyyy*).

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3. Details about your authorisation

Requirement	Response
<p>Permission to Conduct the Activity Please provide evidence of your authorisation under the <i>auction regulation</i>, including the date on which authorisation was granted by your Home State Regulator</p> <p>NOTE: a copy of the authorisation letter from your Home State Regulator should normally be sufficient evidence of this.</p>	

4. Declaration

Note to declaration

If you are submitting this notification electronically you do not need to provide a signature here. However, you still need to have the authority to make this notification on behalf of the firm.

It is a criminal offence to knowingly or recklessly give us information that is false or misleading. If necessary, please take appropriate professional advice before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete. Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

- I understand it is a criminal offence to knowingly or recklessly give the FSA information that is false or misleading.
- I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.
- I confirm that I am authorised to sign on behalf of the firm.

Name	
Position	
Telephone	
E-mail	
Signature	
Date	dd/mm/yy

Data protection

For the purposes of complying with the Data Protection Act 1998, the personal information in this form will be used by the FSA to discharge its statutory functions under the *auction regulation* and other relevant legislation, and may be disclosed to third parties for those purposes.

Where to send this form

Please email the completed form, together with any required documentation to the Emissions Trading team at: EmissionsTrading@fsa.gov.uk