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| On-going reporting by principal firms on their appointed representatives |
| Reporting under *SUP* 12.7.9DR (i.e. the form in *SUP* 12 Ann 6) |

|  |  |
| --- | --- |
| *Firm* name (i.e. the *principal firm*) [[1]](#footnote-1)† |  |
|  | **("*The firm*")** |
| Firm reference number**§** \* |   |
| Address**§** [[2]](#footnote-2)\* |   |

Please return the form to:

Financial Conduct Authority

12 Endeavour Square
London, E20 1JN

United Kingdom

Telephone +44 (0) 300 500 0597

Facsimile +44 (0) 207 066 0017

E-mail firm.queries@fca.org.uk

Website http://www.fca.org.uk

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above.

NONOTESTES

This form should be used by a principal firm to report to the FCA on complaints made against its appointed representatives, and on the revenue of its appointed representatives. It should also be used to report on funds exchanged between the principal and the appointed representative.

Principals should use this form to report these data for all of their appointed representatives. The relevant reporting period is the 12 months immediately following a firm’s accounting reference date.

This report is in addition to any other reporting requirements for firms.

It is the form required by *SUP* 12.7.9DR which is set out in *SUP* 12 Ann 6.

For the purposes of this form, references to ‘appointed representative’ include ‘tied agent’ unless the context otherwise requires.

Contact Details Section A

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1** | Contact name for this form (this is not necessarily the same person making the declaration at the end of the form)[[3]](#footnote-3)† | § Title  | § First name | § Last name |
| **2** | Contact's details: |  |
|  | **a** | Job title† |  |
|  | **b** | daytime telephone number† | **§**  |
|  | **c** | e-mail address† | **§** |
|  | **d** | business address† |  |
|  |  |
|  | **e** | post code† |  |

**xx**

Complaints made against appointed representatives Section B

Complete the table below for each of your appointed representatives, including introducer appointed representatives.

If there have been no complaints against an appointed representative in the relevant period, there is no need to include that appointed representative in the report.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| # | Name of the appointed representative **§**† | Appointed representative FRN **§**† | Number of complaints opened against the appointed representative in the relevant period **§**† | Total number of complaints closed in the relevant period **§**†  | Total number of complaints upheld in the relevant period **§**† | Total redress paid (single units) in the relevant period **§**† |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

Appointed representatives' revenue Section C

Complete the table below for each of your appointed representatives, including introducer appointed representatives, for the relevant period.

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| # | Name of the appointed representative**§**† | Appointed representative FRN**§**†  | Total regulated business revenue[[4]](#footnote-4)**§**† | Revenue generated by financial non-regulated activities1[[5]](#footnote-5)[[6]](#footnote-6)[[7]](#footnote-7)**§**†⸙ | Revenue generated by non-financial non-regulated activities24**§**†⸙ | If no regulated business revenue is reported for the appointed representative, provide a brief explanation**§**† | Total remuneration or financial benefit the principal firm received from the appointed representative**§**† | Total remuneration or financial benefit the appointed representative received from the principal**§**† |
|  |  |  |  |  | [ ] =£0[ ] ≥£1 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |  |  |  |
|  |  |  |  |  | [ ] =£0[ ] ≥£1 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |  |  |  |
|  |  |  |  |  | [ ] =£0[ ] ≥£1 and <£100k[ ] ≥£100k and <£250k[ ] ≥£250k and <£1m[ ] ≥£1m and <£10m[ ] ≥£10m and <£50m[ ] ≥£50m and <£100m[ ] ≥£100m and <£500m[ ] ≥£500m |  |  |  |

Declaration and signatures Section D

**Warning**†

Knowingly or recklessly giving the FCA information, which is false or misleading in a material particular, may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000).

SUP 15.6.4R requires an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.

Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the Appropriate Regulator.

It should not be assumed that information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body. If you are not sure whether a piece of information is relevant, please include it anyway.

**Data Protection**†

For the purposes of complying with the Data Protection Act, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. It will not be disclosed for any other purposes without the permission of the applicant.

**Review and submission**†

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Some questions do not require supporting evidence. However, the records, which demonstrate the applicant firm's compliance with the rules in relation to the questions, must be available to the FCA on request.

**Declaration**†

**By submitting this notification:**

* **I/we confirm that this information is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.**
* **I/we confirm that I/we have complied with all of my/our regulatory obligations as a principal, including those contained in the Financial Services and Markets Act 2000 and SUP 12.**
* **I am/we are aware that it is a criminal offence knowingly or recklessly to give the FCA** **information that is false or misleading in a material particular.**
* **I/we will notify the FCA** **immediately if there is a significant change to the information given in the form. If I/we fail to do so, this may result in a delay in the application process or enforcement action.**

[ ] [In the online form] Tick here to confirm that the person submitting this Form on behalf of the Firm and (if applicable) the individual named below – have read and understood the declaration.

**Signature**

[ ] I confirm that a permanent copy of this Form, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA’s request.

|  |  |
| --- | --- |
| Signature [[8]](#footnote-8)\* |  |
| Name of authorised signatory† |  |
| Date† |  |
| Position in firm † |  |
| Individual Registration Number (if applicable) |  |

1. † These questions should be completed whether submission of this form is online or in one of the other ways set out in SUP 15.7 [↑](#footnote-ref-1)
2. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online

§ Denotes a mandatory field

⸙ These fields are not applicable to introducer appointed representatives [↑](#footnote-ref-2)
3. [↑](#footnote-ref-3)
4. Figure to be provided to the nearest £5,000. [↑](#footnote-ref-4)
5. In this form, ‘non-regulated activity’ means activity that is not a *regulated activity*. [↑](#footnote-ref-5)
6. In this form, ‘non-regulated financial services activities’ refers to any activity of a financial nature but that does not involve the *person* carrying on *regulated activity*.  This includes, but is not limited to, activities relating to investment services; insurance; pensions; banking; lending (including consumer credit, mortgages, factoring, financing of commercial transactions); financial leasing; money transmission; payments; guarantees and commitments; foreign exchange; the issuance of securities and other service of a corporate finance nature; custodial, depositary and trust services; and financial information and data services.   [↑](#footnote-ref-6)
7. Where the appointed representative has more than one principal, to be completed by the ‘lead-principal’ (see SUP 12.4.5DG). [↑](#footnote-ref-7)
8. \* These questions should only be completed if the form is being submitted in one of the ways set out in SUP 15.7 other than online submission. It should not be completed if the submission of this form is online. [↑](#footnote-ref-8)