

# Funeral Plan: Conduct of Business sourcebook

## Schedule 1 Recordkeeping requirements

### Sch 1.1 G

The *guidance* in this table aims to give the reader a quick overall view of the relevant record keeping requirements in *SECN*.

### Sch 1.2 G

It is not a complete statement of those requirements and should not be relied on as if it were.

Handbook reference	Notifier	Matter to be notified
SECN 2.5.1R	<i>Originator and sponsor</i>	<i>STS notification</i>
SECN 2.5.4R	<i>Originator and sponsor</i>	That a <i>securitisation</i> no longer meets <i>STS criteria</i>
SECN 9.5.4R(8)	<i>Securitisation repository</i>	That the information submitted to a <i>securitisation repository</i> is incomplete or inconsistent  That the <i>securitisation repository</i> has not received written confirmation from the <i>reporting entity</i> that all required information about the <i>securitisation</i> has been provided to the <i>securitisation repository</i>
SECN 9.6.9D(6)	<i>Securitisation repository</i>	Any planned material changes to the applicant's information technology systems, before their implementation
SECN 9.6.22D(3)	<i>Securitisation repository</i>	Any breaches in the applicant's physical and electronic security measures  Incident report, indicating the nature and details of the incident, the measures adopted to cope with the incident and the initiatives taken to prevent similar incidents



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### Schedule 2 Notification requirements

#### Sch 2.1 G

The *guidance* in this table aims to give the reader a quick overall view of the relevant matters of which *persons* are required to notify the *FCA* under *SECN*.

#### Sch 2.2 G

It is not a complete statement of those requirements and should not be relied on as if it were.

Handbook reference	Notifier	Matter to be notified
SECN 2.5.1R	<i>Originator and sponsor</i>	<i>STS notification</i>
SECN 2.5.4R	<i>Originator and sponsor</i>	That a <i>securitisation</i> no longer meets <i>STS criteria</i>
SECN 9.5.4R(8)	<i>Securitisation repository</i>	That the information submitted to a <i>securitisation repository</i> is incomplete or inconsistent  That the <i>securitisation repository</i> has not received written confirmation from the <i>reporting entity</i> that all required information about the <i>securitisation</i> has been provided to the <i>securitisation repository</i>
SECN 9.6.9D(6)	<i>Securitisation repository</i>	Any planned material changes to the applicant's information technology systems, before their implementation
SECN 9.6.22D(3)	<i>Securitisation repository</i>	Any breaches in the applicant's physical and electronic security measures  Incident report, indicating the nature and details of the incident, the measures adopted to cope with the incident and the initiatives taken to prevent similar incidents



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### Schedule 3 Fees and other requirement payments

#### Sch 3.1 G

There are no new requirements for fees or other payments in *SECN*.

#### Sch 3.2 G

The provisions relating to fees payable in respect of *securitisation repositories* are set out in ■ FEES 3.2.7R (Table of application, notification, vetting and other fees payable to the FCA), ■ FEES 3 Annex 13R (Fees payable for registration as a credit rating agency, trade repository or securitisation repository), ■ FEES 4.2.11R (Table of periodic fees payable to the FCA) and ■ FEES 4 Annex 16R (Periodic fees for credit rating agencies, trade repositories and securitisation repositories).

#### Sch 3.3 G

The provisions relating to fees payable in respect of *third party verifiers* are set out in ■ FEES 3.2.7R (Table of application, notification, vetting and other fees payable to the FCA), ■ FEES 3 Annex 14R (Other FCA application fees) and ■ FEES 4 Annex 11R (Periodic fees in respect of payment services, electronic money issuance, regulated covered bonds, CBTL business, data reporting services, third party verifiers and proxy advisers in relation to the period 1 April 2023 to 31 March 2024).



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## Schedule 4 Powers exercised

**Sch 4.1 R**  
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### Schedule 5 Rights of action for damages

#### Sch 5.1 R

There are no rights of action under section 138D of the *Act* in respect of any contravention by an *authorised person* of any *rule* in *SECN*, which is made under the *Act*.



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### Schedule 6 Rules that can be waived or dispensed with or suspended

#### Sch 6.1 G

All the rules in *SECN* except for ■ SECN 10 can be waived or modified by the *FCA* under sections 138A of the *Act*.

#### Sch 6.2 G

The *rules* set out in ■ SECN 5 to ■ SECN 8 and ■ SECN 11 to ■ SECN 14 can be dispensed with, modified or remodified (with or without modifications) in the cases or circumstances set out in ■ SECN 13.2.1R.

#### Sch 6.3 R

The *rules* set out in ■ SECN 2, ■ SECN 3, ■ SECN 5 to ■ SECN 8 and ■ SECN 11 to ■ SECN 14 applying to *sponsors, originators, SSPEs, original lenders* and *sellers of securitisation positions* can be suspended under regulation 5(5) of the *Securitisation Regulations 2024*.

