

Supervision

Chapter 10A

FCA Approved Persons



10A.12 Procedures relating to FCA-approved persons

Forms

10A.12.1 **G** The forms listed in **■ SUP 10A.12.2 G** are referred to in **■ SUP 10A.12** (Procedures relating to FCA-approved persons) to **■ SUP 10A.17** (Further questions).

10A.12.2 **G** Table: FCA-approved persons forms

Form		Purpose	Handbook requirement
the relevant Form A	The relevant online form on the <i>FCA and PRA's online notification and application system</i> or the form in SUP 10A Annex 4D (See Note)	Application to perform controlled functions under the approved persons regime	SUP 10A.13.3 D
Form B	SUP 10C Annex 4R	Notice to withdraw an application to perform controlled functions under the approved persons regime	SUP 10A.13.19 R
Form C	SUP 10C Annex 5R	Notice of ceasing to perform controlled functions	SUP 10A.14.8 R
Form D	SUP 10C Annex 6R	Notification of changes in personal information or application details	SUP 10A.14.15 R
Form E	The relevant online form on the <i>FCA and PRA's online notification and application system</i> or the form in SUP 10A Annex 8D (See Note)	Internal transfer of an <i>approved person</i>	SUP 10A.14.4 D

Note (1): The form in the SUP annex shown is to be used by a *firm* whose *Part 4A permission* covers only *credit-related regulated activities*, and by

Form	Purpose	Handbook requirement
	other <i>firms</i> only in the event of a failure of the information technology systems used by the <i>FCA</i> . See the relevant "Handbook requirement".	
	Note (2): Where SUP 10A.1.16BR (appointed representative of an <i>SMCR firm</i>) applies, the version of the form to be used is the one required by SUP 10C (FCA senior managers regime for approved persons in <i>SMCR firms</i>).	

- 10A.12.3 G A summary of the forms and their purposes is in ■ SUP 10A Annex 2.

- 10A.12.4 G Unless the context otherwise requires, in ■ SUP 10A.12 (Procedures relating to FCA-approved persons) to ■ SUP 10A.17 (Further questions) where reference is made to a *firm*, this also includes an applicant for *Part 4A permission*, and other *persons* seeking to carry on *regulated activities* as an *authorised person*.

- 10A.12.5 G Forms B, C, D and E can only be submitted in respect of an *FCA-approved person* by the *firm* that submitted an *FCA-approved person's* original application (the relevant Form A).

- 10A.12.6 G Copies of Forms A, B, C, D and E may be obtained from the *FCA* website. *Credit unions* can obtain copies from the *FCA's* Contact Centre. To contact the *FCA's* Contact Centre for *approved persons* enquiries:
 - (1) telephone 0300 500 0597; or
 - (2) e-mail firm.queries@fca.org.uk; or
 - (3) fax 020 7066 0017; or
 - (4) write to:
 - Customer Contact Centre
 - The Financial Conduct Authority
 - 12 Endeavour Square
 - London
 - E20 1JN.