

**Supervision**

## Chapter 10A

# FCA Approved Persons



## 10A.16 How to apply for approval and give notifications

### 10A.16.1 D

- (1) This direction applies to an application under Form A or Form E.
- (2) Subject to (2A), an application by a *firm* must be made by submitting the Form online at [fca.org.uk](http://fca.org.uk) using the form specified on the FCA's and PRA's online notification and application system.
- (2A) An application by a *firm* whose application for *permission* or whose *Part 4A permission* covers only *credit-related regulated activities* must be made using the form in ■ SUP 10A Annex 4 or ■ SUP 10A Annex 8 and must be submitted in the way set out in ■ SUP 15.7.4 R to ■ SUP 15.7.9 G (Form and method of notification).
- (3) [deleted]
- (4) Where a *firm* is obliged to submit an application online under (2), if the information technology systems used by the FCA fail and online submission is unavailable for 24 hours or more, until such time as facilities for online submission are restored a *firm* must use the form in ■ SUP 10A Annex 4D or ■ SUP 10A Annex 8D and submit it in the way set out in ■ SUP 15.7.4 R to ■ SUP 15.7.9 G (Form and method of notification).
- (5) An application by a *firm* in relation to a *controlled function* to which ■ SUP 10A.1.16BR (*appointed representative of an SMCR firm*) applies must be made in accordance with ■ SUP 10C.15 (Forms and other documents and how to submit them to the FCA) and not this section.

### 10A.16.2 R

- (1) This *rule* applies to a notification under Form C or Form D.
- (2) A notification must be made in accordance with ■ SUP 10A.16.1 D, except that the annexes in which the forms are to be found are ■ SUP 10C Annex 5R or ■ SUP 10C Annex 6R, rather than the Annexes mentioned in ■ SUP 10A.16.1 D.
- (3) A notification by a *firm* in relation to a *controlled function* to which ■ SUP 10A.1.16BR (*appointed representative of an SMCR firm*) applies must be made in accordance with ■ SUP 10C.15 (Forms and other documents and how to submit them to the FCA) and not this section.

### 10A.16.2A R

■ SUP 10A.16.2R(3) also applies to Form B in relation to a *controlled function* to which ■ SUP 10A.1.16BR (*appointed representative of an SMCR firm*) applies.

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**10A.16.3** **G** If the information technology systems used by the *FCA* fail and online submission is unavailable for 24 hours or more, the *FCA* and *PRA* will endeavour to publish a notice on their websites confirming that online submission is unavailable and that the alternative methods of submission set out in ■ SUP 10A.16.1D (4) and ■ SUP 15.7.4 R to ■ SUP 15.7.9 G (Form and method of notification) should be used.

**10A.16.4** **G** Where ■ SUP 10A.16.1D (4) or the equivalent situation under ■ SUP 10A.16.2 R applies to a *firm*, ■ GEN 1.3.2 R (Emergency) does not apply.