

**CLAIMS MANAGEMENT FORM GUIDANCE AND NUMBERING INSTRUMENT
2023**

Powers exercised by the Financial Conduct Authority

- A. The Financial Conduct Authority (“the FCA”) makes this instrument in the exercise of the following powers and related provisions in or under the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137A (The FCA’s general rules);
 - (2) section 137T (General supplementary powers); and
 - (3) section 139A (Power of the FCA to give guidance).
- B. The rule-making powers listed above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 28 April 2023.

Amendments to the FCA Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Claims Management Form Guidance and Numbering Instrument 2023.

By order of the Board
27 April 2023

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

16 Reporting requirements

...

**16 Annex Annual Claims Management Report form
45AR**

CMC001: Key data for Claims Management

Currency: Sterling only

Units: integers

...									
Relevant Connections									
These questions are for <i>firms with carrying on or which have permission to carry on: seeking out, referrals and identification of claims or potential claims; or and/or advice, investigation or representation in relation to a financial services or financial product claim.</i>									
...									
<u>74</u>	<i>housing disrepair claims</i>								
<u>75</u>	<i>claims for a specified benefit</i>								
<u>76</u>	<i>criminal injury claims</i>								
<u>77</u>	<i>employment-related claims</i>								
	Of the above types of <i>claim</i> , which three saw the largest percentage change in number of successful <i>claims</i> ? Please complete 78 to 80 below:								

	Type of <i>claim</i>	Percentage change
74		
78		
75		
79		
76		
80		

16 Annex 45BG **Guidance notes for completion of the Annual Claims Management Report form**

Guidance for CMC001

General notes

...

~~Questions 35 to 37 are currently left blank.~~ apply to firms carrying on, or with permission to carry on, seeking out, referrals and identification of claims or potential claims and/or advice, investigation or representation in relation to a financial services or financial product claim.

...

	Question	Notes	B
...			
34	What was the amount of the prudential surplus or deficit at the end of the reporting period?	Enter positive figures only (irrespective of whether the amount was a surplus or deficit.)	
<u>Relevant Connections</u>			
<u>These questions are for firms carrying on, or which have permission to carry on: seeking out, referrals and identification of claims or potential claims; and/or advice, investigation or representation in relation to a financial services or financial product claim.</u>			
35	This row is left blank intentionally. <u>Is the firm providing a notification of individuals, as per CMC0B 2.1.21R?</u>	<u>Answer “yes” or “no”.</u> <u>Firms should answer “yes” if there are any individuals at their firm (including employees, controllers or members of the firm’s governing body) who</u>	

		<p><u>are/were directly involved in, or responsible for, the carrying on of an FSCS-eligible activity at another firm; or if any controller or member of the firm's governing body is related to someone who is/was directly involved in, or responsible for, the carrying on of an FSCS-eligible activity at another firm.</u></p> <p><u>In summary, an FSCS-eligible activity is an activity in connection with which a claim could be made to the FSCS now or in the future; it is defined in CMC OB 2.1.17R(6) and CMC OB 2.1.18G.</u></p>	
	<p><u>If the answer to question 35 is yes, please complete the following information:</u></p>		
36	<p><u>This row is left blank intentionally. Where CMC OB 2.1.21R(3) applies to the individual, complete the information required in the following table.</u></p>		
	<p><u>Name of the individual</u></p>	<p><u>The individual is an employee or controller of your firm, or any member of its governing body, who is or was directly involved in or responsible for the carrying on of an FSCS-eligible activity at another firm.</u></p>	
	<p><u>Individual's role in the firm providing the notification</u></p>	<p><u>Please state the individual's role at your firm.</u></p>	
	<p><u>Name of the firm at which the FSCS-eligible activity was carried on by the individual</u></p>	<p><u>Please provide the name of the other firm where the individual is or was directly involved in or responsible for carrying on an FSCS-eligible activity.</u></p>	
	<p><u>Individual's role at the firm at which the FSCS-eligible activity was carried on</u></p>	<p><u>Please provide the individual's role at the other firm where that individual is or was directly involved in or responsible for carrying on an FSCS-eligible activity.</u></p>	

	<u>Date that role started</u>	Please provide the date the <u>individual's role at the other firm started.</u>	
	<u>Date that role ended</u>	Please provide the date the <u>individual's role at the other firm ended (if it has ended).</u>	
37	<u>This row is left blank intentionally. Where <i>CMCOB</i> 2.1.21R(5) applies to the individual, complete the information required in the following table.</u>		
	<u>Name of individual A</u>	<p><u>Individual A is any controller or member of your firm's governing body who is related to a person (individual B) who is or was directly involved in or responsible for the carrying on of an FSCS-eligible activity at another firm.</u></p> <p><u>Under <i>CMCOB</i> 2.1.17R(5), A is related to B for these purposes if:</u></p> <p><u>(a) A is B's spouse or civil partner;</u></p> <p><u>(b) A's relationship to B has the characteristics of the relationship between spouses or civil partners; or</u></p> <p><u>(c) A is B's parent, brother, sister, child, grandparent or grandchild (including step-relations in these categories).</u></p>	
	<u>Individual A's role in relation to the firm providing the notification</u>	Please provide individual A's <u>role at your firm.</u>	
	<u>Name of individual B</u>	<u>Individual B is the person who is or was directly involved in or is or was responsible for the carrying on of an FSCS-eligible activity at another firm, who is related to individual A.</u>	
	<u>Relationship between individual A and individual B</u>	<u>Describe how individual A is related to individual B (see <i>CMCOB</i> 2.1.17R(5)).</u>	

	<u>Name of the <i>firm</i> at which the FSCS-eligible activity was carried on by individual B</u>	<u>Please provide the name of the <i>firm</i> at which individual B is or was directly involved in or responsible for carrying on an FSCS-eligible activity.</u>	
	<u>Individual B’s role at the <i>firm</i> at which the FSCS-eligible activity was carried on</u>	<u>Please provide individual B’s role at the other <i>firm</i> where they are or were directly involved in or responsible for carrying on an FSCS-eligible activity.</u>	
	<u>Date that role started and date that role ended</u>	<u>Please provide the date individual B’s role at the other <i>firm</i> started and the date it ended.</u>	
...			
Professional Indemnity Insurance			
...			
39	Did the <i>firm</i> have a professional indemnity insurance policy in place for <i>advice, investigation or representation in relation to a personal injury claim</i> as at the end of the reporting period?	Answer “yes” or “no”. If yes, please complete questions 40 to 46. <u>If no, go to question 47.</u>	
...			
Third-party Lead Generators			
52	How many leads did the <i>firm</i> purchase from <i>lead generators</i> during the reporting period?	State “0” or provide a positive figure. <u>If your answer to question 52 is “0”, go to question 56.</u>	
...			