

**HANDBOOK ADMINISTRATION (No 57) INSTRUMENT 2021**

**Powers exercised**

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

**Commencement**

- C. This instrument comes into force on 1 October 2021.

**Amendments to the Handbook**

- D. The Glossary of definitions is amended in accordance with Annex A to this instrument.
- E. The Supervision manual (SUP) is amended in accordance with Annex B to this instrument.

**Citation**

- F. This instrument may be cited as the Handbook Administration (No 57) Instrument 2021.

By order of the Board  
30 September 2021

## Annex A

### Amendments to the Glossary of definitions

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

<i>execution-only transaction</i>	a transaction <i>executed</i> by a <i>firm</i> upon the specific instructions of a <i>client</i> where the <i>firm</i> does not give <i>advice on investments</i> relating to the merits of the transaction and in relation to which the <i>rules</i> on assessment of appropriateness (COBS 10 <u>and 10A</u> ) do not apply.
<i>higher paid material risk taker</i>	means a <i>dual-regulated firms Remuneration Code staff</i> member whose total <i>remuneration</i> exceeds £500,000 <del>and</del> <u>or</u> whose variable <i>remuneration</i> exceeds 33% of that total <i>remuneration</i> .

## Annex B

### Amendments to the Supervision manual (SUP)

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

#### 1A        **The FCA's approach to supervision**

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#### 1A.3      **The FCA's approach to supervision**

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Supervisory principles

##### 1A.3.2A   G    ...

(5)    ...

- (b)    systematically use intelligence to target its engagement from a broad set of sources. This includes complaints data, whistleblowers, the *FCA's* ~~contact centre~~ Supervision Hub, regulatory returns, other regulators and competitor *firms*.

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The nature of the FCA's relationship with firms

- 1A.3.7    G    As many *firms* will not have dedicated, fixed portfolio resource, the first point of contact for many issues for such *firms* will be handled by the *FCA's* ~~Contact Centre~~ Supervision Hub, with the aim being that fewer issues and queries will need to be referred to the supervisors. To support all *firms* the *FCA* will also provide regional workshops and road shows to clarify its expectations on these risks and issues that are particularly important to the *FCA*.

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#### 6        **Applications to vary and cancel Part 4A permission and to impose, vary or cancel requirements**

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#### 6.4      **Applications for cancellation of permission**

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The application for cancellation of permission

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- 6.4.6 G (1) In addition to applying for cancellation of *Part 4A permission* in accordance with *SUP 6.4.5D*, a *firm* may discuss prospective cancellations with its supervisory contact at the *appropriate regulator*. Alternatively a *firm* can contact the ~~Contact Centre~~ Supervision Hub on 0300 500 0597.

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## 10A FCA Approved Persons in Appointed Representatives

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### 10A.12 Procedures relating to FCA approved persons

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- 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~~ Supervision Hub. To contact the *FCA*'s ~~Contact Centre~~ Supervision Hub for *approved persons* enquiries:
- (1) telephone 0300 500 0597; or
  - (2) e-mail [firm.queries@fca.org.uk](mailto:firm.queries@fca.org.uk); or
  - (3) fax 020 7066 0017; or
  - (4) write to:  
~~Customer Contact Centre~~ Supervision Hub  
 The Financial Conduct Authority  
 12 Endeavour Square  
 London  
 E20 1JN.

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## 10C FCA senior managers regime for approved persons in SMCR firms

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### 10C.15 Forms and other documents and how to submit them to the FCA

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Forms and documents

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- 10C.15.5 G Copies of the forms in *SUP 10C.15.3G* and of the *statement of responsibilities* may be obtained from the *FCA* website. *Credit unions*

can obtain copies from the *FCA's* ~~Firm Contact Centre~~ Supervision Hub.

- 10C.15.6 G To contact the *FCA's* ~~Customer Contact Centre~~ Supervision Hub for *approved persons* enquiries:
- (1) telephone: 0300 500 0597;
  - (2) email: firm.queries@fca.org.uk; or
  - (4) write to:
- ~~Customer Contact Centre~~ Supervision Hub  
The Financial Conduct Authority  
12 Endeavour Square  
London, E20 1JN.

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## 12 Appointed representatives

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### 12.7 Notification requirements

Notification of appointment of an appointed representative

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- 12.7.5 G To contact the *FCA's* ~~Contact Centre~~ Supervision Hub with *appointed representatives* enquiries:
- (1) telephone 0300 500 0597; fax 020 7066 0017; or
  - (2) write to: ~~Customer Contact Centre~~ Supervision Hub, The Financial Conduct Authority, 12 Endeavour Square, London, E20 1JN; or
  - (3) email firm.queries@fca.org.uk.

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## 15 Notifications to the FCA

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### 15.13 Notification by CBTL firms

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Method, form and timing of notifications

- 15.13.5 G ...
- (3) given to or addressed for the attention of the *CBTL firm's* usual supervisory contact at the *FCA* (where the *CBTL firm* does not have an identified supervisory contact this will be the *FCA's*

~~Contact Centre~~ Supervision Hub);

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**16 Reporting requirements**

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**16.10 Verification of firm details**

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Requirement to check the accuracy of firm details and to report changes to the FCA

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16.10.4A R ...

(2) ...

(a) to firm.details@fca.org.uk or via post or hand delivery to the *FCA* marked for the attention of the '~~Customer~~ Contact Centre Supervision Hub'; or

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