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**Equivalence Notification**

**Benchmarks Administrator Notification Form**

**Full legal entity name of the administrator**

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**Please read before completing this form**

This form can be used to give the FCA the information we need to publish your firm’s details and benchmarks on the UK Benchmarks Register.

Link to UK Benchmarks Regulations:

* <https://www.legislation.gov.uk/uksi/2019/657/contents/made>
* <http://www.legislation.gov.uk/uksi/2019/1212/regulation/20/made> (see Regulation 20)

A link to the UK Benchmarks Register: [https://register.fca.org.uk/BenchmarksRegister](onenote://C:/Users/jdobbs1/Documents/OneNote%20Notebooks/My%20Notebook/GDPR.one#Gregg%20Johnston-%20EU%20co-ordination%20team%20GCD-%20may%20know%20what%20the%20latest%20wording%20should%20be%20on%20GDPR.&section-id={616906BD-B949-4FA3-8D0C-2CA754F744B9}&page-id={09F27FC8-A285-42D6-BE66-56A128DDE16A}&object-id={B6C8E11E-2887-4628-805)

The FCA processes personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy)

**You must give accurate and complete information. Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). If necessary, please take appropriate professional advice before supplying information to us.**

**Terms in this notification**

In this form, we use the following terms:

* 'you' refers to the person(s) signing the form on behalf of the firm
* the ‘administrator' refers to the benchmarks administrator notifying the FCA
* ‘we’, ‘us’, ‘our’ or ‘FCA’ refers to the Financial Conduct Authority
* ‘FSMA’ refers to the Financial Services and Markets Act 2000
* ‘Regulation’ refers to UK Regulation
* ‘Equivalence’ refers to an administrator located in a third country in respect of which an equivalence decision has been adopted under and in accordance with Article 30 of the UK Benchmarks Regulation.

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**Filling in the form**

**1** If you are using your computer to complete the pack use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question.

**2** If you think a question is not relevant to you, write 'not applicable' and explain why.

**3** If you leave a question blank or do not attach the required supporting information we may have to treat the notification as incomplete. This may increase the time taken to process your notification.

**4** If there is not enough space on the form you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**5** Email the notification with:

* the Equivalence Notification Form
* the Schedule of Benchmarks
* any supporting documents to us at

[Authorisation3@fca.org.uk](mailto:Authorisation3@fca.org.uk)

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| --- | --- |
| 1 | General information  Use this section to give the information that we need to publish your details on the UK Benchmarks Administrators Register.  Please check you have given us all the required information. |

Administrator name

**1.1 Does the administrator intend to use any trading names in addition to the legal entity name given on this form?**

No

Yes ⏵ Give details

|  |  |
| --- | --- |
| Name |  |

Legal Entity Identifier (LEI)

**1.2 Administrator’s LEI (if applicable)**

|  |
| --- |
|  |

Contact for this notification

**1.3 Who can we contact about this notification?**

|  |  |
| --- | --- |
| Title |  |

|  |  |
| --- | --- |
| First names |  |

n

|  |  |
| --- | --- |
| Surname |  |

|  |  |
| --- | --- |
| Job title |  |

|  |  |
| --- | --- |
| Business address |  |
|  |
|  |
|  |
| Postcode |  |

|  |  |
| --- | --- |
| Country |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Mobile number (optional) |  |

|  |  |
| --- | --- |
|  |  |

|  |  |
| --- | --- |
| Email address |  |

Address

**1.4 Registered Office or other official address**

For a natural person, this should be an address in the country where that person is resident for tax purposes

|  |  |
| --- | --- |
| Registered Office or other official address |  |
|  |
|  |
| Postcode |  |

|  |  |
| --- | --- |
| Country |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Email address |  |

Legal status of the administrator

**1.5 What is the legal status of the administrator?**

Sole trader (or natural person) ⏵ Continue to Question 1.8

Private limited company

Partnership (other than limited partnership or limited liability partnership)

Limited liability partnership

Public limited company

Limited partnership

Unincorporated association

Other ⏵ You must detail the legal status of the administrator

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| --- |
|  |

**1.6 Date of incorporation or formation (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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**1.7 Where was the administrator incorporated or formed?**

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| --- |
|  |

**1.8 Please attach evidence of the administrator’s legal status**

Attached

Not applicable

**1.9 Does the applicant firm have a registered number, eg Companies House or equivalent number?**

No

Yes⏵Give details below

|  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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Website address

**1.10 To allow us to publish the administrator’s website details on the UK Benchmarks Register please provide the website address**

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|  |

Regulatory status

**1.11 Is the administrator currently regulated and/or supervised in the third country?**

No

Yes⏵Give details of the regulator in the third country

Regulated status

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| --- |
|  |

Name of regulator

|  |
| --- |
|  |

Link to the register of the regulator (if available)

|  |
| --- |
|  |

Address of regulator

|  |
| --- |
|  |

Administrator’s identification number with that regulator (FRN if previously regulated by us)

|  |
| --- |
|  |

The activities for which it is regulated and/or supervised

|  |
| --- |
|  |

**1.12 Please attach evidence of the administrator’s regulatory status**

Attached

Not applicable

**1.13 Details of the main contact at the regulator (if available)**

|  |  |
| --- | --- |
| Name |  |

|  |  |
| --- | --- |
| Phone number (including STD code) |  |

|  |  |
| --- | --- |
| Email address |  |

Other regulators

**1.14 Is the administrator regulated and/or supervised by more than one regulator?**

No

Yes⏵Give details

Regulated status

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| --- |
|  |

Name of regulator

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| --- |
|  |

Link to the register of the regulator (if available)

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| --- |
|  |

Address of regulator

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|  |

Administrator’s identification number with that regulator (FRN if previously regulated by us)

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|  |

The activities for which it is regulated and/or supervised, if different

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|  |

Group structure

**1.15 Is the administrator a member of a group?**

No

Yes ⏵ You must provide an up-to-date group structure chart showing the links between any parent undertaking and subsidiaries. The undertakings and subsidiaries shown in the chart shall be identified by their full name, legal status and address of the registered office and head office).

Attached

Good repute

**1.16 You must confirm that the administrator is of good repute**

Yes

**1.17 Please give the following details for the administrator:**

* **Any pending proceedings of a disciplinary nature against the administrator**

No

Yes⏵ Give a full explanation of the events

|  |
| --- |
|  |

* **Any pending refusal of authorisation or registration by a financial authority**

No

Yes⏵ Give a full explanation of the events

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|  |

* **Any pending withdrawal of authorisation or registration by a financial authority**

No

Yes⏵ Give a full explanation of the events

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Any additional information

**1.18 Please give details of any other information the administrator considers relevant to its notification**

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| --- | --- |
| 2 | Information on the benchmarks  Use this section to give the information needed to enable the FCA to publish details of the benchmarks that may be used in the UK on the UK Third Country Benchmarks Register. |

**2.1 You must complete and attach to your notification the Schedule of Benchmarks, specifying whether they are already used or when they are intended to be used in the UK and, where available, their ISINs. See** <https://www.fca.org.uk/publication/forms/benchmark-schedule-form-equivalence.xlsx>

Completed and attached

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| --- | --- |
| 3 | Declaration and signature |

Declaration

Knowingly or recklessly, giving the FCA information that is false or misleading in a material particular may be a criminal offence (see sections 398 and 400 of the Financial Services and Markets Act 2000). Even if you believe or know that relevant information has been provided to the FCA before (whether as part of another application/notification or otherwise) or is in the public domain, you must still disclose it clearly and fully in this form and as part of this notification. You should not assume that the FCA will itself identify such information when assessing this notification.

There will be a delay in processing this notification if information is inaccurate or incomplete. If the information is inaccurate, that may call into question whether the relevant benchmark administrator and/or benchmark meets the requirements of the UK version of Regulation (EU) No. 2016/1011 of the European Parliament and of the Council of 8 June 2016 on indices used as benchmarks in financial instruments and financial contracts or to measure the performance of investment funds and amending Directives 2008/48/EC and 2014/17/EU and Regulation (EU) No 596/2014 (which is part of UK law by virtue of the EUWA) or any related UK legislation (including but not limited to disciplinary/enforcement action thereunder). You must notify the FCA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA is reasonably likely to consider the information material).

I/We confirm that the information provided in this notification is accurate and complete to the best of my/our knowledge and that I/we have read the notes on this form. I/We will notify the FCA immediately if there is a material change to the information provided.

I/We authorise the FCA to make such enquiries and seek such further information as it thinks necessary to identify and verify information that it considers relevant to the assessment of this notification.

These checks may include credit reference checks or information about fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the benchmarks administrator/employer.

Where the signatory to this notification has provided an address, the signatory agrees that the FCA may use such address as the proper address for service as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

I/We understand that the FCA may require the relevant benchmark administrator to provide further information or documents about this notification at any time.

I/We confirm that I am/We are authorised to sign this form on behalf of the relevant benchmark administrator.

In addition to other regulatory responsibilities, benchmarks administrators and (where applicable) approved persons have a responsibility to disclose to the FCA matters of which it would reasonably expect to be notified. Failure to notify the FCA of such information may lead to the FCA taking disciplinary or other action against the administrator and/or individuals.

I am/We are aware that, while advice may be sought from a third party (eg legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the notification.

**Name of signatory**

|  |
| --- |
|  |

**Position of signatory**

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| --- |
|  |

**Signature**

|  |
| --- |
|  |

**Date (dd/mm/yyyy)**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
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