

 **ANNEX III**

**Notification form for changes to the membership of the management body**

Reference number:

Date:

**FROM:**

Name of the data reporting services provider:

Address:

Legal Entity Identifier (where applicable):

**Contact details of the designated contact person at the data reporting services provider**

Full name:

Telephone:

Email:

**TO:**

Financial Conduct Authority

Address:

**Contact details of the designated contact point at the FCA**

Address:

Telephone:

Email:

Dear [insert appropriate name]

In accordance with MAR 9.3.2R, please find attached the notification on changes to the membership of the management body.

**Person at the data reporting services provider in charge of preparing the notification:**

Full name:

Status/position:

Telephone:

E-mail:

Date:

Signed:

**Information on member(s) leaving the management body**

Member 1

Full name

Contact details (Telephone and email address)

Position

Effective date of departure from management body

Reasons for the departure from management body

Member [n]

Full name

Contact details (Telephone and email address)

Position

Effective date of departure from management body

Reasons for the departure from management body

**Information on new member(s) of the management body**

Member 1

Full name

Date and place of birth

Personal national identification number or equivalent thereof

Private address

Contact details (telephone and email address)

Position

Curriculum vitae attached to application: [ ]  Yes [ ]  No

Professional experience and other relevant experience

Educational qualification and relevant training

Criminal records attached to this application OR self-declaration of good repute and authorisation to the FCA to make enquiries into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement

Self-declaration of good repute and authorisation to the FCA to make enquiries into the matters set out in footnote 1 in relation to the member[[1]](#footnote-2)

Minimum time (approximate) that will be devoted to the performance of the person’s functions within the data reporting services provider

Declaration of any potential conflicts of interest that may exist or arise in performing the duties and how these conflicts are managed

Additional information relevant for the assessment that the member is sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties referred to in MAR 9.2B.1R.

Effective date

**Please set out that information here or provide an explanation of how it will be provided, or make reference to the relevant annexes containing the information**

Member [n]

Full name

Date and place of birth

Personal national identification number or equivalent thereof

Private address

Position

Curriculum vitae attached to application: [ ]  Yes [ ]  No

Professional experience and other relevant experience

Educational qualification and relevant training

Criminal records attached to this application OR self-declaration of good repute and authorisation to the FCA to make enquiries into whether the member has been convicted of any criminal offence in connection with the provision of financial or data services or in relation to acts of fraud or embezzlement

Self-declaration of good repute and authorisation to the FCA to make enquiries into the matters set out in footnote 1 in relation to the member

Minimum time (approximate) that will be devoted to the performance of the person’s functions within the data reporting services provider

Declaration of any potential conflicts of interest that may exist or arise in performing the duties and how these conflicts are managed

Additional information relevant for the assessment that the member is of sufficiently good repute, possesses sufficient knowledge, skills and experience and commits sufficient time to perform the duties referred to in MAR 9.2B.1R.

Effective date

**Please set out that information here or provide an explanation of how it will be provided, or make reference to the relevant annexes containing the information**

**Complete updated list of members of the management body**

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| --- | --- | --- |
| **Name** | **Position** | **Effective date** |
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1. The FCA is authorised to enquire into whether the member has been:

(i) subject to an adverse decision in any proceedings of a disciplinary nature brought by a regulatory authority or government body or is the subject of any such proceedings which are not concluded;

(ii) subject to an adverse judicial finding in civil proceedings before a court in connection with the provision of financial or data services, or for misconduct or fraud in the management of a business;

(iii) part of the management body of an undertaking which was subject to an adverse decision or penalty by a regulatory authority or whose registration or authorisation was withdrawn by a regulatory authority;

(iv) refused the right to carry on activities which require registration or authorisation by a regulatory authority;

(v) part of the management body of an undertaking which went into insolvency or liquidation while the person held such position or within a year after which the person ceased to hold such a position;

(vi) otherwise fined, suspended, disqualified or subject to any other sanction in relation to fraud, embezzlement or in connection with the provision of financial or data services, by a professional body; or

(vii) disqualified from acting as a director, disqualified from acting in any managerial capacity, dismissed from employment or other appointment in an undertaking as a consequence of misconduct or malpractice. [↑](#footnote-ref-2)