

## **Notification under Regulation 13 of The Electronic Commerce and Solvency 2 (Amendment etc.) (EU Exit) Regulations 2019**

### **EEA firms wishing to run-off UK business under Part 4 of The Electronic Commerce and Solvency 2 (Amendment etc.) (EU Exit) Regulations 2019 (the Regulations)**

**Full name of firm**

#### **Important information you should read before completing this form**

This form allows EEA ECD firms to notify us that your firm is using the ECD run-off regime to run-off its existing contracts that it entered into under the ECD exclusion in Article 72 of the Regulated Activities Order.

The ECD run-off regime is set out in Part 4 of the Regulations.

It allows firms that were previously using the exclusion above to continue to perform regulated activities which are necessary to continue to perform contracts entered into with UK customers before 11 pm on 31 December 2020.

ECD run-off acts as an exclusion from the general prohibition in section 19 of FSMA, by virtue of regulation 11 of the Regulations.

Under regulation 13 of the Regulations, ECD firms are required to notify the FCA, using this form, after entry into ECD run-off as soon as reasonably practicable, that the firm is carrying out an information society service under regulation 11 of the Regulations.

If you have questions about this form, please contact [ecommercewinddown@fca.org.uk](mailto:ecommercewinddown@fca.org.uk).

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 available on our website: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy).

### **Filling in the form**

- 1** 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 we may have to treat the notification as incomplete.
- 4** If there is not enough space on the forms you may use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.
- 5** Return the notification to us at [ecommercewinddown@fca.org.uk](mailto:ecommercewinddown@fca.org.uk)

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## 1

**Contact details for this notification**

We need this information in case we need to contact you.

**Contact for this notification****1.1 Contact details of the person notifying on behalf of the firm**

This must be someone who works for the firm, and not a professional adviser and should have the authority to deal with the FCA on behalf of the firm and will be the person we will contact in relation to any matters relevant to the firm.

Title	
First name	
Last name	
Job title	
Business address	
Country	
Phone number	
Mobile number (optional)	
Email address	

# 2

## Notification under Regulation 13

Information about the firm wishing to run-off UK business under Part 4 of The Electronic Commerce and Solvency 2 (Amendment etc.) (EU Exit) Regulations 2019

### Information about the firm

#### 2.1 Is the firm in the UK temporary permissions regime?

No

Yes ▶ Please enter the UK Firm Reference Number below

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#### 2.2 Firm details

Principal place of business address	
Country	
Phone number	
Website address	
Email address	
Trading name(s)	
National identifier/reference	
Legal Entity Identifier (LEI)	
Business Identifier Code (BIC)	

#### 2.3 Does the firm have a postal address in the UK that can be used for correspondence?

No ▶ Continue to Question 2.4

Yes ▶ Give details below

Address in UK	
Postcode	
Phone number	

## Information about the firm's national competent authority

### 2.4 National competent authority

Name	
Address	
Country	
Link to entry on NCA's Register	
Areas of competence (if more than one NCA is responsible for the firm)	

### 2.5 Additional national competent authority

Name	
Address	
Country	
Link to entry on NCA's Register	
Areas of competence (if more than one NCA is responsible for the firm)	

## About the firm's business

### 2.6 What is the firm's main area of business?

- Advisers and intermediaries
- Alternative Asset Manager
- Asset manager
- Building societies
- Contracts for Difference Providers
- Corporate Finance Firms
- Credit brokers
- Credit reference agencies, and providers of credit information services
- Credit Unions
- Crowdfunders (Investment)
- Custody Services and Administrators
- Debt advice firms
- Debt purchasers, debt collectors and debt administrators
- DRSP
- E-money Issuer
- High cost lenders
- Life insurance
- Life Third Party Administrators
- Lifetime Mortgage Providers
- Lloyd's and London Market Intermediaries (incl. Managing General Agents)
- Lloyd's Managing Agents and London Market (Re) Insurers (incl. P&I Clubs)
- Mainstream consumer credit lenders
- Mortgage Intermediaries
- Mortgage Third Party Administrators
- Motor finance providers
- Multilateral Trading Facility
- Non-Bank Lenders
- Organised Trading Facility
- Payment Services Firm/RAISP
- Peer-to-peer Lending Platforms
- Personal and Commercial Lines Insurance Intermediaries
- Personal and Commercial Lines Insurers (incl. EEA Insurers)
- Platforms
- Price Comparison Websites
- Principal Trading Firms
- Retail Bank
- Retail finance providers
- Retail Mortgage Lenders
- SIPP Operators
- Wealth Managers and Stockbrokers
- Wholesale Bank
- Wholesale Brokers

**2.7 Give details of the number of UK clients by type.**

Types of UK client	Number of UK clients
Retail/consumer	<input type="checkbox"/> 0 <input type="checkbox"/> 1-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> 201-500 <input type="checkbox"/> 501+
Professional/commercial	<input type="checkbox"/> 0 <input type="checkbox"/> 1-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> 201-500 <input type="checkbox"/> 501+
Eligible Counterparties	<input type="checkbox"/> 0 <input type="checkbox"/> 1-50 <input type="checkbox"/> 51-100 <input type="checkbox"/> 101-200 <input type="checkbox"/> 201-500 <input type="checkbox"/> 501+

# 3 Declaration

It is a serious matter to knowingly or recklessly provide the FCA with information that is false or misleading. It should not be assumed that the information is known to the FCA merely because it is in the public domain or has previously been disclosed to the FCA or another regulatory body.

For the purposes of complying with the General Data Protection Regulation and the UK's Data Protection Act 2018, the personal information in this form will be used by the FCA to discharge its statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation (including by disclosing to one another or another person) and will not be disclosed for any other purposes without the permission of the firm.

The firm confirms that the information in this form is accurate and complete to the best of its knowledge and belief. The firm will notify the FCA, as applicable, immediately if there is a change to the information provided.

The FCA may seek to verify the information given in this Form. The firm authorises the FCA to make such enquiries and seek such further information as it thinks appropriate in the course of verifying the information given in this Form.

I confirm that a permanent copy of this notification, signed by me on behalf of the Firm, will be retained for an appropriate period, for inspection at the FCA's request.

Please confirm that you have read and understood the declaration:

I confirm that the information in this Form is accurate and complete to the best of my knowledge and belief and that I have read the explanatory note relating to the Form.

## **Review and Submission**

The ability to submit this form is given to an appropriate person or persons by the firm's principal compliance officer.

Tick here to confirm that the person submitting this Form on behalf of the Firm and (if applicable) the Individual named below - have read and understood the declaration.



**Signature**

- I confirm that I have authorisation to submit this notification on behalf of the Firm
- I confirm that a permanent copy of this notification, signed by me on behalf of the Firm, will be retained for an appropriate period, for inspection at the FCA's request.

Name of person signing on behalf of the Firm	
Signature	
Date	dd/mm/yy