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**Draft Notification for conversion of registration for Trade Repositories providing services under the Securities Financing Transactions Regulations (SFTR)**

**SFTR Trade Repository form**

**Full legal entity name of firm**

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| --- |
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**Important information you should read before completing this form**

**This form is a DRAFT and is subject to change. Legislation referred to in this form may be amended before transition period completion date. References to legislation should be read as that legislation is expected to apply after the end of the transition period. For example, references to Commission Delegated Regulation 2019/359 are to that Regulation as it is anticipated it will be amended (see** [CP 19/27](https://www.fca.org.uk/publications/consultation-papers/cp19-27-quarterly-consultation-paper-no-25)**).**

You must consider the following points when completing this form:

* When answering the questions in this form please ensure you comply with Article 1(3) of [Regulation 2019/359](https://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2019.081.01.0045.01.ENG&toc=OJ:L:2019:081:TOChttps://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2019.081.01.0045.01.ENG&toc=OJ:L:2019:081:TOC) and indicate where the notifying firm considers the requirement of this Regulation does not apply.
* If providing policies and procedures please ensure you comply with Article 2 of Regulation 2019/359.

Please keep a copy of your completed forms and any supporting documents you include in your notification for future reference.

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)

**It is important that you provide 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 (section 398 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 notification, we use the following terms:

* 'you' refers to the senior company officer(s) of a UK SFTR that is registered by ESMA signing the form on behalf of the notifying firm.
* 'the notifying firm' refers to the firm notifying that it wishes to be registered as a trade repository for the purposes of The Transparency of Securities Financing Transactions and of Reuse (Amendment) (EU Exit) Regulations 2019.
* ‘we’, ‘us’, ‘our’ or ‘FCA’ refers to the Financial Conduct Authority.
* ‘SFTR’ – Regulation (EU) 2015/2365, as amended under section 8 of the European Union (Withdrawal) Act 2018, in particular by The Transparency of Securities Financing Transactions and of Reuse (Amendment) (EU Exit) Regulations 2019. This will form part of retained EU law in the UK following the end of the transition period.
* ‘Regulation 2019 2019/359)’ means Commission Delegated Regulation 2019/359, which is part of UK law by virtue of the European Union (Withdrawal) Act 2018.

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**Filling in the form**

**1** If you are using your computer to complete the notification:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* save all the parts of the pack you have completed and attach to your notification

**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 treat the notification as invalid. This will increase the time taken to assess your notification.

**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** If you are relying on other documents to answer any questions in this form, please include a link/reference to the relevant information and indicate clearly in which specific section of the documentation the answer can be found. If this is not provided we will consider your notification invalid.

**6** Email the notification consisting of:

* the Conversion of existing UK Trade Repository form
* any supporting documents to us at: [Tr-registration@fca.org.uk](mailto:Tr-registration@fca.org.uk)

**7** At the point of conversion we expect the notifying firm to be ready, willing and organised to start UK operations.

**8 Please provide the FCA with the registration information and relevant documents submitted, including supporting documentation, to ESMA for relevant EU registration. To the extent that the information and documents provided to ESMA is no longer current, please provide updated information and documents. Information already included for this form does not have to be duplicated. For any further clarity, please email us at:**

[Tr-registration@fca.org.uk](mailto:Tr-registration@fca.org.uk)

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|  |  |
| --- | --- |
| 1 | General information  Use this section to provide general information about your firm. All firms must complete this section. |

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

No

Yes ⏵ Give details below

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

**1.2 Registered office address**

|  |  |
| --- | --- |
| Registered office address |  |
|  |
|  |
| Postcode |  |

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

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

**1.3 Does the notifying firm have a website address?**

No

Yes ⏵Give address below

|  |
| --- |
|  |

**1.4 Companies House reference number**

|  |
| --- |
|  |

**1.5 You must confirm that the legal entity whose name is given on the front of this form is registered as a trade repository with ESMA under the SFTR**

Confirmed

Contact for this notification

**1.6 Details of the person we should contact about this notification.**

This must be someone who works for the notifying firm, and not a professional adviser.

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

|  |  |
| --- | --- |
| First name(s) |  |

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

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

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

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

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

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

Compliance Officer

**1.7 Contact details of the person responsible for compliance at the firm.**

This must be someone who works for the notifying firm, and not a professional adviser.

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

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

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

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

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

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

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

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

Technology systems contact

**1.8 Contact details of the person who will be responsible for ensuring that the notifying firm can provide SFTR data to the FCA**

FCA staff will contact this person directly to discuss technical requirements as the FCA determines its SFTR data solution

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

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

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

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

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

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

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

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

Owners and parent undertaking

**1.9 Please give details below of each person/entity (including companies in the same group as the firm) who directly or indirectly holds 5% or more of the notifying firm’s capital or of voting rights or whose holding could exercise a significant influence over the management of the firm.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Owner | Percentage of capital | Nature of the holding: direct or indirect | Percentage of voting rights | Business activities |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |
|  |  | Direct  Indirect |  |  |

Ownership chart

**1.10 You must attach a chart showing the ownership links between the notifying firm and where applicable its parent undertaking and ultimate parent undertaking, subsidiaries, affiliates as well as any other entities associated or connected in a network,** **including entities regulated in other jurisdictions.**

The undertakings shown in the chart shall be identified by their full name, LEI (or, if not available, another identifier required in line with the applicable national law), legal form and business address.

Attached

Senior management

**1.11 You must attach details (names and roles) of the notifying firm’s senior management at Board/Executive Committee level. This should include, if applicable, the membership of committees or other substructures set-up below Board/Executive Committee level (including those for audit and compliance). Non-executive directors must also be identified.**

Attached

Organisational chart

**1.12 You must attach an organisational chart detailing the notifying firm’s organisational structure that clearly identifies both significant roles and the member or members of the management body responsible for each significant role.**

Attached

Financial statements

**1.13 You must attach a copy of the notifying firm’s latest audited financial statements.**

Attached

Data required for calculation of FCA fees

**1.14 Fee block J – Trade Repositories**

**How much applicable turnover does the applicant firm estimate it will have for the first year of registration for the SFTR trade repository activity?**

|  |  |
| --- | --- |
| Amount | £ |
| Confirm amount in words |  |

Declaration of ongoing FCA fees liability

**1.15 You must confirm that the notifying firm understands that it is liable and remains liable to pay fees until such time as the FCA cancels its registration. This is irrespective of whether it is trading, or even if it has notified us that it intends to cease trading or submitted an application to cancel.**

Yes

Notification of ongoing civil/criminal/enforcement action

**1.16 If the notifying firm is subject to any ongoing civil action, criminal investigations, or enforcement action by any regulatory body, you must attach details to this notification.**

Attached

N/A

**1.17 You must provide information on the types of securities financing transactions, as defined in Article 3 (11) of SFTR, for which the notifying firm is currently registered by ESMA.**

Securities or commodities lending or securities or commodities borrowing

Buy-sell back transaction or sell-buy back transaction

Repurchase transaction

Margin lending transaction

All

|  |  |
| --- | --- |
| 2 | Supporting documents |

Please provide details of the supporting documentation attached to this notification in the table below.

If any of the supporting documents requested in this form do not apply to your notification you must give details in this table and provide an explanation.

If you need more space please copy this page and attach it to your notification

Please confirm supporting documents for your SFTR ESMA application are provided

Attached

Please list the documents relating to your SFTR ESMA application

Attached

|  |  |  |  |
| --- | --- | --- | --- |
| **Question number** | **Reference number of the document** | **Title of the document** | **Chapter or section or page of the document where the information is provided or reason why the information is not provided.** |
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| 3 | Declaration and signatures |

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 of the Financial Services and Markets Act 2000). Even if you believe or know that information has been provided to the FCA before (whether as part of another notification or application, or otherwise) or is in the public domain, you must nonetheless 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 during the assessment of this notification. I/we confirm it is the firm’s intention to comply with Title III of SFTR (Registration and Supervision of a Trade Repository).

There will be a delay in processing the notification if information is inaccurate or incomplete, and if the information is inaccurate, that may call into question whether the notifying firm meets the requirements of The Transparency of Securities Financing Transactions and Reuse (Amendment) (EU Exit) Regulations 2019. 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 to 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 pertaining to fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the notifying firm/employer.

I/We understand that the FCA may require the notifying firm to provide further information or documents at any time.

I/We confirm that I am/We are authorised to sign this form on behalf of the notifying firm.

I am/We are aware that, while advice may be sought from a third party (e.g. 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**

|  |
| --- |
|  |

**Signature**

|  |
| --- |
|  |

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

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  |  | / |  |  | / |  |  |  |  |