



Electronic Submission System User Guide

V4.0 January 2026

What's new?

Version 4.0 – Changes have been made to screenshots following the implementation of the new Public Offers and Admissions to Trading Regulations (POATRs) regime on 19 January 2026

Version 3.0 – Changes have been made to screenshots showing the new Listing Categories following the implementation of the Listing Rule Reform on 29 July 2024.

Version 2.0 - The user guide was updated in March 2023 to include recent changes to the Electronic Submission System. These changes relate to the introduction of Multi-Factor Authentication, which is being introduced to all authenticated external user FCA systems. We are launching this to strengthen how you log in to ESS and to further protect and control access to our data.

From the evening of 2nd March 2023 you will need to enter a one-time passcode each time you log in. See our resources page for more information and to prepare for the changes. <https://www.fca.org.uk/firms/multi-factor-authentication-fca-systems>

NSM - Please note for step by step instructions for uploading information to the NSM, please refer to the NSMSupplierUserGuide.

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1. Accessing the system

Registering for system access

Your registration is subject to approval. You can send documents to us via this system only once you have been accepted as an approved user of the system.



All individuals from your organisation who need to use the system must register individually for access. **Sharing your username and password with other users is strictly prohibited.**

To registration for system access, follow these three steps.

Step 1: Go to the [ESS login page](#) and click on **Register for System Access**

FCA FINANCIAL CONDUCT AUTHORITY **Electronic Submission System**

Electronic Submission System Login

Important Notices
Any important notices will be displayed here.

Short Selling Regime
If you are already a user of the Short Selling Regime and you have been submitting notifications by emailing the FCA, then you will have to register to use the Electronic Submission System (ESS) by clicking on this [link](#).
If you are an existing ESS user or if you have already completed registration, please login to ESS by providing your credentials below.
For issues relating to registering for an ESS user account please contact our general administrative line on 020 7066 8348 or email itaadmin@fca.org.uk
For issues relating to SSR submissions please email the Position Monitoring Unit pmu@fca.org.uk.

Login
Login to Electronic Submission System. [Need help?](#)

Username 
Password 

[Forgot Your Password?](#) [Register for System Access](#) [Login](#)

Data Protection:
When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

EU Withdrawal
"The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and the EU. The FCA's Interpretative Guide to completing our forms after the UK's withdrawal from the EU Interpretative Guide on completing our forms after the UK's withdrawal from the EU does not apply during the implementation period and we have not amended our forms. Please complete forms as previously until further notice."

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Step 2: Enter your registration details, then **Submit**

Electronic Submission System - User Registration Request

(i) Please supply your Personal and Company Information *Mandatory fields are denoted by an **

My Personal Information

Title *

First Name *

Last Name *

Email Address *
Your email address will be your username. Please enter an individual work email address and not a group or consolidated email address.

Confirm Email Address *

Company Information

Company Name *

Mailing Street *

Mailing City *

Mailing State/Province

Mailing Zip/Postal Code *

Mailing Country *

Contact Number *
This must be your direct line telephone number, not a switchboard number

Fax Number

Submit **Cancel**

When providing your registration details, please note:

- Your email address must be your **work email address**. We do not accept registrations from public domains such as Gmail or Yahoo.
- Your email address will be used as your ESS username. Once submitted, your email address cannot be changed.
- Your contact telephone number must be your direct line, not a switchboard number.
- Your company information (company address and contact number) will be used on all cases where you are the named as the Primary Contact.

Step 3: Click on **I Accept** to accept the terms and conditions



Electronic Submission System - User Registration Request

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited. Please refer to the FCA Privacy Statement [here](#).

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When you click **I Accept**, you will see the **Registration confirmation** message and an email will be sent to your registered email address. At this point, your request is now with us for approval. Click on **OK** to complete the registration process.



Registration Confirmation

Thank you for registering for access to our Electronic Submission System. Your registration request has been submitted successfully. An email confirming your registration request has been sent out to your registered email address. If you have not received an email within 24 hours, please contact the UKLA Operational Support team on 02070668348.

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You will be sent an email once the decision is taken.

If you choose **Cancel** in Step 3, the registration request you have created will be void and no further action will be taken.

Activating your registration

Once we have approved your registration, an email will be sent to your registered email address. This email will confirm your username and provide a link to activate your account.

Click on the link in the email and you will be prompted to set a password when you first log in.

Change Your Password

Enter a new password for
david@bigcompanyplc.com. Your password must
have at least:

- 8 characters
- 1 uppercase letter
- 1 lowercase letter
- 1 number
- 1 special character i

* New Password

* Confirm New Password

Change Password

Password was last changed on 18.04.2018 16:37.

Your password must be at least 8 characters long, with a mix of uppercase, lowercase and at least one special character: !#\$%=_+=<>

If your registration request is rejected

If your registration has been rejected, an email will be sent to your registered email address. If you have any queries you can call our **General administrative help desk** on the number provided in the email.

Logging in

Enter the username in lowercase.

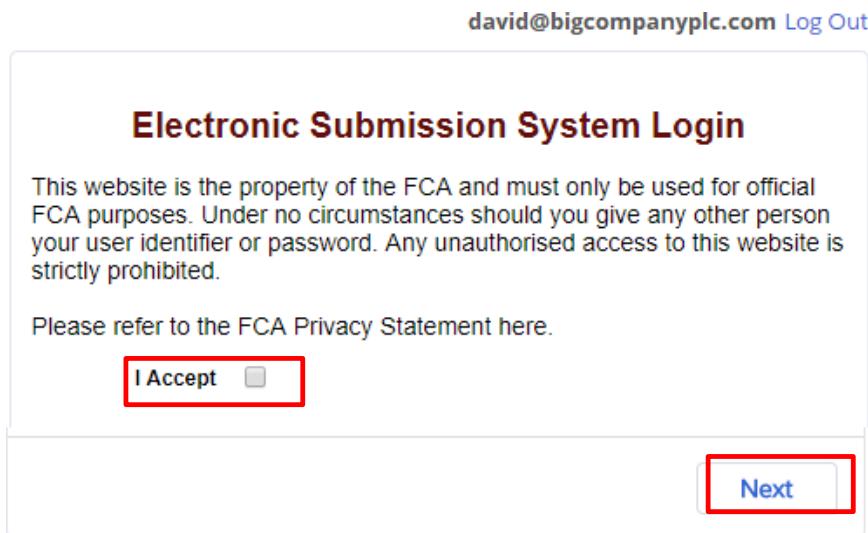
To log into Electronic Submissions, you will need to enter your username, password, and 6-digit one time passcode from either your authenticator app, SMS text or voice call to authenticate. Note: enter the username in lowercase



The image shows the FCA Electronic Submission System (ESS) login page. At the top left is the FCA logo with the text 'FINANCIAL CONDUCT AUTHORITY'. To the right of the logo is the text 'Electronic Submission System'. Below this is a header 'Electronic Submission System Login'. A 'Important Notices' section is present. The main login area contains fields for 'Username' and 'Password', with 'Forgot Your Password?' and 'Register for System Access' links below them. To the right of the login form is a 'Data Protection' section with a detailed text about personal information collection and a link to the 'privacy notice'. At the bottom of the page is a footer with the text 'david@bigcompanyplc.com Log Out'.

After 3 unsuccessful login attempts, your account will be locked for 20 minutes. If a further unsuccessful login attempt is made, your account will be locked, and you will need to contact the support team to unlock your account.

Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.

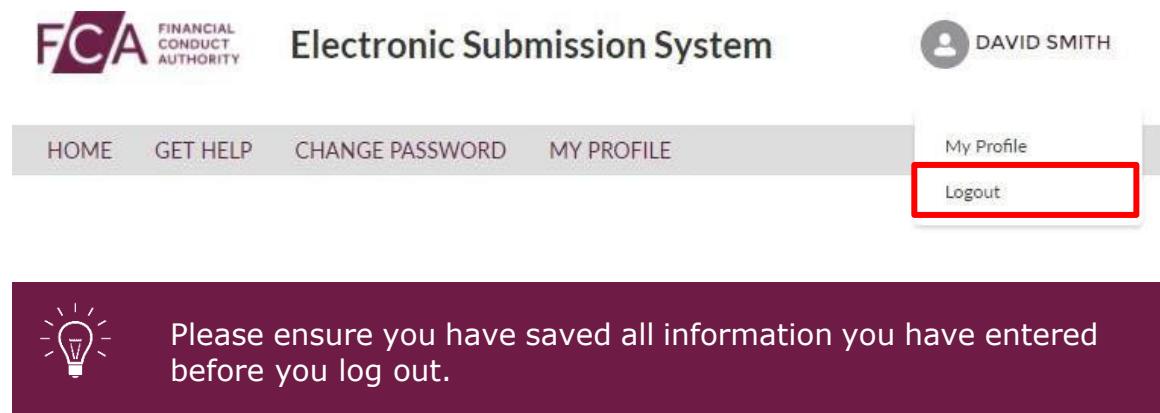


This image shows a modal dialog box titled 'Electronic Submission System Login'. It contains a statement about the website being the property of the FCA and must only be used for official FCA purposes. It also links to the FCA Privacy Statement. Below the statement is a 'I Accept' checkbox. At the bottom right of the dialog is a 'Next' button, which is highlighted with a red box.

You can view the FCA Privacy Statement using the on-screen link, or at <https://www.fca.org.uk/privacy>

Logging out

You can log out of the system at any time by clicking on your user name in the top right corner of the page and selecting **Logout** from the dropdown.



The screenshot shows the FCA Electronic Submission System interface. At the top, the FCA logo is on the left, followed by the text 'Electronic Submission System'. On the right, there is a user profile icon with the name 'DAVID SMITH'. Below this is a navigation bar with links: 'HOME', 'GET HELP', 'CHANGE PASSWORD', 'MY PROFILE', 'My Profile' (which is underlined), and 'Logout'. The 'Logout' button is highlighted with a red box. Below the navigation bar, there is a dark blue box containing a lightbulb icon and the text: 'Please ensure you have saved all information you have entered before you log out.'

2. Managing your profile and password

If you forget your password

If you forget your password, click on the **Forgot Your Password?** link on the login page.



The image shows the FCA Electronic Submission System (ESS) login page. At the top, the FCA logo is displayed with the text 'FINANCIAL CONDUCT AUTHORITY' and 'Electronic Submission System'. Below the logo, the page title 'Electronic Submission System Login' is shown. A red box highlights the 'Forgot Your Password?' link in the 'Login' section. The 'Login' section also includes fields for 'Username' and 'Password', and links for 'Register for System Access' and 'Login'. To the right, a 'Data Protection:' section contains a detailed text about data collection and privacy, with a red box highlighting the 'privacy notice' link. At the bottom of the page, a copyright notice reads 'Copyright © 2018 Financial Conduct Authority (FCA). All rights reserved.'

You'll be asked to provide your email address. This is your registered email address which is also your ESS username.

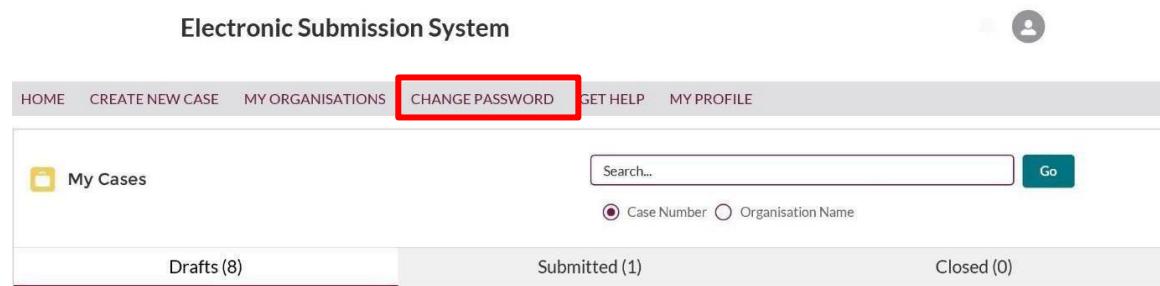
An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#\$%=_+=<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

Changing your password

Once you have registered and successfully logged in, you can change your password anytime by choosing **Change Password** on the home page.

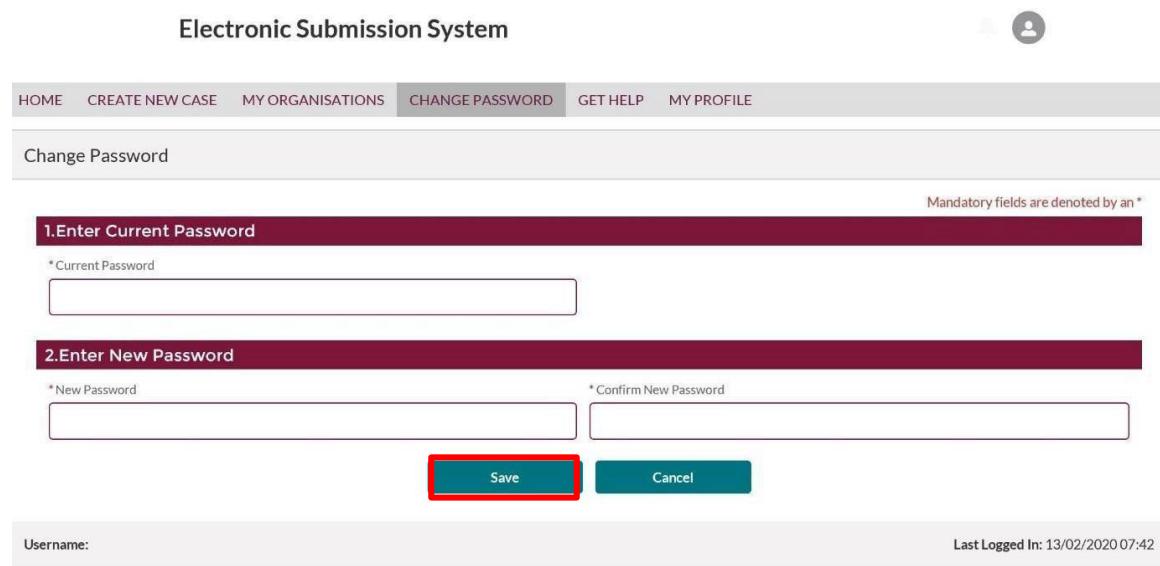


The screenshot shows the 'Electronic Submission System' home page. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD (which is highlighted with a red box), GET HELP, and MY PROFILE. Below the navigation bar is a search bar with the placeholder 'Search...' and a 'Go' button. Under the search bar, there are two radio buttons: 'Case Number' (selected) and 'Organisation Name'. Below the search area, there are three tabs: 'Drafts (8)' (which is underlined in red), 'Submitted (1)', and 'Closed (0)'. On the far right of the page, there is a user profile icon.

You'll then be asked to enter your current password and your new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#\$%-_=_<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

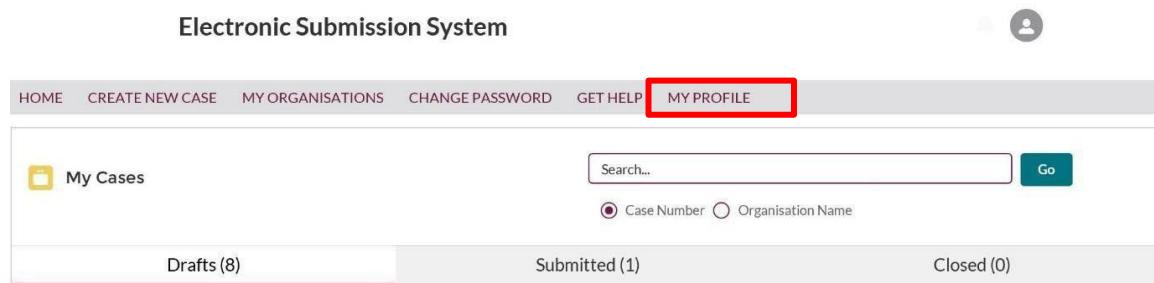
When done, click on the **Save** button.



The screenshot shows the 'Change Password' page. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD (selected), GET HELP, and MY PROFILE. Below the navigation bar, the page title is 'Change Password'. A note at the top right states 'Mandatory fields are denoted by an *'. The page is divided into two main sections: '1.Enter Current Password' and '2.Enter New Password'. The '1.Enter Current Password' section contains a label 'Current Password' and a text input field. The '2.Enter New Password' section contains two text input fields: 'New Password' and 'Confirm New Password'. At the bottom of the page are two buttons: 'Save' (highlighted with a red box) and 'Cancel'. At the very bottom, there is a footer with the text 'Username:' on the left and 'Last Logged In: 13/02/2020 07:42' on the right, along with a copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved.'

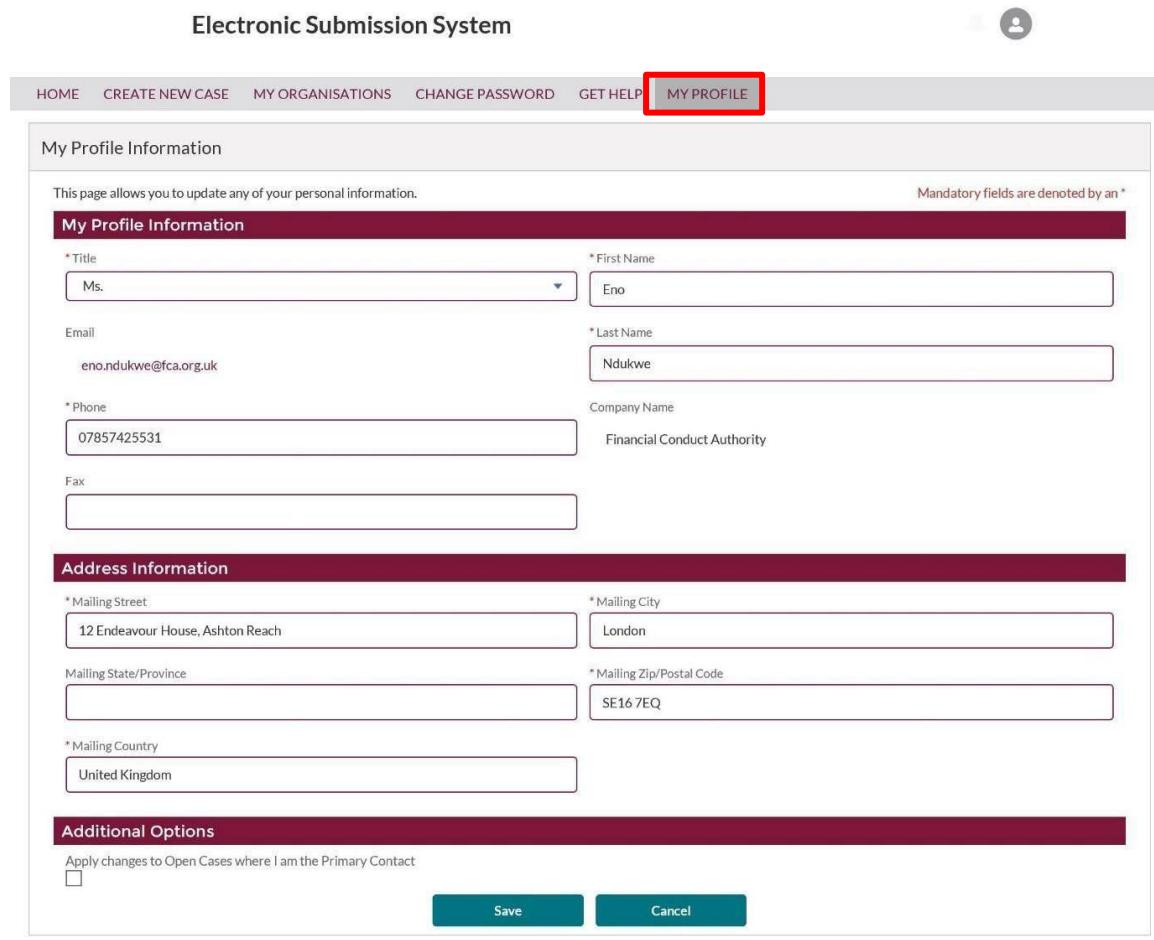
Updating your profile

Once your registration is approved and you have logged in, you can view and update your profile details at any time by clicking on the **My Profile** link on the home page.



The screenshot shows the homepage of the Electronic Submission System. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. The MY PROFILE link is highlighted with a red box. Below the navigation bar, there is a search bar with a placeholder 'Search...' and a 'Go' button. Underneath the search bar, there are two radio buttons: 'Case Number' and 'Organisation Name'. Below these buttons, there are three tabs: 'Drafts (8)', 'Submitted (1)', and 'Closed (0)'. The 'Drafts (8)' tab is underlined, indicating it is the active tab.

You'll now be able to view and update your profile details.



The screenshot shows the 'My Profile Information' page. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. The MY PROFILE link is highlighted with a red box. Below the navigation bar, there is a section titled 'My Profile Information' with a sub-section 'Address Information'. The 'Address Information' section contains fields for Mailing Street, Mailing City, Mailing State/Province, Mailing Zip/Postal Code, and Mailing Country. There is also an 'Additional Options' section with a checkbox for 'Apply changes to Open Cases where I am the Primary Contact'. At the bottom of the page, there are 'Save' and 'Cancel' buttons.

For security reasons, you cannot change your email address and company name. These fields are displayed but cannot be edited.

Should your email address change while you are working with the same organisation, you must contact our general administrative help desk who will update your profile with your new email address.



Please keep your contact details up to date at all times. These details will be used in our correspondence for all cases where you have been indicated as the Primary Contact.

Once you made all the changes required, you can choose to update the contact details on all the cases where you are the named Primary Contact. This can be done by selecting the option to **Apply changes to Open Cases where I am the Primary Contact** in the **Additional Options** section.

Your address on closed (Approved, Withdrawn or Lapsed) cases will not be updated.

3. Understanding the user interface

Important notices

On the login page, you will see a section for **Important Notices**. We update this section regularly to keep you informed about news such as system unavailability or recent changes.



Important Notices

18-20 MAY - PLANNED SYSTEM OUTAGE: From 20:00 hrs on 18 May until 18:00 20 May ESS will be unavailable to all users due to essential upgrade work which will deliver enhancements to the look and feel of the ESS portal.

March 2018 - BROWSERS: to access the Electronic Submission System from 10 March 2018 you will need a current or recent version of web browsers such as Internet Explorer 11.

Further information will shortly be available at <https://www.fca.org.uk/markets/ukla/contact/submit-documents-electronically>
We apologise for any inconvenience caused.

Login

Login to Electronic Submission System. [Need help?](#)

Username 

Password 

[Forgot Your Password?](#) | [Register for System Access](#)

Data Protection:

When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

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My Cases page

On successful login, you will be directed to the My Cases home page.

This page displays a list of all cases you have created or where you are a member of the case team. You will see all **Draft** cases by default, however if you want to see a list of all **Submitted** or **Closed** cases, click on the **Submitted** or **Closed** tab respectively.

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00221077	NSM	NSM Authorisation		13/02/2020 08:05
00220957	NSM	NSM Authorisation		10/02/2020 14:37
00220956	NSM	NSM Authorisation		10/02/2020 14:36
00220774	NSM	NSM Authorisation		06/02/2020 14:19
00220662	NSM	NSM Authorisation		04/02/2020 13:09
00220660	NSM	NSM File Upload		04/02/2020 13:07
00220581	NSM	NSM Authorisation		03/02/2020 16:25
00219942	PMU	Registration for Existing Position Holder		20/01/2020 10:57
00219125	PMU	Registration for Existing Position Holder		17/12/2019 15:13

The **Get Help** option in the top navigation bar takes you to the relevant FCA website where you will find more help on information on documents you need to submit and how to use the system.

The **Home** option will return you to the **My Cases** home page.

Mandatory fields

Mandatory fields are marked with a red asterisk (*). You must enter a value in these fields before you proceed to Save or Submit.

My Profile Information

This page allows you to update any of your personal information.

Mandatory fields are denoted by an *

My Profile Information

* Title

Mr.

* First Name

David

Email

david@bigcompanyplc.com

* Last Name

Smith

Error messages

When you click Save or Submit, an error message will be displayed if you have not entered mandatory values or if the data you have entered is invalid.

Error messages are displayed at the top of the screen. They will disappear automatically after a few seconds, or you can close them manually by clicking on the cross.

My Profile Information

 Please enter phone number 

This page allows you to update any of your personal information.

Mandatory fields are denoted by an *

My Profile Information

* Title

Mr.

* First Name

David

Email

david@bigcompanyplc.com

* Last Name

Smith

* Phone

Company Name

Big Issuer PLC

Help text

Help text is provided for all important fields on all pages. Help text may be displayed on the screen:

NSM Email Address

Please provide the email address of the contact uploading the approved document(s) onto the National Storage Mechanism. This email address is required for approval and needs to be reconfirmed upon final submission of document(s).

Help text can also be viewed by clicking on the  icon next to a field.

Requested  Please include the document titles as they appear on the Main Documents (excluding Issuer Name as this is captured in the next section). Transaction titles can be updated at any time prior to approval. Please separate multiple titles with commas.

Case Information  Transaction Title(s)

Case pagination

By default, the system will display 10 cases at a time, but you can increase the number of cases shown on each page to 25, 50 or 100 using the dropdown list next to the **Show** button.

To see more cases, use the **Next** or **Previous** buttons – these will only become active when there are more cases than will fit on one page.

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

 My Cases Case Number Organisation Name

Drafts (9) Submitted (1) Closed (1)

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00221077	NSM	NSM Authorisation		13/02/2020 08:05
00219125	PMU	Registration for Existing Position Holder		17/12/2019 15:13

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Search

You can search for cases by entering a case number or issuer name in the search box and clicking **Go**.



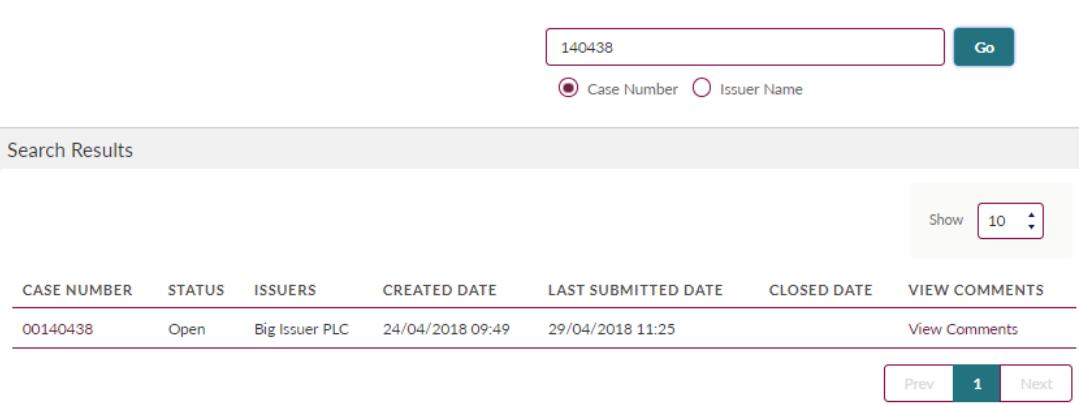
HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search...

Case Number Organisation Name

You can enter a part of the Issuer Name or the Case Number. The search results will only list relevant cases you have access to.



140438

Case Number Issuer Name

Search Results

Show 10

CASE NUMBER	STATUS	ISSUERS	CREATED DATE	LAST SUBMITTED DATE	CLOSED DATE	VIEW COMMENTS
00140438	Open	Big Issuer PLC	24/04/2018 09:49	29/04/2018 11:25		View Comments

Prev **1** Next

4. Transactional Review cases

You can submit the following types of Transactional Review case through the Electronic Submission System:

- Approval of an exemption document under PRM 1.4.9R
- Approval of a summary and securities note under PRM 9
- Approval of a securities note under PRM 9
- Approval of a supplementary prospectus under PRM 9
- Approval of a base prospectus under PRM 9
- Approval of a registration document under PRM 9
- Approval of a supplementary registration document under PRM 9
- Approval of Universal Registration Document (URD)
- Filing of Universal Registration Document (no approval required)
- Approval of a voluntary prospectus under PRM 9 and permitted under PRM 1.4.15R
- Approval of supplementary prospectus under PR 3.1.7
- Approval of a circular under UKLR 10.2.1
- Approval of a circular under UKLR 11.6.3
- Approval of a circular required by UKLR 21.2.9R(1)
- Approval of a circular under UKLR 21.5.8R(2)
- Approval of a circular under UKLR 21.5.11R
- Approval of an announcement required by UKLR 21.5.11R
- Review of eligibility for listing
- Individual guidance from the FCA on PRM, UKLR or DTR
- Approval of an investment policy
- Notification only - no decision requested
- Approval of amendment
- Filing of amendment (no approval required)

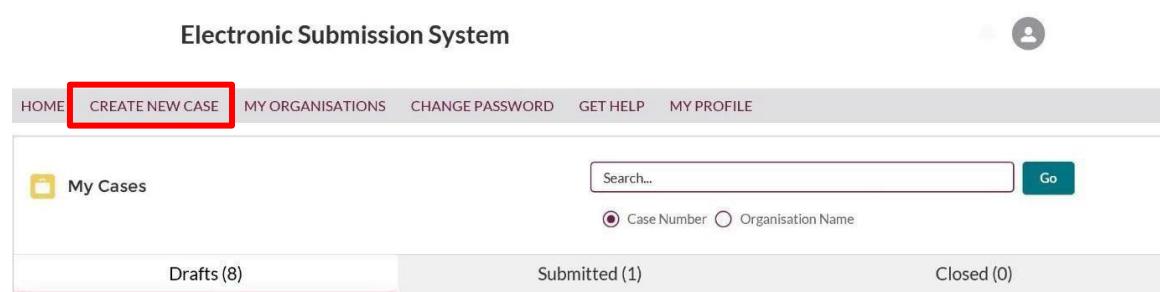
Creating a new Transactional Review case

If you wish to submit documents to us for review, you can do so by creating a new case on the Electronic Submission System.

Let's work through the process for creating a new case and submitting documents.

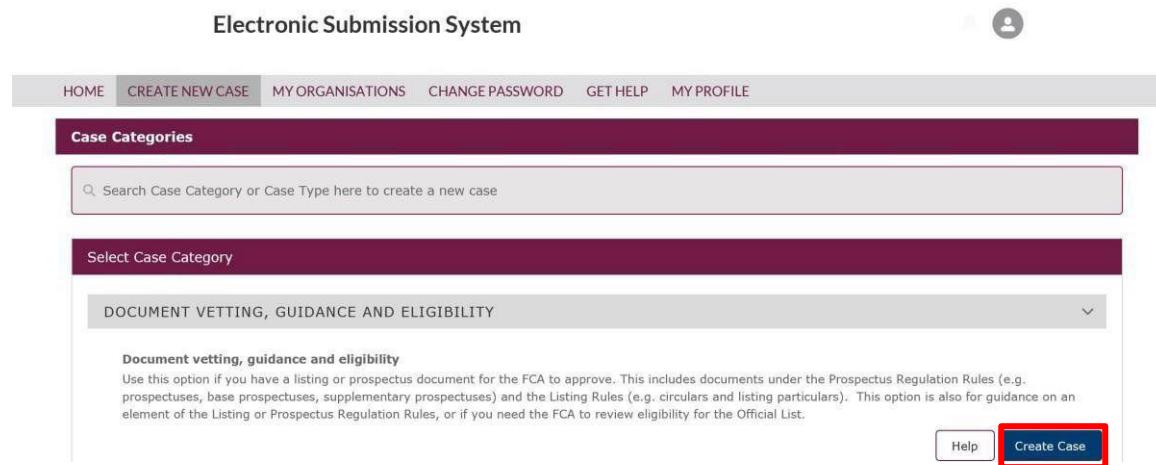
Step 1: Creating a new case

Click on **Create New Case** on the My Cases home page.



The screenshot shows the 'My Cases' home page of the Electronic Submission System. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE (which is highlighted with a red box), MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below the navigation bar is a search bar with the placeholder 'Search...' and a 'Go' button. There are also radio buttons for 'Case Number' and 'Organisation Name'. At the bottom of the page, there are three tabs: 'Drafts (8)', 'Submitted (1)', and 'Closed (0)'. The 'Drafts' tab is currently selected.

Step 2: Select Document, Vetting, Guidance and Eligibility tab and then 'Create case'



The screenshot shows the 'Case Categories' section of the FCA's Electronic Submission System. At the top, there is a navigation bar with links for 'HOME', 'CREATE NEW CASE' (which is highlighted in grey), 'MY ORGANISATIONS', 'CHANGE PASSWORD', 'GET HELP', and 'MY PROFILE'. Below the navigation bar is a search bar with the placeholder text 'Search Case Category or Case Type here to create a new case'. The main content area is titled 'Select Case Category' and contains a dropdown menu with the option 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY' selected. Under this option, there is a sub-section titled 'Document vetting, guidance and eligibility' with a description of its purpose. At the bottom right of the page, there are two buttons: 'Help' and 'Create Case', with 'Create Case' being the one highlighted with a red box.

Step 3: Choosing decisions

You will be asked to select the decision(s) you want to request from us. You can select more than one decision at a time.

Depending on the decisions you choose, you may have to confirm if the case is a Same Day Supplement (SDS). More information on the Same Day Supplement service is available here:

<https://www.fca.org.uk/markets/ukla/submit-draft-document/same-day-service>

Once you click on **Save and Continue**, a new case will be created. You will need to enter more details and upload documents before you submit the case to us for review.

Create New Case - Decision Required

Please select decision(s) that you are seeking from the FCA below. At least one decision must be selected.

Please be aware, you will not be able to change the decision(s) sought once you have clicked on Save & Continue. If you need to change the decision(s) sought, please contact the UKLA helpdesk on 02070668348.

SELECT	DECISION REQUESTED
<input type="checkbox"/>	Approval of a voluntary prospectus under PRM 9 and permitted under PRM 14.15R
<input type="checkbox"/>	Approval of a circular required by UKLR 21.2.8(1)
<input type="checkbox"/>	Approval of a supplementary prospectus under PRM 9
<input type="checkbox"/>	Approval of a circular under UKLR 11.6.3
<input type="checkbox"/>	Approval of an announcement required by UKLR 21.5.11R
<input type="checkbox"/>	Approval of a prospectus under PRM 9
<input type="checkbox"/>	Approval of a circular required by UKLR 21.5.8 R(2)
<input type="checkbox"/>	Approval of a supplementary prospectus under PRR 3.1
<input type="checkbox"/>	Approval of a supplementary registration document under PRM 9
<input type="checkbox"/>	Approval of a base prospectus under PRM 9
<input checked="" type="checkbox"/>	Approval of a registration document under PRM 9
<input type="checkbox"/>	Approval of a summary and securities note under PRM 9
<input checked="" type="checkbox"/>	Approval of a circular under UKLR 10.2.1
<input type="checkbox"/>	Review of eligibility for listing
<input type="checkbox"/>	Approval of a securities note under PRM 9
<input type="checkbox"/>	Individual guidance from the PCA on PRM, UKLR or DTR
<input type="checkbox"/>	Approval of an investment policy
<input type="checkbox"/>	Approval of an exemption document under PRM 14.9R
<input type="checkbox"/>	Notification only - no decision requested
<input type="checkbox"/>	Approval of Universal Registration Document (URD)
<input type="checkbox"/>	Filing of Universal Registration Document (no approval required)
<input type="checkbox"/>	Approval of Amendment
<input type="checkbox"/>	Filing of Amendment (no approval required)

[Save and Continue](#)

[Cancel](#)

Step 4: Entering case details

After completing Step 3, a new case will be created. This will have a unique case number (shown top-left) and a **Draft** case status.

The screenshot shows a web-based application for creating a new case. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below the navigation bar, a yellow banner displays a warning: **⚠ Document(s) must be attached before you submit**. Underneath the banner are three buttons: Save, Submit, and Cancel. The main form area has three tabs: Case Information, Case Documents, and Response Information. The Case Information tab is active and contains the following fields: Case: 00673124 (highlighted with a red box), Requested Decision(s) (highlighted with a red box), Transaction Title(s) (with a help icon), Related Case Number(s) (with a help icon), Code Name (with a help icon), and NSM Email Address. The Case Documents tab and Response Information tab are also visible. A note at the bottom of the Case Information tab states: *If your submission contains Inside Information as defined by Article 7 of the Market Abuse Regulation, please indicate this in the "Transaction Title" field (as well as adding the Transaction Title).* A note at the top right of the form area states: *Fields required for case submission are denoted by an **. A note at the bottom of the page says: *Please input all the relevant case information here before uploading documents under the Case Documents tab.*

You must fill in all case information and upload documents before you submit the case to us.

For information on case fields, click on the help icon  next to the field.

If you do not have all the information required for us to review your case, you can click on **Save** to save the case as Draft.

We do not progress a case unless the case is submitted. Please ensure that you click on **Submit** (step 9) once you have filled in all required information and uploaded all documents you want us to review.

In **Submitter Role**, choose the primary role of your organisation on the case.

Submitter Information

Submitter Organisation	* Submitter Role 
Big Issuer PLC	-- None --
Case Creator:	-- None --
David Smith	Accounting Firm Advisor Broker Competent Authority Depository Guarantor Issuer Law Firm Market Maker Multinational Trading Facility Paying Agent Position Holder Primary Information Provider RIE RIS SI Sponsor Sponsor Agent -- None --

Step 5: Adding issuers

You can add multiple issuers on a case by choosing **Add Issuers** on the case view.

Issuer(s) 

ISSUER NAME
Add Issuers

When the **Add New Issuer** box appears, complete the **Issuer Name** field and click **Add**.

Issuer(s) 

ISSUER NAME		
Add New Issuer		
* Issuer Name		
Big Company Plc	Add	Cancel

The issuer will be added to the list:

Issuer(s)

ISSUER NAME

Big Company Plc

Add Issuers

You can add multiple issuers to a case. If you want to add new issuer details, this can be done at any point in the case lifecycle until the case is closed.

If your organisation is the case issuer, and have set the **Submitter Role** as Issuer, your organisation will be added to this list by default. You do not need to add it again.

Step 6: Adding other parties

If you have other Sponsors, Advisors or Guarantors working on a case, you can add them to the case by choosing **Add Party** in the **Other Parties** section.

Other Parties ?	
ORGANISATION NAME	ROLE
<input type="button" value="Add Party"/>	

When the **Add New Party** box appears, complete the **Organisation Name** field, choose the **Role** from the dropdown list and click **Add**.

Other Parties ?	
ORGANISATION NAME	ROLE
Add New Party	
* Organisation Name	* Role
<input type="text"/>	<input type="button" value="-- None --"/>
	<input type="button" value="Add"/> <input type="button" value="Cancel"/>

The organisation will be added to the list:

Other Parties ?	
ORGANISATION NAME	ROLE
The Other Company Plc	Advisor
<input type="button" value="Remove"/>	
<input type="button" value="Add Party"/>	

To remove an organisation from the case, click on **Remove**.

You can add multiple Sponsors, Advisors or Guarantors to the case.

If you want to add new or modify details of Organisation, it can be done at any point in the case lifecycle until the case is closed.

Step 7: Inviting other users

By default, the system gives the case creator access to all cases he/she has created. However, if you need to share case information with other people in your company, you can do so by inviting new users to the case.

Note: You can only invite people with same email domain as you.



Please note that sharing usernames and passwords is against the FCA terms and conditions for system usage. Any user wanting access to the information on the system must be invited to the case using this option.

To add a new user, select **Add Case User** in the **Case Users** section.

Case Users ?						
Please ensure your reader has been notified prior to a change of Primary Contact.						
Title	First Name	Last Name	Email	Primary Contact	Submitter	Status
Mr.	David	Smith	david@bigcompanyplc.com	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Active

[Add Case User](#)

When the **Add New Case User** box appears, complete the details (Title, First Name, Last name and Email) and select **Add**.

Case Users ?						
Please ensure your reader has been notified prior to a change of Primary Contact.						
Title	First Name	Last Name	Email	Primary Contact	Submitter	Status
Mr.	David	Smith	david@bigcompanyplc.com	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Active

Add New Case User

*Title

*First Name

*Last Name

*Email

[Add](#) [Cancel](#)

You will then see this warning message. Please read this carefully.

Please be aware that when you add a user on a case, you are granting that user access to edit information and upload documents on that case. Users are only permitted to add other users that work for the same company, and share the same email domain within their email address. By adding a user to this case, you acknowledge that they have permission to have full access to all of the information held on this case.

[Ok](#)

[Cancel](#)

Select **OK** to agree to the terms and conditions in this message.

The case user you have added will receive an invite on the email address entered by you. This invite will contain a link to access the case.

If the user is not a registered user of Electronic Submission System, a registration invitation will be sent to the user's email address you have provided. The user will only be able to access the case once their registration is approved.

If you choose **Cancel**, the process will be terminated and no invitation email will be sent to the user.

The new user will now be displayed in the **Case User** list.

Case Users ?							
<i>Please ensure your reader has been notified prior to a change of Primary Contact.</i>							
TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS	
Mr.	David	Smith	david@bigcompanyplc.com	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Active	Remove
Mr.	Sam	Hill	sam.hill@bigcompanyplc.com	<input type="checkbox"/>	<input type="checkbox"/>	Invited	Remove

The case creator is automatically added to the Case users list and is marked as the 'Submitter' of the case.

If you want to add or remove case users, you can do so anytime until the case is closed.

To prevent unauthorised access of the system, for all open cases we recommend you remove users who have left your organisation or no longer need access to an open case by using the **Remove** option.

You cannot remove the Primary contact from the case unless you first mark some other user as the Primary Contact (see Step 7).

Step 8: Choosing a Primary Contact

Each case must have a **Primary contact** – this is the individual with which we will liaise for correspondence related to the case. You can choose one of the **case users** as Primary contact.

By default, the case creator is marked as the primary contact on the case. You can change the primary contact at any point in the case lifecycle by using the tick box option in the **Case Users** list.

Case Users ?						
Please ensure your reader has been notified prior to a change of Primary Contact.						
Title	First Name	Last Name	Email	Primary Contact	Submitter	Status
Mr.	David	Smith	david@bigcompanyplc.com	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	Active Remove
Mr.	Sam	Hill	sam.hill@bigcompanyplc.com	<input type="checkbox"/>	<input type="checkbox"/>	Active Remove

Only approved users (i.e. those with an **Active** status) can be marked as the primary contact.

You can update the contact details of the primary contact for the case at any time until the case is closed by editing the **Primary Contact Information**.

Primary Contact

This user will be the main contact for all correspondence. This information can be updated at any time up until case approval.

First Name	Email
David	david@bigcompanyplc.com
Last Name	* Phone
Smith	01234567890
Organisation	Contact Mobile
Big Issuer PLC	
	* Fax
	01234987654

Address

* Street	* City
362 Lee High Road	London
State/Province	* Zip/Postal Code
	SE12 8RS
* Country	
United Kingdom	

Any address changes made here will apply only to this case and will not be applied to be updated back on the user's profile.

We recommend you keep the contact details up to date at all times.

Step 9: Uploading documents



You should submit your case for review only once you have added all the relevant information and attached all documents needed for an initial submission.

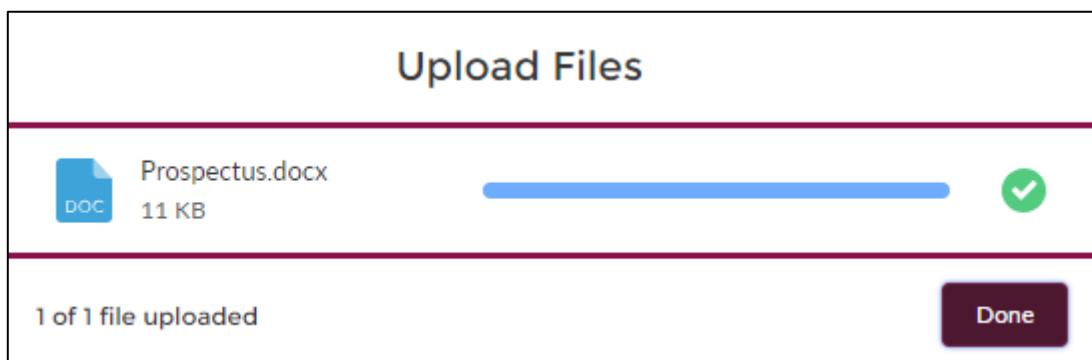
To upload documents select the **Case Documents** tab on the case.

Case: 00140438	Case Status: Open View Comments	
Case Information	Case Documents	Response Information
<p>Fields required for document submission are denoted by an *</p> <p><i>Please upload all relevant case documents here to support the information provided within the Case Information tab.</i></p> <p>Attach Document(s) to Case 00140438</p> <p><i>This section allows you to submit multiple documents in one batch. Repeat steps 1 to 4 to attach multiple files.</i></p> <p>Please press the "Submit" button once you have finished attaching all of the documents that you wish to submit for this case.</p> <p>* 1. Select File Category <input type="button" value="Main Document"/></p> <p>* 2. Select Document Type <input type="button" value="Base prospectus (debt)"/></p> <p>* 3. Blackline Version </p> <p>No</p> <p>4. Select the file Click the button below to find the file. (Valid file types are: ".msg;*.doc;*.docx;*.xls;*.xlsx;*.odt;*.pdf;) A file name cannot contain any of the following characters < > : " \ ? *</p> <p><input type="button" value="Upload Files"/> Or drop files</p> <p>When the upload is complete the file information will appear below.</p>		

The top section of this page explains the four steps to upload a document:

1. **Select File Category:** Choose the Document Category you are attaching (Main Document, Supplementary Document or Checklist).
2. **Select Document Type:** Depending on the Category you have chosen, you will see a list of document types under that category. Select the appropriate document type.
3. **Blackline Version:** If the document you are attaching is a backline version of the document, choose **Yes** otherwise choose **No**.
4. **Select the file:** You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

The system displays the following progress message and confirms when the file has been uploaded.



You can attach more than one document to a case. To attach additional documents, repeat Steps 1-4.

All the documents you have attached will be displayed in the **Document(s) ready for submission** section of the page.

Document(s) ready for submission					
Type	File Name	Version	Blackline	Remove from Submission	Download
Base prospectus (debt)	Prospectus.docx	1	No	Remove	Download

You can **Remove** or **Download** any of the documents uploaded to the system.

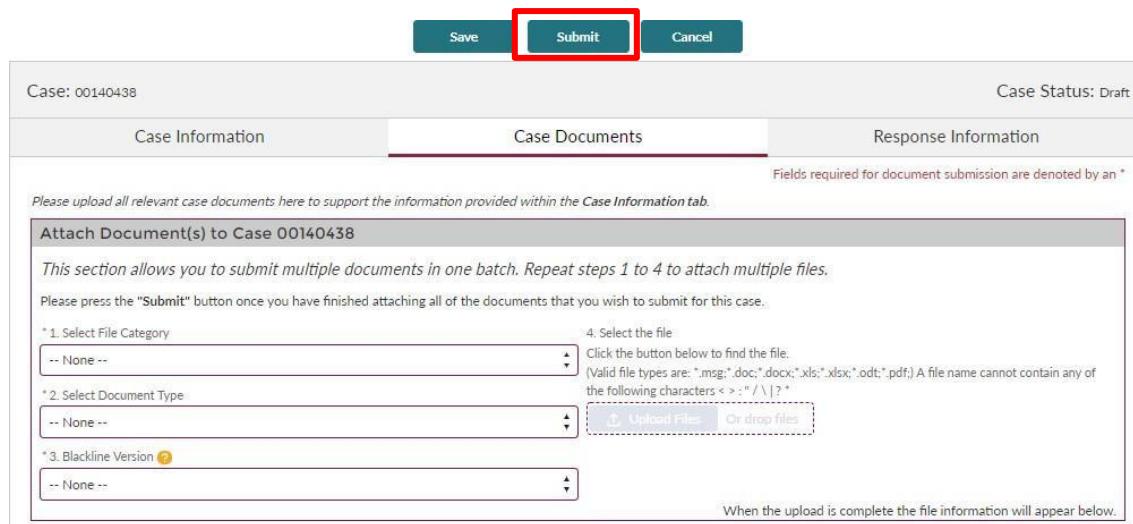
You will not be able to remove documents once a case has been submitted.

Step 10: Submit the case

Once you have entered all relevant information and attached all documents that support the decisions you have requested from us, the final step is to submit the case.

You can find out more about what needs to be included in your initial submission here: <https://www.fca.org.uk/publication/ukla/pn-903-2.pdf>

To submit the case, select the **Submit** button.



The screenshot shows a web-based form for submitting a case. At the top, there are three buttons: 'Save', 'Submit' (which is highlighted with a red box), and 'Cancel'. Below these buttons, the case number 'Case: 00140438' is displayed, along with the 'Case Status: Draft'. The form is divided into three tabs: 'Case Information', 'Case Documents' (which is the active tab, indicated by a red underline), and 'Response Information'. A note below the tabs states: 'Please upload all relevant case documents here to support the information provided within the Case Information tab.' and 'Fields required for document submission are denoted by an *'. The 'Case Documents' section contains four fields: '1. Select File Category' (dropdown menu showing '-- None --'), '2. Select Document Type' (dropdown menu showing '-- None --'), '3. Blackline Version' (dropdown menu showing '-- None --'), and '4. Select the file' (instructions: 'Click the button below to find the file. (Valid file types are: *.msg; *.doc; *.docx; *.xls; *.xlsx; *.odt; *.pdf.) A file name cannot contain any of the following characters < > : " / \ ? *'). There is also an 'Upload Files' button and an 'Or drop files' link. A note at the bottom right of this section says: 'When the upload is complete the file information will appear below.'

You will be taken to the **Submission Summary** page where you will need to select the **Submit** button at the foot of the page to complete the submission process.

⚠ You are about to submit the following information. Ensure this information is complete and correct before submitting.

Case: 00140438	Case Status: Draft		
Submission Summary			
You are about to submit the following information to the UKLA			
Issuer(s)			
ISSUER NAME			
Big Issuer PLC			
Decision(s) Requested			
Approval of supplementary prospectus under PR3.1.7			
Approval of a circular under LR13.2.1			
Same Day Supplement			
No			
Transaction Title			
The Sample Transaction			
Code Name			
Venus			
NSM Upload Recipient			
Primary Contact			
<i>This user will be the main contact for all correspondence. This information can be updated at any time up until case approval.</i>			
First Name:	David	Email:	david@bigcompanyplc.com
Last Name:	Smith	Phone:	01234567890
Organisation:	Big Issuer PLC	Fax:	01234987654
Document Upload Summary			
FILE NAME	COUNT		
Main Document	1		
Supporting Document	0		
Checklist	0		
Submit		Cancel	

Once a case is submitted, the status of the case moves from Draft to Open. The case will now be listed on the **Submitted** tab of the **My Cases** page.

Electronic Submission System

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search... Go

Case Number Organisation Name

Drafts (8)	Submitted (1)	Closed (0)
------------	----------------------	------------

Modifying case details on an open case

You can update the details of an open case at any time on the case until the case is closed. Any case information that cannot be updated once the case is created (e.g. the requested decision) will be displayed as read only.

		Submit	Cancel
Case: 00140438		Case Status: Open View Comments	
Case Information		Case Documents	Response Information
<small>Please input all the relevant case information here before uploading documents under the Case Documents tab.</small>			
Requested Decision(s) <small>?</small>			
Approval of supplementary prospectus under PR3.1.7			
Approval of a circular under LR13.2.1			
Same Day Supplement : No			
Case Information			
Transaction Title(s) <small>?</small>			
The Sample Transaction			
Related Case Number(s) <small>?</small>			
57392			
Code Name <small>?</small>		NSM Email Address	
Venus		<small>Please provide the email address of the contact uploading the approved document(s) onto the National Storage Mechanism. This email address is required for approval and needs to be reconfirmed upon final submission of document(s).</small>	

Case response information

When your case is first submitted, we will assign a reading team to the case, identify the date by which a first response is due and confirm the fees applicable.

This information will be sent by email to the Primary Contact.

This information – along with the payment status of the fees – is also available to all members of your team working on the case on the **Response Information** Tab.

Case: 00140438		Case Status: Open View Comments	
Case Information		Case Documents	Response Information
<small>This section contains information provided to you by the UKLA in relation to the case that you are submitting. No information will be displayed here until a reading team has been allocated.</small>			
Readers & Comment Information			
ROLE	NAME	PHONE	
Reader 1	Nicola Smethers		
Reader 2	Hiten Kapoor		
First Response Due Date : 01/05/2018			
Fee(s)			
DESCRIPTION	AMOUNT	DATE PAID	
Base Prospectus	£2 750,00	28/04/2018	
Written Notice			
FILE NAME	GENERATED		

Responding to comments on a case

If the reading team raises any comments on the case, everyone on the external case team will receive an email notification to say new comments are available. To view the comments, click on the **View Comments** link in the top right of the case home page. (This applies to all cases other than Direction and Clarification cases).

Case: 00673223	Case Status: Draft																					
<table border="1"><tr><td>Case Information</td><td>Case Documents</td><td>Response Information</td></tr><tr><td colspan="3">Fields required for case submission are denoted by an *</td></tr><tr><td colspan="3">If your submission contains Inside Information as defined by <i>Article 7 of the Market Abuse Regulation</i>, please indicate this in the "Transaction Title" field (as well as adding the Transaction Title).</td></tr><tr><td colspan="3">Please input all the relevant case information here before uploading documents under the Case Documents tab.</td></tr><tr><td colspan="3">Requested Decision(s) </td></tr><tr><td colspan="3">Approval of a circular under UKLR 11.6.3</td></tr><tr><td colspan="3">Approval of a prospectus under PRIMA</td></tr></table>		Case Information	Case Documents	Response Information	Fields required for case submission are denoted by an *			If your submission contains Inside Information as defined by <i>Article 7 of the Market Abuse Regulation</i> , please indicate this in the " Transaction Title " field (as well as adding the Transaction Title).			Please input all the relevant case information here before uploading documents under the Case Documents tab.			Requested Decision(s) 			Approval of a circular under UKLR 11.6.3			Approval of a prospectus under PRIMA		
Case Information	Case Documents	Response Information																				
Fields required for case submission are denoted by an *																						
If your submission contains Inside Information as defined by <i>Article 7 of the Market Abuse Regulation</i> , please indicate this in the " Transaction Title " field (as well as adding the Transaction Title).																						
Please input all the relevant case information here before uploading documents under the Case Documents tab.																						
Requested Decision(s) 																						
Approval of a circular under UKLR 11.6.3																						
Approval of a prospectus under PRIMA																						

Case: 00673223	Case Status: Open View Comments												
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Case Information	Case Documents	Response Information											
Fields required for case submission are denoted by an *													
If your submission contains Inside Information as defined by <i>Article 7 of the Market Abuse Regulation</i> , please indicate this in the " Transaction Title " field (as well as adding the Transaction Title).													
Please input all the relevant case information here before uploading documents under the Case Documents tab.													

The comments are listed on the **Outstanding** tab. A **No Response** flag indicates that no response has yet been provided to a comment.

Case: 00673223	Status: Open								
Issuer(s):									
Code Name:									
<table border="1"><tr><td>Outstanding</td><td>Responded</td></tr><tr><td>Download As PDF</td><td>Submit Responses</td></tr><tr><td colspan="2"><p> Please note - If you experience issues with the PDF not displaying correctly, please download the PDF again or refresh the page. Scrolling up and down may also resolve the issue. The issue will not occur once the PDF is saved to your local drive.</p></td></tr></table>		Outstanding	Responded	Download As PDF	Submit Responses	<p> Please note - If you experience issues with the PDF not displaying correctly, please download the PDF again or refresh the page. Scrolling up and down may also resolve the issue. The issue will not occur once the PDF is saved to your local drive.</p>			
Outstanding	Responded								
Download As PDF	Submit Responses								
<p> Please note - If you experience issues with the PDF not displaying correctly, please download the PDF again or refresh the page. Scrolling up and down may also resolve the issue. The issue will not occur once the PDF is saved to your local drive.</p>									
The following comments require a response.									
<table border="1"><tr><td> No Response</td></tr><tr><td>C-00184924 - FEES - Payment method</td></tr><tr><td>Payment of FCA Listing Transactions fees may be made by any of the following methods: (a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case; (b) Credit card (VISA and MasterCard only), by calling 020 7066 8348; (c) Electronic bank transfer, details of which can be found on our electronic payment form available in the 'Form' more.</td></tr><tr><td>Page Number:</td></tr><tr><td>Document: Single Prospectus and Circular_V001</td></tr><tr><td>Rule Reference:</td></tr><tr><td>Published Date: 16/01/2026, 14:52</td></tr><tr><td>View/Edit</td></tr></table>		 No Response	C-00184924 - FEES - Payment method	Payment of FCA Listing Transactions fees may be made by any of the following methods: (a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case; (b) Credit card (VISA and MasterCard only), by calling 020 7066 8348; (c) Electronic bank transfer, details of which can be found on our electronic payment form available in the 'Form' more .	Page Number:	Document: Single Prospectus and Circular_V001	Rule Reference:	Published Date: 16/01/2026, 14:52	View/Edit
 No Response									
C-00184924 - FEES - Payment method									
Payment of FCA Listing Transactions fees may be made by any of the following methods: (a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case; (b) Credit card (VISA and MasterCard only), by calling 020 7066 8348; (c) Electronic bank transfer, details of which can be found on our electronic payment form available in the 'Form' more .									
Page Number:									
Document: Single Prospectus and Circular_V001									
Rule Reference:									
Published Date: 16/01/2026, 14:52									
View/Edit									



You will need to provide an individual response to each comment. When you have provided responses to all the comments, you will then be able to submit your responses to the UKLA reading team.

To view a comment and provide a response, click on the title of the comment, or the **View/Edit** link.

Draft / Not yet submitted

C-001849 4 - FEES - Payment method

Payment of FCA Listing Transactions fees may be made by any of the following methods: (a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case; (b) Credit card (VISA and MasterCard only), by calling 020 7066 8348; (c) Electronic bank transfer, details of which can be found on our electronic payment form available in the "Form [more...](#)

Page Number :

Document : Single Prospectus and Circular_V001

Rule Reference :

Published Date : 16/01/2026, 14:52

[View/Edit](#)

Type your response to the comment in the text box, adding a page reference below if appropriate, then **Save & Exit**.

Your Response

[Save & Exit](#) [Save](#) [Back](#)

Last Draft Saved on :

[Save & Exit](#) [Save](#) [Back](#)

C-00184924 - FEES - Payment method

Payment of FCA Listing Transactions fees may be made by any of the following methods:

(a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case;

(b) Credit card (VISA and MasterCard only), by calling 020 7066 8348;

(c) Electronic bank transfer, details of which can be found on our electronic payment form available in the "Forms and Checklists" section of our website at <https://www.fca.org.uk/markets/primary-markets/forms>.

Please note that if you pay by electronic bank transfer, you must ensure that a copy of the electronic payment form is uploaded to ESS so that we can allocate your payment to the correct case. Without this payment form, we will not send further comments on this case.

If you have any questions on the above please contact Operational Support on 020 7066 8348.

Linked Document : Single Prospectus and Circular_V001 Rule Reference :

Page Number : Published Date : 16/01/2026, 14:52

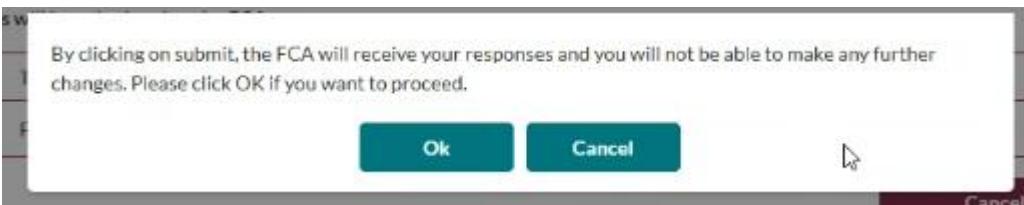
When you have entered and saved your response to a comment, the **No Response** flag will no longer be displayed.

Case: 00673223	Status: Open		
Issuer(s):			
Code Name:			
<table border="1"><tr><td>Outstanding</td><td>Responded</td></tr></table>		Outstanding	Responded
Outstanding	Responded		
Download As PDF Submit Responses			
<p>i Please note - If you experience issues with the PDF not displaying correctly, please download the PDF again or refresh the page. Scrolling up and down may also resolve the issue. The issue will not occur once the PDF is saved to your local drive.</p>			
The following comments require a response.			
<p>Draft / Not yet submitted</p> <p>C-00184924 - FEES - Payment method</p> <p>Payment of FCA Listing Transactions fees may be made by any of the following methods: (a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case; (b) Credit card (VISA and MasterCard only), by calling 020 7066 8348; (c) Electronic bank transfer, details of which can be found on our electronic payment form available in the 'Form' more.</p> <p>Page Number :</p> <p>Document : Single Prospectus and Circular_V001</p> <p>Rule Reference :</p> <p>Published Date : 16/01/2026, 14:52</p> <p>View/Edit</p>			

When you have provided responses to all comments, you can submit these to the reading team by selecting **Submit Responses**.

The Summary of Case Comments will be displayed, confirming what you are about to submit. Complete the submission process by selecting **Submit Responses**.

Case: 00673223	Status: Open
Issuer(s):	
Code Name:	
Summary of Case Comments	
Responses to the following comments will be submitted to the FCA.	
COMMENT NO.	TITLE
C-00184924	FEES - Payment method
Cancel Submit Responses	



A confirmation of the submitted responses will then be displayed:

Case: 00673223	Status: Open
Issuer(s):	
Code Name:	

 Responses have been successfully submitted to the FCA.

Ok



If the reading team has asked you to submit updated versions of any documents, please do so when you submit your responses. The SLA period for the review by the reading team will only begin once the responses and any further versions of the documents have been received.

If you now view the comments on the case (by selecting **View Comments** on the case home page), you will see that the comments are shown on the **Responded** tab, along with the date and time at which the response was submitted.

Case: 00673223	Status: Open
Issuer(s):	
Code Name:	

Outstanding **Responded**

Download As PDF

 Please note - If you experience issues with the PDF not displaying correctly, please download the PDF again or refresh the page. Scrolling up and down may also resolve the issue. The issue will not occur once the PDF is saved to your local drive.

Comments with responses you have submitted are listed below.

COMMENT NO.	TITLE	RESPONSE SENT DATE	PAGE NUMBER	RESOLVED?
C-00184924	FEES - Payment method	16/01/2026, 15:11		

You cannot edit a response once it has been submitted.

You can view a response by clicking on the comment number link in the first column of the table.

Alternatively, you can download all comments and responses as a PDF by using the **Download as PDF** option.

The reader team will check your responses and decide whether each comment has been resolved. You will receive an email when the review is complete.

Any comments that have been resolved will remain on the **Responded** tab with a tick in the **Resolved?** column.

C-00202205	FCA Guidance on specialist issuers	15/01/2026, 15:35	<input checked="" type="checkbox"/>
C-00202206	Admission to a Recognised Investment Exchange (further issue)	15/01/2026, 15:35	<input checked="" type="checkbox"/>
C-00202207	Sponsor disclaimers	15/01/2026, 15:35	<input checked="" type="checkbox"/>
C-00202208	FEES - Payment method	15/01/2026, 15:35	<input checked="" type="checkbox"/>

Any comments that have not been resolved will be carried forward. These comments will be updated with additional feedback from the reader team and will appear on the **Outstanding** tab.

You will need to respond to any comments carried forward and then submit your response(s) – follow the same procedure as described above.

For comments that are carried forward, the **History** section includes details of the original comment and your previous response.

History	
FCA Comment: FEES - Payment method	
Payment of FCA Listing Transactions fees may be made by any of the following methods:	
(a) Cheque, payable to the Financial Conduct Authority and sent to your Listing Transactions Department contact on this case;	
(b) Credit card (VISA and MasterCard only), by calling 020 7066 8348;	
(c) Electronic bank transfer, details of which can be found on our electronic payment form available in the "Forms and Checklists" section of our website at https://www.fca.org.uk/markets/primary-markets/forms .	
Please note that if you pay by electronic bank transfer, you must ensure that a copy of the electronic payment form is uploaded to ESS so that we can allocate your payment to the correct case. Without this payment form, we will not send further comments on this case.	
If you have any questions on the above please contact Operational Support on 020 7066 8348.	
Linked Document:	Single Prospectus and Circular_V001
Rule Reference:	
Page Number:	
Published On:	16/01/2026, 14:52
Your Response - 16/01/2026, 15:11	
Paid	
Page Number: 0	

Submitting further drafts for a case

Following the review of documents by the reading team, you may be required to submit new documents or further drafts to the documents you have already submitted.

To do so, follow the process described previously (Step 8: Uploading documents).

When you submit further drafts, please take care to select the correct **Category** and **Document Type** of the draft you are submitting. The system will automatically update the version of the document to the next version.

Submitted Document(s)				
Main Document(s)				
TYPE	FILE NAME	VERSION	BLACKLINE	SUBMITTED DATE AND TIME
Base prospectus (debt)	Prospectus.doc	2	No	29/04/2018 11:25
Base prospectus (debt)	Prospectus.doc	1	No	24/04/2018 10:18
Supporting Document(s)				
TYPE	FILE NAME	VERSION	BLACKLINE	SUBMITTED DATE AND TIME
Checklist Document(s)				
TYPE	FILE NAME	VERSION	BLACKLINE	SUBMITTED DATE AND TIME

Once a document is attached, it is automatically saved by the system and will not be lost if you log out.

Only once you have uploaded all the documents, click on **Submit** to make it available to us for review.

For further information on how to submit documents for approval, please visit the FCA website: <https://www.fca.org.uk/markets>

Closing a case

On receiving the final versions of the documents under review, we will approve the document(s) and close the case.

The status of the case will be Closed.

Once a case is closed, you cannot change any details on the case.

At any point, if you wish to withdraw or put the review process on hold, you can do so by calling the general administrative help desk and quote your case reference number.

Written Notice

For all cases which are not Direction and Clarification cases, we will email the Written Notice to the Primary Contact and other case team members. This notice will confirm the approval of documents you have submitted.

A copy of the written notice can be accessed from the **Response Information** tab.

Case: 00140438	Case Status: Approved View Comments	
Case Information Case Documents Response Information		
<i>This section contains information provided to you by the UKLA in relation to the case that you are submitting. No information will be displayed here until a reading team has been allocated.</i>		
Readers & Comment Information		
ROLE	NAME	PHONE
Reader 1	Nicola Smethers	
Reader 2	Hiten Kapoor	
First Response Due Date : 01/05/2018		
Fee(s)		
DESCRIPTION	AMOUNT	DATE PAID
Base Prospectus	£2 750.00	28/04/2018
Written Notice		
FILE NAME	GENERATED	
Written Notice 2018-05-02_16:35.pdf	02/05/2018 16:35	

5. Issuer Management cases

You can submit the following types of Issuer Management case through the Electronic Submission System:

- Admission to the Official List
- Amendments of Existing Securities
- Create and Update Programme (post-vetting)
- Suspension of Securities
- Removal of Securities
- Restoration of Securities

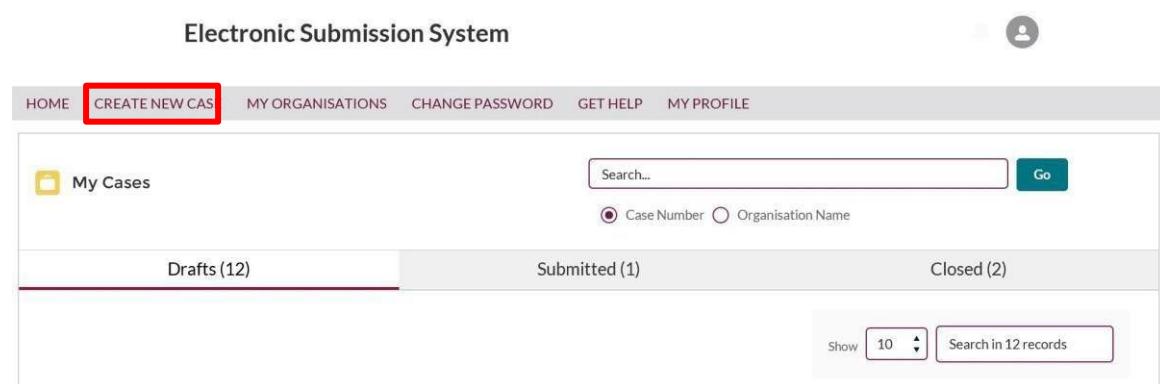
Creating a new Issuer Management case

Let's work through the process for creating a new case and submitting documents.

Step 1: Creating a new case

Click on **Create New Case** on the My Cases home page.

Electronic Submission System



The screenshot shows the 'Electronic Submission System' interface. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE (which is highlighted with a red box), MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. On the right side of the top bar is a user profile icon. Below the navigation bar is a search bar with the placeholder 'Search...' and a 'Go' button. To the left of the search bar is a 'My Cases' icon. Below the search bar are three buttons: 'Drafts (12)', 'Submitted (1)', and 'Closed (2)'. At the bottom of the page, there are buttons for 'Show' (with a dropdown menu showing '10'), 'Search in 12 records', and a 'Search' button.

Step 2: Clicking the arrow on the Issuer Management tab

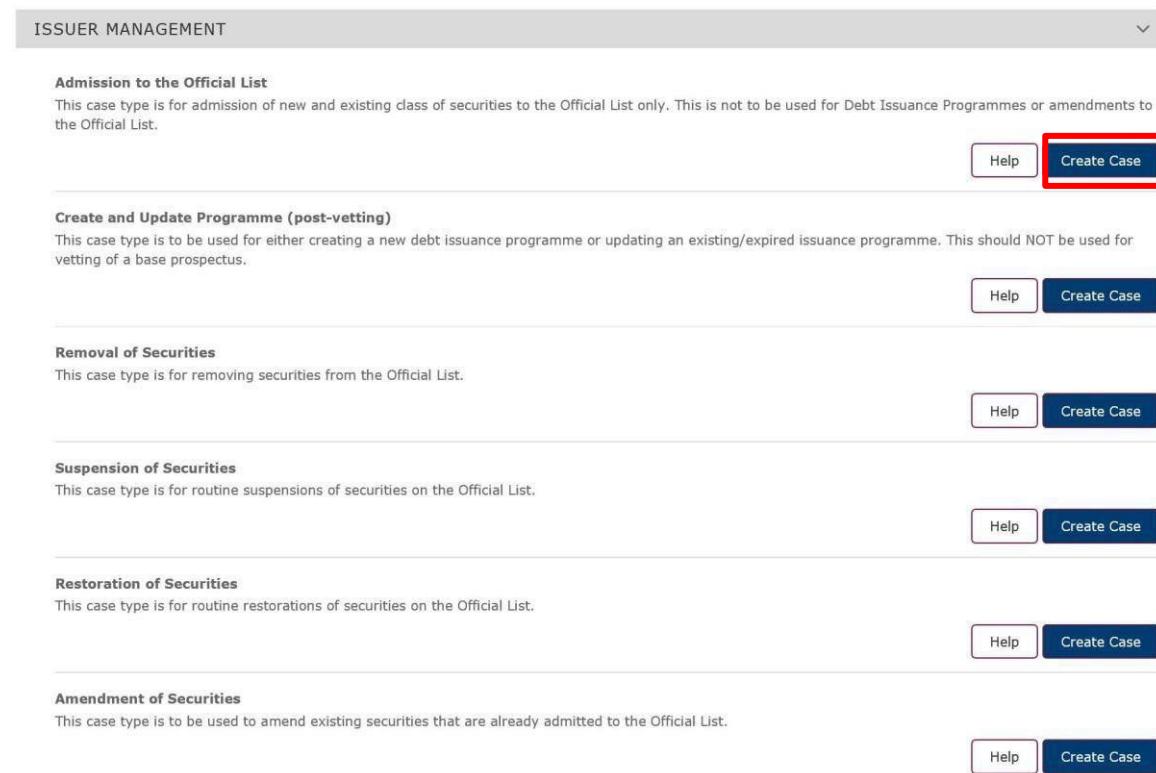


The screenshot shows the 'Case Categories' page. At the top is a dark purple header bar with the text 'Case Categories'. Below it is a search bar with the placeholder 'Search Case Category or Case Type here to create a new case'. The main content area has a dark purple header bar with the text 'Select Case Category'. Below it are two tabs: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY' and 'ISSUER MANAGEMENT'. The 'ISSUER MANAGEMENT' tab is highlighted with a red box and has a dropdown arrow icon to its right.

Step 3: Selecting the case type

In this example, we'll choose **Admission to the Official List**. The information that you will need to provide varies between case types, but the process is identical.

Select the case type from the list, then click **Create Case**.



The screenshot shows the 'ISSUER MANAGEMENT' interface with a list of case types. Each case type has a 'Create Case' button, with the 'Create Case' button for 'Admission to the Official List' highlighted with a red box.

- Admission to the Official List**
This case type is for admission of new and existing class of securities to the Official List only. This is not to be used for Debt Issuance Programmes or amendments to the Official List.
Create Case
- Create and Update Programme (post-vetting)**
This case type is to be used for either creating a new debt issuance programme or updating an existing/expired issuance programme. This should NOT be used for vetting of a base prospectus.
Create Case
- Removal of Securities**
This case type is for removing securities from the Official List.
Create Case
- Suspension of Securities**
This case type is for routine suspensions of securities on the Official List.
Create Case
- Restoration of Securities**
This case type is for routine restorations of securities on the Official List.
Create Case
- Amendment of Securities**
This case type is to be used to amend existing securities that are already admitted to the Official List.
Create Case

Step 4: Click the 'Continue' button on the pop-up reminder of information that you will need to provide

Before you start

Before you start please ensure you have the following:
the approved prospectus;
exemptions (if no prospectus);
sanctions;
security details;
any other supporting documentation/information; and
issuer details (such as LEI number, registered office address, year end, telephone number, email and website).

Continue

Step 5: Entering case details

After completing Step 4, a new case will be created. This will have a unique case number (shown top-left) and a **Draft** case status. You will receive an email stating that the case is in Draft status along with the ESS number.

Case: 00139443 Case Type: Admission of Securities Case Status: Draft

Case Information Case Documents

Please input all the relevant case information here before uploading documents under the Case Documents tab.

Fields required for case submission are denoted by an *

Case Information

Transaction Type

- Treasury Gilt
- Final Terms
- GDR
- Placing

*Name of Issuer

Transaction Summary

Part 1. Hearing/Application

*Application to be heard/processed on

*Admission Effective On

Part 2. Security Details

No Securities added to this Case

Add Security

You should fill in all case information, click Save, and upload any supporting documents by clicking the Case Documents tab.

Mandatory fields are identified with a red asterisk:

Part 1. Hearing/Application

* Application to be heard/processed on

27-Jun-2018



For information on case fields, click on the help icon next to the field.

If you do not have all the information required, you can click on **Save** to save the case as Draft.

We do not progress a case unless the case is submitted. Please ensure that you click on **Submit** (step 8) once you have filled in all required information and uploaded all necessary documents.

Step 6: Adding a security

For most Issuer Management case types (with the exception of Debt Issuance programmes), you will need to specify one or more securities.

To start the process, click on **Add Security** in the relevant section of the **Case Information**.

Part 2. Security Details

No Securities added to this Case

[Add Security](#)

Complete the details in the Add Security section (including the ISIN of the security) then choose **Save**.

Part 2. Security Details

No Securities added to this Case

[Add Security](#)

**** ISIN of Security**

**** Security Description**

Amount Comment 

Total number of Securities in Issue

*** Listing Category**

--None--

*** Markets of Issue**

- LSE Main Market
- Aquis Stock Exchange
- Cboe Europe
- Euronext

Public Offer Exemption

**** Regulated Market Exemption**

[Save](#)

[Cancel](#)

This security will now be listed in the Security Details section. You can edit or remove this security or add another security using the buttons.

Part 2. Security Details

ISIN of Security	Security Description	Public Offer Exemption	Regulated Market Exemption	Listing Category	Amount	Amount Comment	Total number of Securities in Issue	Market of Issue	
11234556789 9	Example description	Example POE	Example RME	Equity shares (commercial companies)	5000000		5000000	LSE Main Market	Edit Remove

Add Securities (By keying in all information manually)

[Add Security](#)

Step 7: Adding email addresses for the written notice

You can specify one or more email addresses to which the written notice will be sent.

Enter an email address in the box and click **Add Email Address**.

Part 4. Written Notice Email Addresses

Email Address	No Email address added to this Case
<input type="text"/>	Add Email Address

Once an email address has been added, it will be shown in the **Case Information**, along with a **Remove** button.

Part 4. Written Notice Email Addresses

Email Address	Email Address
<input type="text"/>	<input type="text"/>
Add Email Address	Remove

david@bigcompanyplc.com

Step 8: Downloading the submission details

You can download a copy of the **Case Information** using the **Download Form** option.

HOME GET HELP CHANGE PASSWORD MY PROFILE

Save Submit **Download Form** Back

Case: 00139443	Case Type: Admission of Securities	Case Status: Draft
Case Information		Case Documents
Fields required for case submission are denoted by an *		
Please input all the relevant case information here before uploading documents under the Case Documents tab.		
Case Information		
Transaction Type		
<input type="checkbox"/> Treasury Gilt		
<input type="checkbox"/> Placing		

The downloaded form is an editable Microsoft Word document.

<p><input checked="" type="checkbox"/> The picture can't be displayed.</p> <p>Admission of Securities</p> <p>Case# 00614070</p> <p>Case Status: Draft</p> <p>Case Information</p> <p>Transaction Type Placing</p> <p>Name of Issuer Big Company plc</p> <p>Transaction Summary</p> <p>Part 1. Hearing/Application</p> <p>Application to be heard/processed on</p> <p>Admission Effective On</p> <p>Part 2. Security Details</p> <table border="1"><tr><td colspan="2">Security# 1</td></tr><tr><td>ISIN of Security</td><td>112345567899</td></tr><tr><td>Security Description</td><td>Example description</td></tr><tr><td>Public Offer Exemption</td><td>Example POE</td></tr><tr><td>Regulated Market Exemption</td><td>Example RME</td></tr><tr><td>Listing Category</td><td>Equity shares (commercial companies)</td></tr><tr><td>Amount</td><td>50000000</td></tr></table> <p>Part 3. Issuer Information</p> <p>Registered Office Address</p> <p>Accounting year end date (Day)</p> <p>Accounting year end date (Month)</p> <p>LEI Number</p> <p>FRN Number</p> <p>Telephone Number</p> <p>Part 4. Written Notice Email Addresses</p> <p>No Emails added to this Case</p> <p>Part 5. Terms & Conditions</p> <p>The applicant has acknowledged its obligations arising under the UK listing rules and the legal implications of listing under the Act. Accordingly, it has confirmed that:</p> <ol style="list-style-type: none">1. All the requirements for listing in the UK listing rules, which are required to be fulfilled before the application is to be considered, have been fulfilled in relation to the applicant and the securities for which application is now made (save where otherwise agreed with the FCA).2. All the documents and information required to be included in the application have been or will be supplied in line with the UK listing rules, and all other requirements of the FCA in respect of the application have been or will be complied with.	Security# 1		ISIN of Security	112345567899	Security Description	Example description	Public Offer Exemption	Example POE	Regulated Market Exemption	Example RME	Listing Category	Equity shares (commercial companies)	Amount	50000000
Security# 1														
ISIN of Security	112345567899													
Security Description	Example description													
Public Offer Exemption	Example POE													
Regulated Market Exemption	Example RME													
Listing Category	Equity shares (commercial companies)													
Amount	50000000													



We recommend that you download the form and use this to check the information carefully before submitting the case.

You may also wish to keep a record of the information submitted for your internal records as once documents are submitted the details cannot be amended.

Step 9: Uploading documents



You cannot submit a case until you have attached one or more documents.

To upload documents select the **Case Documents** tab on the case.

Case: 00139443	Case Type: Admission of Securities	Case Status: Draft			
Case Information	Case Documents				
<small>Fields required for document submission are denoted by an *</small>					
<small>Please upload all relevant case documents here to support the information provided within the Case Information tab.</small>					
Attach Document(s) to Case 00139443					
<small>This section allows you to submit multiple documents in one batch. Repeat steps 1 to 3 to attach multiple files.</small>					
<small>Please press the "Submit" button once you have finished attaching all of the documents that you wish to submit for this case.</small>					
<small>* 1. Select File Category</small>					
<small>IM Document</small>					
<small>* 2. Select Document Type</small>					
<small>-- None --</small>					
<small>3. Select the file</small>					
<small>Click the button below to find the file.</small>					
<small>(Valid file types are: *.msg; *.doc; *.docx; *.xls; *.xlsx; *.odt; *.pdf;) A file name cannot contain any of the following characters < > : " / \ ? *</small>					
<small>Upload Files Or drop files</small>					
<small>When the upload is complete the file information will appear below.</small>					
<small>If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.</small>					
Document(s) ready for submission					
FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Submitted Document(s)					
FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

The top section of this page explains the three steps to upload a document:

1. **Select File Category:** This is automatically set to **IM Document**.
2. **Select Document Type:** Select the appropriate document type from the dropdown list.
3. **Select the file:** You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

The system displays the following progress message and confirms when the file has been uploaded. Click Done.

Upload Files

Prospectus.docx
11 KB

1 of 1 file uploaded

Done

You can attach more than one document to a case. To attach additional documents, repeat Steps 1-3.

All the documents you have attached will be displayed in the **Document(s) ready for submission** section of the page.

Document(s) ready for submission						
FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD	
IM Document	Announcements	Announcement.docx	1	Remove		
IM Document	EU Sanctions	EU sanctions.docx	1	Remove		
IM Document	Prospectus	Prospectus.docx	1	Remove		

You can **Remove** or **Download** any of the documents uploaded to the system.

You will not be able to remove documents once a case has been submitted.

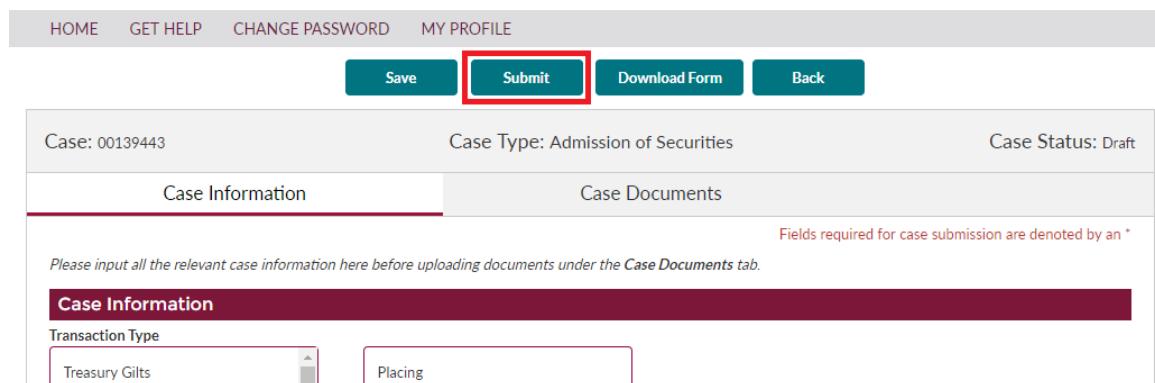


Even after the case is submitted you can add supporting documentation. However, after submission no details of the case can be amended.

Step 10: Submit the case

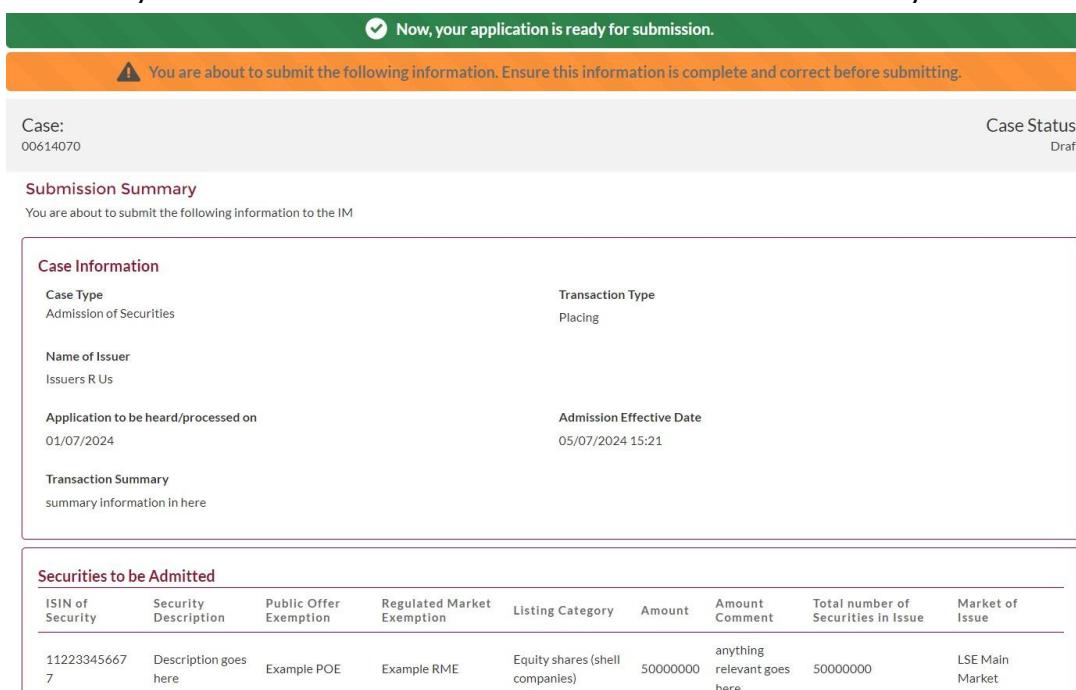
Once you have entered all relevant information and attached all documents, the final step is to submit the case.

To submit the case, select the **Submit** button.



The screenshot shows a web-based application for case submission. At the top, there is a navigation bar with links: HOME, GET HELP, CHANGE PASSWORD, and MY PROFILE. Below the navigation bar are four buttons: Save, Submit (which is highlighted with a red box), Download Form, and Back. The main content area has a header with the case number (Case: 00139443), case type (Case Type: Admission of Securities), and case status (Case Status: Draft). There are two tabs: Case Information (which is selected and highlighted with a red border) and Case Documents. A note below the tabs states: "Please input all the relevant case information here before uploading documents under the Case Documents tab." The Case Information section contains a sub-section for Transaction Type, which lists "Treasury Gilt" and "Placing".

You will be taken to the **Submission Summary** page, which confirms the details you are about to submit. Please check these carefully.



The screenshot shows the Submission Summary page. At the top, a green bar indicates: "Now, your application is ready for submission." Below it, an orange bar contains a warning: "You are about to submit the following information. Ensure this information is complete and correct before submitting." The main content area shows the case details: Case: 00614070 and Case Status: Draft. Below this is a "Submission Summary" section with a table of information. The table includes rows for Case Information (Case Type: Admission of Securities, Transaction Type: Placing), Name of Issuer (Issuers R Us), Application to be heard/processed on (01/07/2024), and Admission Effective Date (05/07/2024 15:21). The Transaction Summary section is present but empty. At the bottom, there is a table titled "Securities to be Admitted" with one row of data.

ISIN of Security	Security Description	Public Offer Exemption	Regulated Market Exemption	Listing Category	Amount	Amount Comment	Total number of Securities in Issue	Market of Issue
112233456677	Description goes here	Example POE	Example RME	Equity shares (shell companies)	50000000	anything relevant goes here	50000000	LSE Main Market

To submit the case, tick the **I agree terms & conditions** box at the foot of the page, then **Submit**.

Document Upload Summary			
File Category	Document Type	File Name	Version
IM Document	Announcements	Announcement.docx	1
IM Document	EU Sanctions	EU sanctions.docx	1
IM Document	Prospectus	Prospectus.docx	1

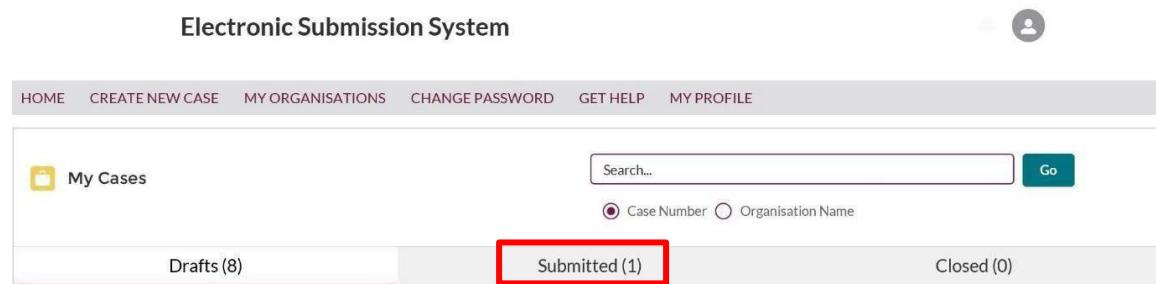
I agree terms & conditions

Submit **Back**

Once an Issuer Management case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change from **Draft** to **Open**, and the case will now be listed on the **Submitted** tab of the **My Cases** page.



The screenshot shows the 'My Cases' page of the Electronic Submission System. At the top, there is a navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below the navigation bar, there is a search bar with the placeholder 'Search...' and a 'Go' button. There are two radio buttons: 'Case Number' and 'Organisation Name'. Below the search bar, there are three tabs: 'Drafts (8)', 'Submitted (1)', and 'Closed (0)'. The 'Submitted (1)' tab is highlighted with a red box. On the left side, there is a sidebar with a 'My Cases' icon and a link to 'My Cases'.

Once a case is submitted, you can still view the **Case Information** but you will not be able to amend any of these details. You will also still be able to download the case information (using the **Download Form** option) and the submitted documents (from the **Case Documents** tab).

If we need you to submit any further documents, you can do so using the **Case Documents** tab, as described above.

6. SSR registration request and notification cases

Under the **Short Selling Regulation**, holders of short positions in shares, sovereign debt and sovereign contracts for difference are required to notify their positions to the FCA.

SSR registration request and notification case overview

You can submit the following types of SSR case types through the Electronic Submission System:

SSR Registration requests:

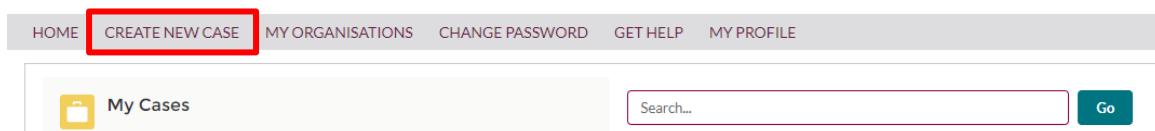
- Registration for Existing Position Holder
- Registration for New Position Holder Firm
- Registration for New Position Holder Individual

SSR Notifications:

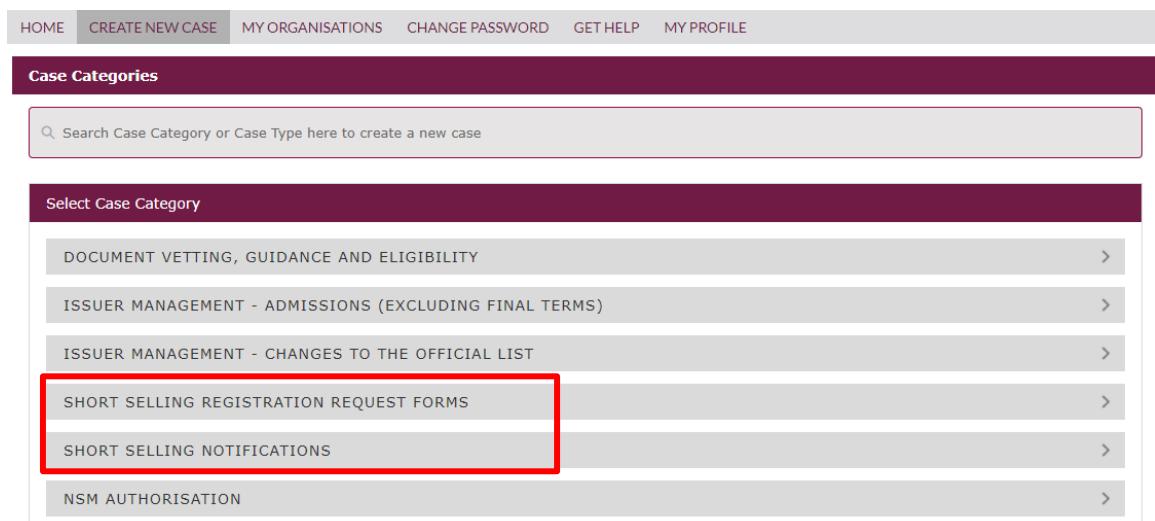
- NSP Share Notification – New
- NSP Share Notification – Correct
- NSP Share Notification – Delete
- NSP Sovereign Debt Notification – New
- NSP Sovereign Debt Notification – Correct
- NSP Sovereign Debt Notification – Delete

Step 1: Create a new SSR case

Click on **Create New Case** on the My Cases home page.



You will be redirected to the following screen:





If you are not already authorised to submit SSR notifications, you will not see the option titled 'Short Selling Notifications.'

Select the correct SSR case type

Click on the SSR case category heading arrows to view the case types you can choose from in each section. A case description is provided for you.

SHORT SELLING REGISTRATION REQUEST FORMS

Registration for Existing Position Holder

Use this option to register as a reporting person for an already registered Position Holder.

[Help](#) [Create Case](#)

Registration for New Position Holder Firm

Use this option to register a new Position Holder that is a firm, not an individual.

[Help](#) [Create Case](#)

Registration for New Position Holder Individual

Use this option to register a new Position Holder Individual.

[Help](#) [Create Case](#)

SHORT SELLING NOTIFICATIONS

NSP Share Notification - New

Use this option to submit a new net short position in a share.

[Help](#) [Create Case](#)

NSP Share Notification - Correct

Use this option to submit a correction to an already submitted net short position notification.

[Help](#) [Create Case](#)

NSP Share Notification - Delete

Use this option to submit a deletion request for a previously submitted net short position notification.

[Help](#) [Create Case](#)

NSP Sovereign Debt Notification - New

Use this option to submit a new net short Sovereign Debt notification.

[Help](#) [Create Case](#)

NSP Sovereign Debt Notification - Correct

Use this option to submit a correction to an already submitted Sovereign Debt notification.

[Help](#) [Create Case](#)

NSP Sovereign Debt Notification - Delete

Use this option to submit a deletion request for a previously submitted Sovereign Debt notification.

[Help](#) [Create Case](#)

Once you have identified which case type you need to submit, select the related '**Create Case**' button.

You will then be redirected to the related case form.

Step 2: Complete the necessary Case form



Please ensure you select the '**Save**' button to save all data entered in the case form. You can return to complete and submit the form at another time.

Short selling registration request forms

Each of the three available SSR registration forms are split into 2 sections:

- '**Registration Details**' – complete Position Holder, Contact Person and Reporting Person data fields in this section.
- '**Document upload**' – upload supporting documents in this section.

Complete the Registration Details section:

Select the '**Start**' button in the '**Registration Details**' row.

Registration for New Position Holder Firm			
? Help Checklist			
FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	Start
Document Upload	<input type="radio"/> Not Started	(Yes)	Start

Position Holder Details - complete all data fields to ensure we have comprehensive details.

Registration Details			
Current Status	In-Progress	Last Modified By	Louisa Rayner
Back to Case		<input type="button" value="Save"/>	
Position Holder Details <p> <input type="text"/> * Full company name <input type="text"/> Firm Reference Number (FRN) <input type="text"/> Legal Entity Identifier (LEI) <input type="text"/> BIC <input type="text"/> * Mailing Street <input type="text"/> * Mailing City <input type="text"/> * Mailing State/Province <input type="text"/> * Mailing ZIP/Postcode <input type="text"/> * Country </p>			

Contact Person:

- If you are the primary contact for the Position Holder then in the '**Is contact person different from reporting person?**' data field, select '**No**'.
- If the primary contact is not yourself then you should select '**Yes**.' You must then complete the primary contact person details section (as shown below)

REPORTING PERSON & CONTACT PERSON DETAILS	
Contact Person <p> <input type="checkbox"/> * Is contact person different from reporting person? <input type="radio"/> Yes </p> <p> <input type="text"/> * First Name <input type="text"/> * Last Name <input type="text"/> * Phone Number <input type="text"/> Fax Number <input type="text"/> * Email Address <input type="text"/> * Confirm Email Address </p>	

Once you have completed all mandatory data fields correctly, the status of the case will now change to '**Ready to Submit**'

Complete the Document Upload section:

Select the '**Start**' button in the '**Document Upload**' row.

Registration for New Position Holder Firm			
? Help Checklist			
Case Reference Number	00220487	Date/Time Opened	Friday, 31 Jan 20, 13:53
Case Status	Draft	Opened By	Scott Walker (Portal)
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	Start
Document Upload	<input type="radio"/> Not Started	(Yes)	Start

Upload all necessary documents to the case.

Home > Create a Case > 00220726			
Document Upload			
Current Status	In-Progress	Last Modified By	Louisa Rayner
Back to Case		Save	
Attach Document(s) for Registration			
Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg; A file name cannot contain any of the following characters > : " \ ? *			
1. Select Document Type <div style="border: 1px solid red; padding: 5px; display: inline-block;"> Certificate of Incorporation for new PH Firm </div> <div style="border: 1px solid red; padding: 5px; display: inline-block;"> Upload Files Or drop files </div>			
<small>If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.</small>			
Document(s) ready for submission			
DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION
Submitted Document(s)			
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME
Back to Case		Save	

Select the relevant value from the drop-down list titled '**Select Document Type**.' Document types vary depending on the type of registration case you are working on. The available values across the 3 case types are:

Document types to upload to a case	SSR registration case type	Mandatory or optional to upload
Certificate of Incorporation - This is a document that proves the incorporation of the Position Holder and their address	Registration for New Position Holder	Mandatory

Authorisation Letter - This document must be on signed company letterhead and confirms that the individual reporting person is authorised to submit notifications on behalf of the Position Holder	Registration for Existing Position Holder	Mandatory
	Registration for New Position Holder	Mandatory
Proof of Identity -	Registration for New Position Holder Individual	Mandatory
Supporting Document - Any supporting document. These are typically proof of name changes from the original registration document.	All SSR Registration Case Types	Optional

Select the '**Upload Files**' button to browse and select the document/s you wish to upload. Alternatively, drag and drop file/s into the '**Or Drop files**' text area.

Once the files have been uploaded to the case successfully, they will appear in the '**Document(s) ready for submission**' section and the status of the '**Document Upload**' section will change to '**Ready to Submit**'.

Select the '**Save**' button.

Step 3: Submit the Case

Click into the hyperlinked '**I agree terms & conditions**' text to read the submission terms and conditions. Click into the checkbox to confirm your agreement with the terms and conditions.

FORM	STATUS	REQUIRED
Registration Details	<input checked="" type="checkbox"/> Ready to Submit	(Yes) Edit
Document Upload	<input checked="" type="checkbox"/> Ready to Submit	(Yes) Edit
I agree terms & conditions		Submit Case

Once you have completed all necessary information in the case and agreed to the terms and conditions, the '**Submit Case**' button will be enabled (no longer greyed out). Select the '**Submit Case**' button to submit the case to us for review.

The case will now appear in the '**Submitted**' cases section of your '**My Cases**' screen.

You will be redirected to the following page which provides you with a Case Reference Number and a Case Status (shown below).

Registration for New Position Holder Firm			
? Help Checklist			
Case Reference Number	00220487		
Case Status	Open		
Closed On			
Closed By			
Date/Time Opened	Friday, 31 Jan 20, 13:53		
Opened By	Scott Walker (Portal)		
Last Submitted By	Scott Walker (Portal)		
Last Submitted On	Friday, 31 Jan 20, 17:31		
Form	Status	Required	
Registration Details	Submitted	(Yes)	View
Document Upload	Submitted	(Yes)	View

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Once a SSR registration case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change from **Draft** to **Open**, and the case will now be listed on the **Submitted** tab of the **My Cases** page.

The case status will remain open until a member of the Position Monitoring Unit has reviewed the registration form. Upon review, it will either be approved or rejected and the case will be closed. You will receive an email detailing the case outcome.



If you have submitted a registration case but some details are incorrect or you need to withdraw the case, please notify PMU immediately by emailing pmu@fca.org.uk

Short selling notification forms

Once you have been registered as a reporting person on behalf of a Position Holder, you will then be able to submit short selling notifications. The option of '**Short Selling Notifications**' will now be available for selection from the '**Select Case Category**' screen.

Firstly, complete [**Step 1: Create a new SSR case**](#)

i. NSP Share Notification - New

To notify us of a new share position, you must complete the necessary fields within the '**NSP Share Notification – New**' online form (shown below).

Firstly, complete **Step 1: Create a new SSR case** and select the '**NSP Share Notification – New**' case type.

The screenshot shows a web-based form titled 'NSP Share Notification - New'. The form is organized into several sections:

- POSITION HOLDER DETAILS:** Contains a dropdown menu labeled 'Select Position Holder' with the placeholder 'Choose one..'. Below it is a text input field for 'Position Holder ID'.
- NET SHORT POSITION DETAILS:** Contains five text input fields, each marked with an asterisk (*) to indicate it is mandatory:
 - 'Position Date'
 - 'Issuer ISIN Code'
 - 'Issuer Full Name'
 - 'Number of equivalent shares'
 - '% of issued share capital'
- Footer:** Includes a 'Back to Case' button and a 'Save' button.

You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

If any of the pre-populated values are incorrect, please notify us at: pmu@fca.org.uk

The system fields contain data validation combinations that will not allow you to submit a notification for an invalid scenario based on your last position. For example, if your last position disclosed for an ISIN was below the notifiable threshold of 0.2%, the system will not allow you to submit a notification below 0.2%.

You can save the record at any time by clicking the '**Save**' button.

Once you have entered valid values in all mandatory fields, ensure you click on the '**Save**' button. This will allow you to submit the notification.

The status of the case will now change to '**Ready to Submit**'.

FORM	STATUS	REQUIRED
NSP Share Notification - New	 Ready to Submit	(Yes)
<input type="button" value="Edit"/>		

Next complete [**Step 3: Submit the Case**](#) to send us your notification.

Once an SSR notification case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change once submitted. Please see the table below to understand what happens next.

Case Status		Next Steps
Closed	The case will now be listed on the Closed tab of the My Cases page.	No further action from you is required. Your submitted notification has passed all validations.
Open	The case will now be listed on the Open tab of the My Cases page.	Your submitted notification has not passed all the required checks and requires a review by PMU.
Draft	The case will now be listed on the Draft tab of the My Cases page.	Your notification has not yet been submitted.



Once a notification case is submitted, you can still view the notification details. You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

ii. NSP share notification – correct

If you have submitted an NSP share notification to us but some of the details were incorrect, you must notify us by completing and submitting a '**NSP Share Notification – Correct**' case type.

Firstly complete [**Step 1: Create a new SSR case**](#) and select the '**NSP Share Notification – Correct**' case type.

You will be redirected to an online case form. Select the '**Start**' button to continue.

FORM	STATUS	REQUIRED
NSP Share Notification - Correct	 Not Started	(Optional)
<input type="button" value="Start"/>		

You will be redirected to the following screen:

 NSP Share Notification - Correct

POSITION DETAILS

* Position ID

Enter the '**Position ID**' related to the notification you would like to correct.

You will be redirected to the following online case form (shown below):

 NSP Share Notification - Correct

POSITION DETAILS

* Position ID

PID00020769

Position Holder Name

Rahul Position Holder - PH000121

Position Holder ID

PH000121

Type Of Notification

NSP Share Notification - Correct

NET SHORT POSITION DETAILS

* Position Date

29-Jan-2020

Issuer ISIN Code

GB00B126KH97

Issuer Full Name

DEBENHAMS PLC

* Number of equivalent shares

1,000,000

* % of issued share capital

0.62

* Comments

Previous Comments

Complete the remainder of the form and then complete **Step 3: Submit the Case.**

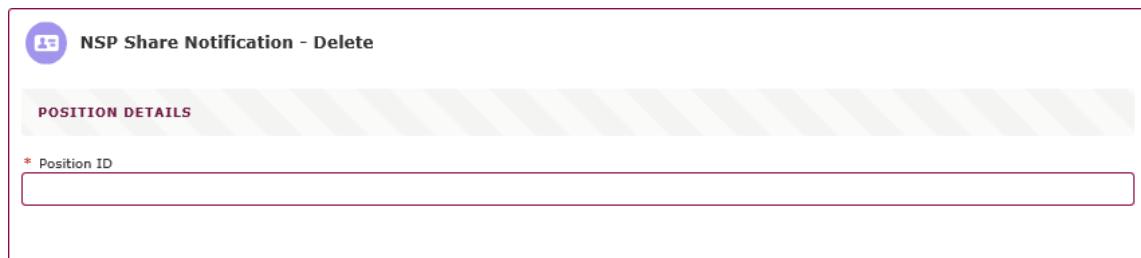
All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**.

iii. NSP share notification - delete

If you have submitted an SSR notification to us in error and you wish to withdraw the notification, you must notify us by completing and submitting a '**NSP Share Notification – Delete**' case type.

Firstly complete [**Step 1: Create a new SSR case**](#) and select the '**NSP Share Notification – Delete**' case type.

You will be redirected to the following screen:



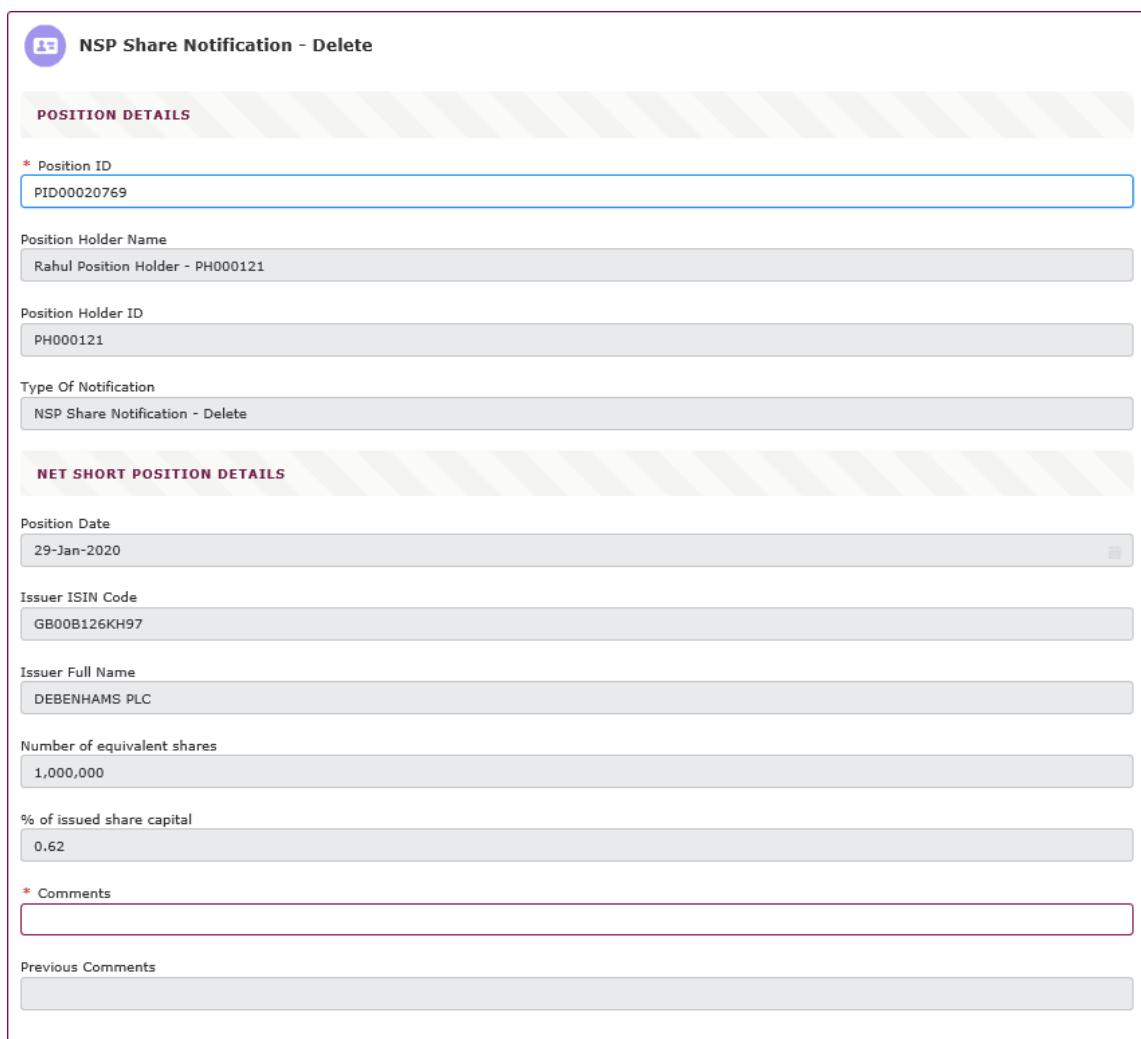
NSP Share Notification - Delete

POSITION DETAILS

* Position ID

Enter the '**Position ID**' related to the notification you would like to delete.

You will be redirected to the following online case form (shown below).



NSP Share Notification - Delete

POSITION DETAILS

* Position ID
PID00020769

Position Holder Name
Rahul Position Holder - PH000121

Position Holder ID
PH000121

Type Of Notification
NSP Share Notification - Delete

NET SHORT POSITION DETAILS

Position Date
29-Jan-2020

Issuer ISIN Code
GB00B126KH97

Issuer Full Name
DEBENHAMS PLC

Number of equivalent shares
1,000,000

% of issued share capital
0.62

* Comments

Previous Comments

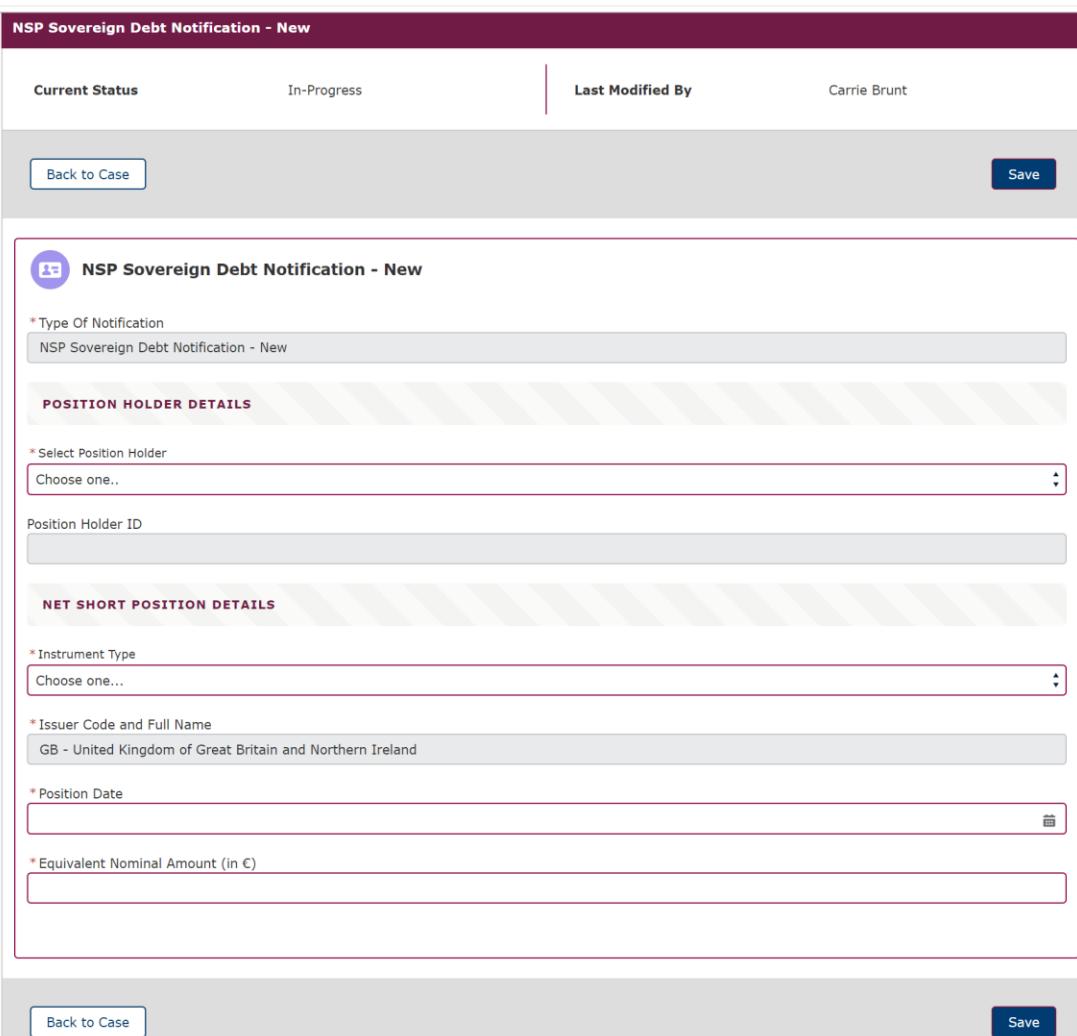
Complete the remainder of the form and then complete [**Step 3: Submit the Case**](#).

All notification **delete cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**.

iv. NSP sovereign debt notification – new

To notify us of a new sovereign debt position, you must complete the necessary fields within the '**NSP Sovereign Debt Notification – New**' online form (shown below).

Firstly complete [**Step 1: Create a new SSR case**](#) and select the '**NSP Sovereign Debt Notification – New**' case type.



The screenshot shows the 'NSP Sovereign Debt Notification - New' form. At the top, there is a header bar with the title and a progress indicator 'In-Progress'. Below the header, there are buttons for 'Back to Case' and 'Save'. The main form area is divided into sections: 'POSITION HOLDER DETAILS' and 'NET SHORT POSITION DETAILS'. Each section contains dropdown menus for selecting values. The 'POSITION HOLDER DETAILS' section includes fields for 'Select Position Holder' and 'Position Holder ID'. The 'NET SHORT POSITION DETAILS' section includes fields for 'Instrument Type', 'Issuer Code and Full Name' (with 'GB - United Kingdom of Great Britain and Northern Ireland' selected), 'Position Date', and 'Equivalent Nominal Amount (in €)'. The entire form is contained within a light gray box with a red border.

You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

The Position Holder ID will be auto-populated and non-editable once you complete the '**Select Position Holder**' field.

If any of the pre-populated values are incorrect, please notify us at pmu@fca.org.uk.

You can save the record at any time by clicking the '**Save**' button.

Once you have entered valid values in all mandatory fields, ensure you click on the '**Save**' button. This will allow you to submit the notification.

The status of the case will now change to '**Ready to Submit**'.

FORM	STATUS	REQUIRED
NSP Share Notification - New	 Ready to Submit	(Yes)

Next complete [**Step 3: Submit the Case**](#) to send us your notification.

Once a NSP sovereign debt notification case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change once submitted. Please see the table below to understand what happens next.

Case Status		Next Steps
Closed	The case will now be listed on the Closed tab of the My Cases page.	No further action from you is required. Your submitted notification has passed all validations.
Open	The case will now be listed on the Open tab of the My Cases page.	Your submitted notification has not passed all the required checks and requires a review by PMU.
Draft	The case will now be listed on the Draft tab of the My Cases page.	Your notification has not yet been submitted.



Once a notification case is submitted, you can still view the notification details. You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

v. NSP sovereign debt notification - correct

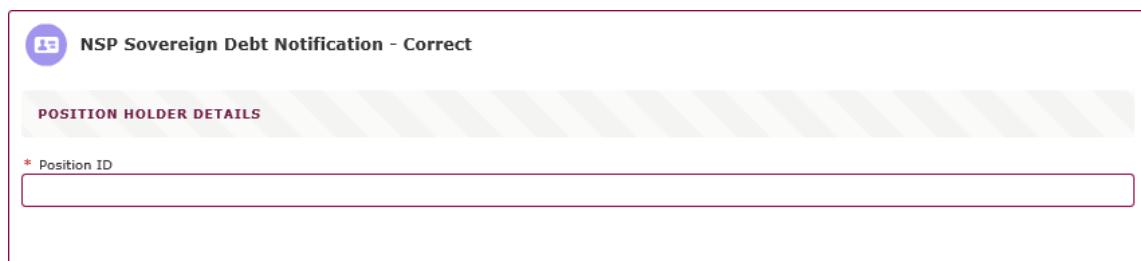
If you have submitted a '**NSP Sovereign Debt – New**' notification to us but some of the details were incorrect, you must notify us by completing and submitting a '**NSP Sovereign Debt Notification – Correct**' case type.

Firstly complete [**Step 1: Create a new SSR case**](#) and select the '**NSP Sovereign Debt Notification – Correct**' case type.

You will be redirected to the following screen. Select the '**Start**' button to continue.

FORM	STATUS	REQUIRED
NSP Sovereign Debt Notification - Correct	<input type="radio"/> Not Started (Yes)	Start

You will be redirected to the following screen:



NSP Sovereign Debt Notification - Correct

POSITION HOLDER DETAILS

* Position ID

Enter the '**Position ID**' related to the notification you would like to correct.

You will be redirected to the following online case form (shown below).

 NSP Sovereign Debt Notification - Correct

POSITION HOLDER DETAILS

* Position ID
PID00020770 X

Position Holder Name
Rahul Position Holder - PH000121

Position Holder ID
PH000121

Type Of Notification
NSP Sovereign Debt Notification - Correct

NET SHORT POSITION DETAILS

Instrument Type
Sovereign Debt

Issuer Code and Full Name
GB - United Kingdom of Great Britain and Northern Ireland

* Position Date
29-Jan-2020 Calendar icon

* Equivalent Nominal Amount (in €)
1

* Comments
[Empty text area]

Complete the remainder of the form and then complete [**Step 3: Submit the Case**](#).

All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**

vi. NSP sovereign debt notification – delete

If you have submitted a Sovereign Debt notification to us in error and you wish to withdraw the notification, you must notify us by completing and submitting a '**NSP Sovereign Debt Notification – Delete**' case type.

Firstly complete [**Step 1: Create a new SSR case**](#) and select the '**NSP Sovereign Debt Notification – Delete**' case type.

You will be redirected to the following screen:

 NSP Sovereign Debt Notification - Delete

POSITION HOLDER DETAILS

* Position ID

Enter a valid '**Position ID**' related to the notification you would like to delete.

You will be redirected to an online case form (shown below).

 NSP Sovereign Debt Notification - Delete

POSITION HOLDER DETAILS

* Position ID

X

Position Holder Name

Position Holder ID

Type Of Notification

NET SHORT POSITION DETAILS

Instrument Type

Issuer Code and Full Name

Position Date

Equivalent Nominal Amount (in €)

* Comments

Complete the remainder of the form and then complete [**Step 3: Submit the Case.**](#)

All notification delete cases will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the Closed section of My Cases.

SSR technical and process support

Technical system support

If you have any technical system questions or issues e.g. you cannot reset your password, you are unable to upload a document or you cannot log in, please contact our Operational Support team on:

020 7066 8348 or LTadmin@fca.org.uk

SSR registration or notification specific process support

If you have any SSR registration or notification specific process questions or issues e.g. you want to know the deadlines for submitting notifications or where you can view the daily published notifications, please either:

Review our [SSR webpages](#) or contact the Position Monitoring Unit (PMU) on: PMU@fca.org.uk