

# **Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5)**

## **User Guide**

3.0

September 2021

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## Overview

Under the Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5), shareholders and holders of financial instruments falling within DTR 5.3.1R (1) must submit a notification when a reportable threshold is crossed (DTR 5.1.2).

This User Guide has been prepared to enable you to complete the following activities:

- register to use the Electronic Submission System (ESS).
- register to submit a Major Shareholdings Notification under DTR 5.
- submit a new Major Shareholdings Notification.
- upload financial instruments by using a CSV file.
- send a subsequent Major Shareholdings Notification.
- correct an existing Major Shareholdings Notification.
- delete a Major Shareholdings Notification.

You can find additional information on submitting a Major Shareholdings Notification by visiting the [Shareholding notification and disclosure pages on the FCA.org.uk](#).

You can access the Disclosure Guidance and Transparency Rules Chapter 5 [here](#).

## Before you start

We recommend you use **Google Chrome** or **Microsoft Edge (Chromium)** as your browser when accessing the Electronic Submission System (ESS).

# Step 1 - How to complete the Electronic Submission System (ESS) registration



If you are already registered to use the Electronic Submission System (ESS) you do not need to complete Step 1 and can proceed immediately to Step 2.

## 1.1 Accessing the ESS system

If you wish to submit documents securely to the FCA, you will have to first register with the **Electronic Submission System** for access.

## 1.2 Registering for system access

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



The ESS does not accept group email addresses as it poses security risks so 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 register for system access, follow these simple procedures

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



**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 on 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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Enter your registration details as required on ESS, then **Submit**

**Electronic Submission System - User Registration Request**

**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 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, contact number and fax) will be used on all cases where you are named as the Primary Contact.
- If you are an individual using a personal email domain address (i.e.: @hotmail, @gmail, etc) you will have to provide your full name on the "Company Name" field.



Please note – If you are an individual who will only use ESS to submit Short Selling and/or Major shareholdings notifications, and are not associated to a firm, you can register for an ESS account with a personal email domain address, e.g. @ hotmail, @gmail etc. If you do so, you will not be permitted to submit any other notification type.

Click on **I Accept** to accept the terms and conditions



**Electronic Submission System**

**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](#).

**I Accept**

Cancel

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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.

OK

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

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

### 1.3 Activating your ESS 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 

\* New Password

\* Confirm New 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: !#\$%&-'\_+=<>

## 1.4 If your ESS 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.

## 1.5 Logging in

When you log into ESS in future, you will need to enter your username and password and click on **Login**. Enter the username in lowercase.



**Electronic Submission System Login**

---

**Important Notices**

---

**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.*

After 5 unsuccessful login attempts, your account will be locked for 30 minutes.

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.

david@bigcompanyplc.com [Log Out](#)

### Electronic Submission System Login

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.

**I Accept**

[Next](#)

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

## 1.6 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.

**Electronic Submission System**

 **DAVID SMITH**

[HOME](#)   [GET HELP](#)   [CHANGE PASSWORD](#)   [MY PROFILE](#)

[My Profile](#)  
[Logout](#)



Please ensure you have saved all information you have entered before you log out.

## 1.7 Help with using ESS.

If you need help or advice about using ESS then you can contact us.



You can find out more information about contacting the [ESS Portal Support Team here.](#)

# Step 2 - How to complete the Major Shareholdings Registration – DTR 5

Once your ESS registration has been confirmed and you have activated your ESS account you are now able to complete Step 2 Major Shareholdings Registration – DTR 5 on ESS.

## 2.1 Accessing the ESS system

To begin the Step 2 registration process you will need to log into [ESS](#).

### Login

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

Username  ?

Password  ?

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

You will be taken to your ESS User Interface Page shown below.

### Electronic Submission System

ANGELA CORNELI

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

My Cases

Case Number  Organisation Name

Drafts (2) Submitted (2) Closed (0)

Show 10 Search in 2 records

| CASE NUMBER | TEAM | CASE TYPE                                 | ORGANISATION | CREATED DATE     |
|-------------|------|-------------------------------------------|--------------|------------------|
| 00368777    | PMU  | Registration for New Position Holder Firm |              | 12/11/2020 20:13 |
| 00368776    | PMU  | Registration for New Position Holder Firm |              | 12/11/2020 20:11 |

Prev 1 Next

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[Accessibility Statement](#)

## 2.2 Do you need to complete the registration process for Short Selling Regulation (SSR)?

To be able to submit a net short position notification to us on behalf of a position holder (whether a firm or an individual), the person making the notification (the reporting person) must be registered with us.

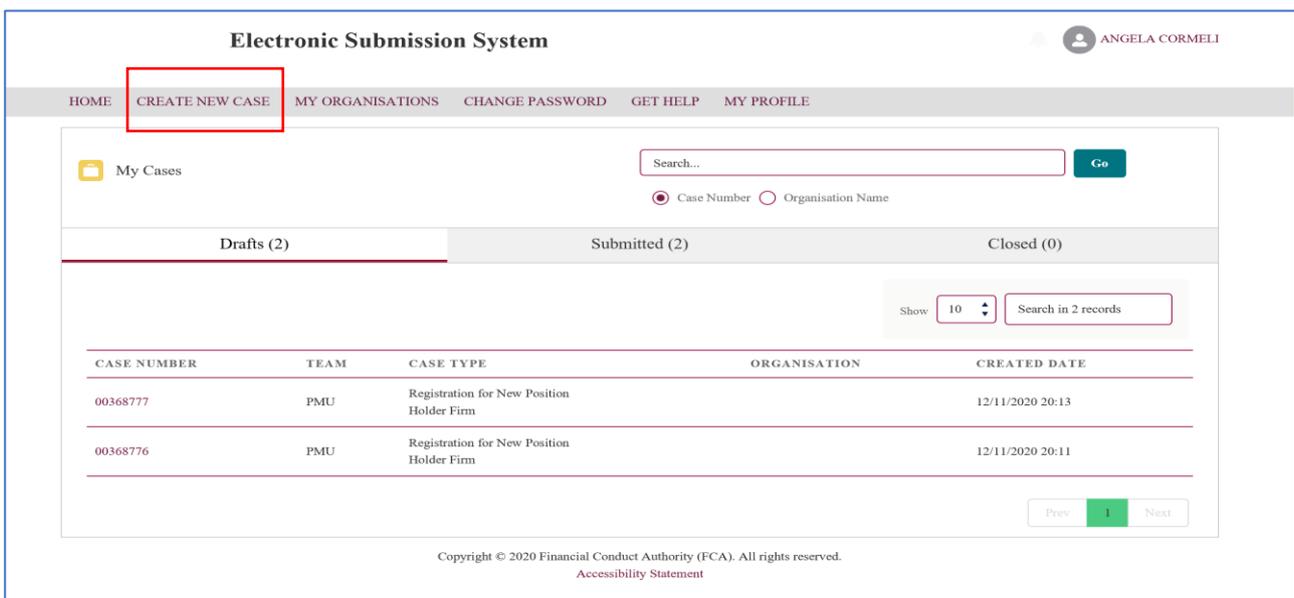
If you are making notifications for yourself as an individual, you will still need to be registered as a reporting person beforehand.

You will not be able to send any notifications until we have accepted your registration.

You can complete your Short Selling Regulation Registration at the same time as completing your DTR 5 Registration.

## 2.3 Selecting your DTR 5 Registration Process

Select **Create New Case** from the menu at the top of the User Interface Page.



The screenshot displays the 'Electronic Submission System' interface. At the top, a navigation menu includes 'HOME', 'CREATE NEW CASE' (highlighted with a red box), 'MY ORGANISATIONS', 'CHANGE PASSWORD', 'GET HELP', and 'MY PROFILE'. The user's name 'ANGELA CORMELI' is visible in the top right corner. Below the navigation, there is a search bar with a 'Go' button and radio buttons for 'Case Number' (selected) and 'Organisation Name'. The main content area is divided into three tabs: 'Drafts (2)', 'Submitted (2)', and 'Closed (0)'. The 'Submitted (2)' tab is active, showing a table of cases. The table has columns for 'CASE NUMBER', 'TEAM', 'CASE TYPE', 'ORGANISATION', and 'CREATED DATE'. Two records are listed, both for 'PMU' and 'Registration for New Position Holder Firm', with creation dates of '12/11/2020 20:13' and '12/11/2020 20:11'. A pagination control shows 'Show 10' and 'Search in 2 records'. At the bottom, there are 'Prev', '1', and 'Next' buttons. The footer contains the copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved. Accessibility Statement'.

| CASE NUMBER | TEAM | CASE TYPE                                 | ORGANISATION | CREATED DATE     |
|-------------|------|-------------------------------------------|--------------|------------------|
| 00368777    | PMU  | Registration for New Position Holder Firm |              | 12/11/2020 20:13 |
| 00368776    | PMU  | Registration for New Position Holder Firm |              | 12/11/2020 20:11 |

This will take you to the case categories page shown below

The screenshot shows the 'Electronic Submission System' interface. At the top right, the user's name 'ANGELA CORNELI' is displayed next to a profile icon. A navigation bar contains links for 'HOME', 'CREATE NEW CASE', 'MY ORGANISATIONS', 'CHANGE PASSWORD', 'GET HELP', and 'MY PROFILE'. Below this is a 'Case Categories' section with a search bar containing the text 'Search Case Category or Case Type here to create a new case'. Underneath the search bar is a 'Select Case Category' menu with four options: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY', 'ISSUER MANAGEMENT', 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', and 'NATIONAL STORAGE MECHANISM'. At the bottom of the page, there is a copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved. Accessibility Statement'.

Select **Short Selling and or Major Shareholdings Registration Request Forms** from the **Case Category Menu**

This is a close-up of the 'Select Case Category' menu. The menu has a dark red header with the text 'Select Case Category'. Below the header are four menu items, each with a right-pointing chevron: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY', 'ISSUER MANAGEMENT', 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', and 'NATIONAL STORAGE MECHANISM'. The third item, 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', is highlighted with a red rectangular border.

You will then need to choose the appropriate case which best describes your situation, from the displayed list and then select the create case button.

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

You will also be able to complete your SSR: Short Selling Regulation registration process at the same time if you wish to do so.

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >

ISSUER MANAGEMENT >

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS v

**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

NATIONAL STORAGE MECHANISM >

## 2.4 Registration for Existing Position Holder

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

Once you have selected the Registration for Existing Position Holder you will be taken to the Registration Overview page as shown below.

**Registration for Existing Position Holder**

? Help ✓ Checklist

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368784 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 13:37 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cornell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS                            | REQUIRED |       |
|----------------------|-----------------------------------|----------|-------|
| Registration Details | <input type="radio"/> Not Started | (Yes)    | Start |
| Document Upload      | <input type="radio"/> Not Started | (Yes)    | Start |

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

| Registration Details                |                                                      |
|-------------------------------------|------------------------------------------------------|
| <b>Current Status</b>               | In-Progress                                          |
| <b>Last Modified By</b>             | Angela Cormell                                       |
| <a href="#">Back to Case</a>        | <a href="#">Save</a>                                 |
| <b>Position Holder Details</b>      |                                                      |
| * Position Holder ID                | <input type="text"/>                                 |
| * Position Holder Full Company Name | <input type="text"/>                                 |
| <b>Reporting Person Details</b>     |                                                      |
| First Name                          | Angela                                               |
| Last Name                           | Cormell                                              |
| Full company name                   | FCA                                                  |
| Mailing Street                      | The Financial Conduct Authority, 12 Endeavour Square |
| Mailing City                        | London                                               |

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

| Registration for Existing Position Holder |                                |                                                    |                         |
|-------------------------------------------|--------------------------------|----------------------------------------------------|-------------------------|
|                                           |                                | <a href="#">? Help</a> <a href="#">✓ Checklist</a> |                         |
| <b>Case Reference Number</b>              | 00368784                       | <b>Date/Time Opened</b>                            | Friday, 13 Nov 20 13:37 |
| <b>Case Status</b>                        | Draft                          | <b>Opened By</b>                                   | Angela Cormell          |
| <b>Closed On</b>                          |                                | <b>Last Submitted By</b>                           |                         |
| <b>Closed By</b>                          |                                | <b>Last Submitted On</b>                           |                         |
| FORM                                      | STATUS                         | REQUIRED                                           |                         |
| Registration Details                      | <span>✓ Ready to Submit</span> | (Yes)                                              | <a href="#">Edit</a>    |
| Document Upload                           | <span>○ Not Started</span>     | (Yes)                                              | <a href="#">Start</a>   |

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

**Document Upload**

|                         |                |
|-------------------------|----------------|
| <b>Current Status</b>   | In-Progress    |
| <b>Last Modified By</b> | Angela Cormell |

Back to Case
Save

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (mandatory)  
 - Certificate of Incorporation (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure Guidance and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory)  
 - Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

**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

-- None --

Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (Mandatory)  
 - Certificate of Incorporation (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory)  
 - Any other supporting documents (optional)

**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

-- None --

Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document from the drop-down menu and then select Upload File to upload the document from your computer files.

*The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.*

### 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

-- None --  
 Certificate of Incorporation  
 Authorisation Document for DTR5  
 Authorisation Letter for SSR or Combined Request  
 Supporting Document  
 Proof of Identity

 Or drop files

*mission by clicking the "Remove" button below.*

| DOCUMENT TYPE | FILE NAME | VERSION | REMOVE FROM SUBMISSION | DOWNLOAD |
|---------------|-----------|---------|------------------------|----------|
|               |           |         |                        |          |

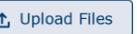
Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **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

-- None --

 Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

#### Document(s) ready for submission

| DOCUMENT TYPE                   | FILE NAME                             | VERSION | REMOVE FROM SUBMISSION                                                    | DOWNLOAD                                                                              |
|---------------------------------|---------------------------------------|---------|---------------------------------------------------------------------------|---------------------------------------------------------------------------------------|
| Authorisation Document for DTR5 | Authorisation Document for DTR 5.docx | 1       | <a href="#" style="border: 1px solid gray; padding: 2px 10px;">Remove</a> |  |

#### Submitted Document(s)

| DOCUMENT TYPE | FILE NAME | VERSION | SUBMITTED DATE AND TIME | DOWNLOAD |
|---------------|-----------|---------|-------------------------|----------|
|               |           |         |                         |          |

Back to Case

Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

**Registration for Existing Position Holder**

[? Help](#)   [✓ Checklist](#)

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368784 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 13:37 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS            | REQUIRED |                      |
|----------------------|-------------------|----------|----------------------|
| Registration Details | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |
| Document Upload      | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |

I agree terms & conditions

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If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

**Registration for Existing Position Holder**

[? Help](#)   [✓ Checklist](#)

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368784 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 13:37 |
| <b>Case Status</b>           | Open     | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> | Angela Cormell          |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> | Friday, 13 Nov 20 14:40 |

| FORM                 | STATUS      | REQUIRED |                      |
|----------------------|-------------|----------|----------------------|
| Registration Details | ✓ Submitted | (Yes)    | <a href="#">View</a> |
| Document Upload      | ✓ Submitted | (Yes)    | <a href="#">View</a> |

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A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

**Your DTR 5 Registration is now complete.**

## 2.5 Registration for New Position Holder Firm

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

Once you have selected the Registration for New Position Holder Firm, you will be taken to the Registration Overview page as shown below.

**Registration for New Position Holder Firm**

? Help ✓ Checklist

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368785 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 16:03 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cornell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS                            | REQUIRED |              |
|----------------------|-----------------------------------|----------|--------------|
| Registration Details | <input type="radio"/> Not Started | (Yes)    | <b>Start</b> |
| Document Upload      | <input type="radio"/> Not Started | (Yes)    | Start        |

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

**Position Holder Details**

\* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

\* Mailing Street

\* Mailing City

\* Mailing State/Province

\* Mailing ZIP/Postcode

\* Country

**REPORTING PERSON & CONTACT PERSON DETAILS**

**Contact Person**

\* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

**Registration for New Position Holder Firm**

? Help ✓ Checklist

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368786 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 20:48 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS                            | REQUIRED |              |
|----------------------|-----------------------------------|----------|--------------|
| Registration Details | <input type="radio"/> Not Started | (Yes)    | <b>Start</b> |
| Document Upload      | <input type="radio"/> Not Started | (Yes)    | Start        |

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

**Document Upload**

**Current Status** In-Progress | **Last Modified By** Angela Cormell

[Back to Case](#) [Save](#)

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (mandatory)  
 - Certificate of Incorporation (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure Guidance and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory)  
 - Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

**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

-- None -- [Upload Files](#) Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

*The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.*

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (Mandatory)  
 - Certificate of Incorporation (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory)  
 - Any other supporting documents (optional)

**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

-- None --  Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document files from the drop-down menu and then select Upload File to upload the document from your computer files.

*The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.*

**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

-- None --  
 Certificate of Incorporation  
 Authorisation Document for DTR5  
 Authorisation Letter for SSR or Combined Request  
 Supporting Document  
 Proof of Identity

Or drop files

*mission by clicking the "Remove" button below.*

| DOCUMENT TYPE | FILE NAME | VERSION | REMOVE FROM SUBMISSION | DOWNLOAD |
|---------------|-----------|---------|------------------------|----------|
|---------------|-----------|---------|------------------------|----------|

Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **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

-- None --

Upload Files
Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the **"Remove"** button below.

**Document(s) ready for submission**

| DOCUMENT TYPE                   | FILE NAME                             | VERSION | REMOVE FROM SUBMISSION                                                                           | DOWNLOAD                                    |
|---------------------------------|---------------------------------------|---------|--------------------------------------------------------------------------------------------------|---------------------------------------------|
| Authorisation Document for DTR5 | Authorisation Document for DTR 5.docx | 1       | <a href="#" style="border: 1px solid #ccc; padding: 2px 10px; text-decoration: none;">Remove</a> | <a href="#" style="font-size: 1.2em;">↓</a> |

**Submitted Document(s)**

| DOCUMENT TYPE | FILE NAME | VERSION | SUBMITTED DATE AND TIME | DOWNLOAD |
|---------------|-----------|---------|-------------------------|----------|
|               |           |         |                         |          |

Back to Case

Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

**Registration for New Position Holder Firm**

[? Help](#)   [✓ Checklist](#)

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368786 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 20:48 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS            | REQUIRED |                                                                                                |
|----------------------|-------------------|----------|------------------------------------------------------------------------------------------------|
| Registration Details | ✔ Ready to Submit | (Yes)    | <a href="#" style="border: 1px solid #ccc; padding: 2px 10px; text-decoration: none;">Edit</a> |
| Document Upload      | ✔ Ready to Submit | (Yes)    | <a href="#" style="border: 1px solid #ccc; padding: 2px 10px; text-decoration: none;">Edit</a> |

I agree terms & conditions

Submit Case

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

**Registration for New Position Holder Firm**

[? Help](#)   [✓ Checklist](#)

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368786 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 20:48 |
| <b>Case Status</b>           | Open     | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> | Angela Cormell          |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> | Friday, 13 Nov 20 20:52 |

| FORM                 | STATUS      | REQUIRED |                      |
|----------------------|-------------|----------|----------------------|
| Registration Details | ✓ Submitted | (Yes)    | <a href="#">View</a> |
| Document Upload      | ✓ Submitted | (Yes)    | <a href="#">View</a> |

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

**Your DTR 5 Registration is now complete.**

## 2.6 Registration for New Position Holder Individual

Use this option to register a new Position Holder individual.

Once you have selected the Registration for New Position Holder Individual you will see the following advisory information has shown below. The box headed up 'Before you start' sets out the documents you will need to upload to ESS in order to complete the registration. For clarification, the advice is detailed below.

### **For short selling only:**

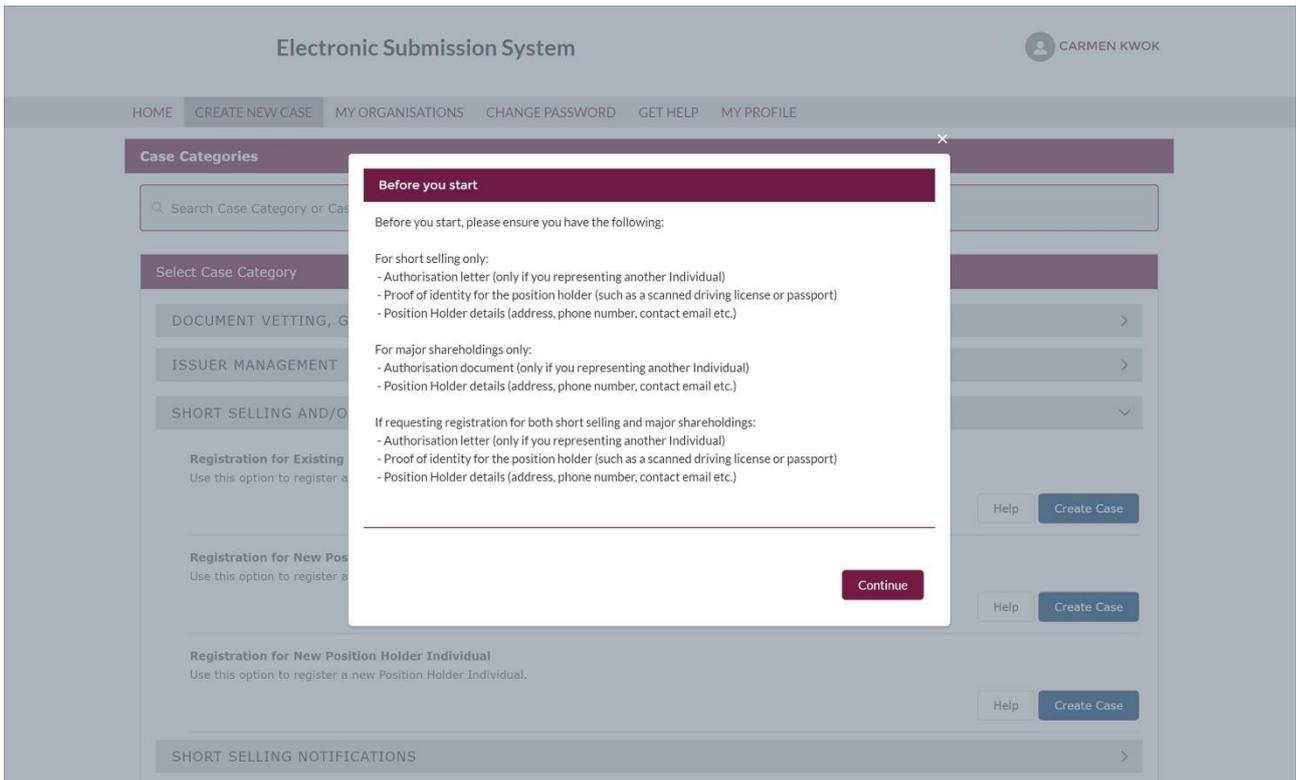
- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)

### **For major shareholdings only:**

- Authorisation document (only if you are representing another Individual)
- Position Holder details (address, phone number, contact email etc.)

### **If requesting registration for both short selling and major shareholdings:**

- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)



Once you have select **Continue** you will be taken to the Registration Overview page as shown below.

| Registration for New Position Holder Individual |                                   |                                                 |              |
|-------------------------------------------------|-----------------------------------|-------------------------------------------------|--------------|
| <b>Case Reference Number</b> 00368787           |                                   | <b>Date/Time Opened</b> Friday, 13 Nov 20 20:59 |              |
| <b>Case Status</b> Draft                        |                                   | <b>Opened By</b> Angela Cormell                 |              |
| <b>Closed On</b>                                |                                   | <b>Last Submitted By</b>                        |              |
| <b>Closed By</b>                                |                                   | <b>Last Submitted On</b>                        |              |
| FORM                                            | STATUS                            | REQUIRED                                        |              |
| Registration Details                            | <input type="radio"/> Not Started | (Yes)                                           | <b>Start</b> |
| Document Upload                                 | <input type="radio"/> Not Started | (Yes)                                           | Start        |

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

**N.B Although the displayed proforma asks you to enter the full company name when registering as an individual please enter your personal details.**

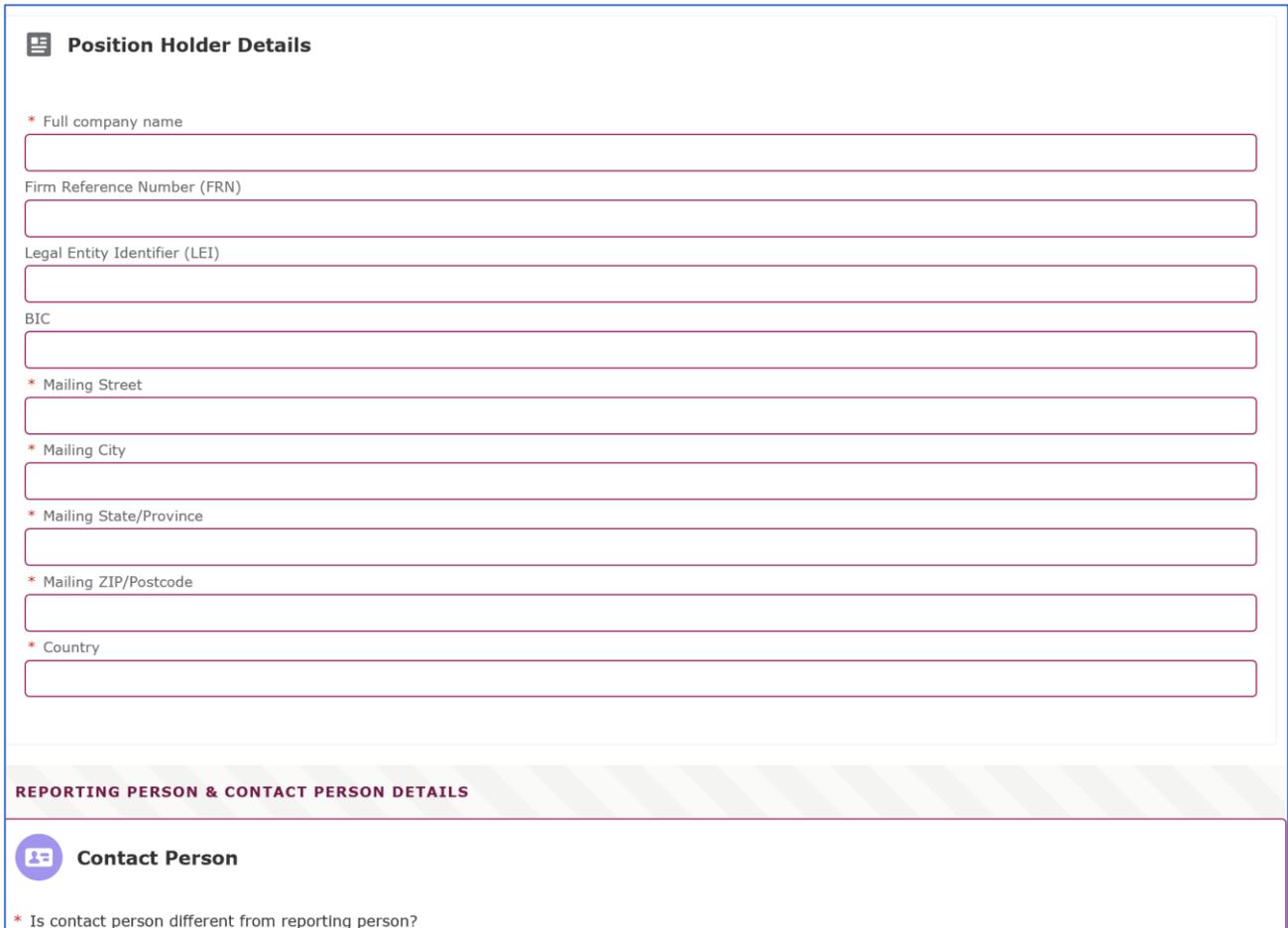


**Position Holder Details**

If Request is for New Position Holder Individual, Please enter Individual Full name

Full company name

BIC



**Position Holder Details**

\* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

\* Mailing Street

\* Mailing City

\* Mailing State/Province

\* Mailing ZIP/Postcode

\* Country

**REPORTING PERSON & CONTACT PERSON DETAILS**

**Contact Person**

\* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

**Registration for New Position Holder Individual**

? Help ✓ Checklist

|                              |          |                          |                         |
|------------------------------|----------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00368788 | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 21:01 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cornell          |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS            | REQUIRED |                       |
|----------------------|-------------------|----------|-----------------------|
| Registration Details | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a>  |
| Document Upload      | ○ Not Started     | (Yes)    | <a href="#">Start</a> |

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box.

**Document Upload**

**Current Status** In-Progress | **Last Modified By** Carmen Kwok

[Back to Case](#) [Save](#)

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (mandatory if you are representing another individual)  
 - Proof of Identity (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory if you are representing another individual)  
 - Any other supporting documents (optional)

**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  
 -- None -- [Upload Files](#) Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

**Document(s) ready for submission**

| DOCUMENT TYPE | FILE NAME | VERSION | REMOVE FROM SUBMISSION | DOWNLOAD |
|---------------|-----------|---------|------------------------|----------|
|---------------|-----------|---------|------------------------|----------|

**Submitted Document(s)**

| DOCUMENT TYPE | FILE NAME | VERSION | SUBMITTED DATE AND TIME | DOWNLOAD |
|---------------|-----------|---------|-------------------------|----------|
|---------------|-----------|---------|-------------------------|----------|

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

*The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.*

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (Mandatory)  
 - Certificate of Incorporation (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory)  
 - Any other supporting documents (optional)

**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  
 -- None -- Upload Files Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

**Document Upload**

**Current Status** In-Progress **Last Modified By** Carmen Kwok

Back to Case Save

**SSR: Short Selling Regulation**  
 You will require the following documents  
 - Authorisation Letter (mandatory if you are representing another individual)  
 - Proof of Identity (mandatory for a new Position Holder)  
 - Any other supporting documents (optional)

**DTR5: Disclosure and Transparency Rules, Chapter 5**  
 You will require the following documents  
 - Authorisation Document for DTR5 (mandatory if you are representing another individual)  
 - Any other supporting documents (optional)

**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  
 -- None -- Upload Files Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

| DOCUMENT TYPE                             | FILE NAME | VERSION | REMOVE FROM SUBMISSION | DOWNLOAD |
|-------------------------------------------|-----------|---------|------------------------|----------|
| Proof of Identity                         |           |         |                        |          |
| Supporting Document for new PH Individual |           |         |                        |          |

**Submitted Document(s)**

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

**Registration for New Position Holder Individual**

[? Help](#) [✓ Checklist](#)

|                              |                 |                          |                         |
|------------------------------|-----------------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | <b>00368788</b> | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 21:01 |
| <b>Case Status</b>           | Draft           | <b>Opened By</b>         | Angela Cornell          |
| <b>Closed On</b>             |                 | <b>Last Submitted By</b> |                         |
| <b>Closed By</b>             |                 | <b>Last Submitted On</b> |                         |

| FORM                 | STATUS            | REQUIRED |                      |
|----------------------|-------------------|----------|----------------------|
| Registration Details | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |
| Document Upload      | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |

I agree terms & conditions [Submit Case](#)

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

| Registration for New Position Holder Individual |                                                |                          |                                                    |
|-------------------------------------------------|------------------------------------------------|--------------------------|----------------------------------------------------|
|                                                 |                                                |                          | <a href="#">? Help</a> <a href="#">✓ Checklist</a> |
| <b>Case Reference Number</b>                    | <b>00368788</b>                                | <b>Date/Time Opened</b>  | Friday, 13 Nov 20 21:01                            |
| <b>Case Status</b>                              | Open                                           | <b>Opened By</b>         | Angela Cormell                                     |
| <b>Closed On</b>                                |                                                | <b>Last Submitted By</b> | Angela Cormell                                     |
| <b>Closed By</b>                                |                                                | <b>Last Submitted On</b> | Friday, 13 Nov 20 21:14                            |
| FORM                                            | STATUS                                         | REQUIRED                 |                                                    |
| Registration Details                            | <span style="color: green;">✓</span> Submitted | (Yes)                    | <a href="#">View</a>                               |
| Document Upload                                 | <span style="color: green;">✓</span> Submitted | (Yes)                    | <a href="#">View</a>                               |

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

**Your DTR 5 Registration is now complete.**

## 3.0 Major Shareholdings Notification

### 3.1 Overview

Section 3 provides step by step guidance on the processes you will need to complete in order to:

- submit a new notification – [section 3.4](#)
- upload financial instruments by using a CSV file – [section 3.4.3](#)
- send a subsequent notification – [section 3.5](#)
- correct an existing notification – [section 3.6](#)
- delete a notification – [section 3.7](#)
- download a submitted TR-1 Form – [section 3.8](#)

### 3.2 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.

Electronic Submission System 

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

My Cases

Case Number  Organisation Name

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

Show 10 Search in 9 records

| 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 |

Prev 1 Next

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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.

### 3.3 My Organisation – Position Holder View

This view displays your Position Holder information, your Position Holder ID, the Permission level you hold, and details of your Organisation. You will also be able to view the other Position Holders that you are registered for from this screen.

| ORGANISATION                   | ORGANISATION TYPE | POSITION HOLDER ID | LEI | MY PERMISSIONS                                                |
|--------------------------------|-------------------|--------------------|-----|---------------------------------------------------------------|
| FCA Smoke Test Position Holder | Position Holder   | PH002158           |     | Reporting Person - DTR5;Contact Person;Reporting Person - SSR |

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[Accessibility Statement](#)

### 3.4 Submitting a New Notification

Select **Create a New Case** from the Menu. The following page will be displayed, you will then need to select **Major Shareholdings Notification** section as shown below.

Case Categories

Search Case Category or Case Type here to create a new case

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >**
- MAJOR SHAREHOLDINGS NOTIFICATION >
- NATIONAL STORAGE MECHANISM >
- ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

The following screen will be displayed from which you will select **Major Shareholdings Notification – New**.

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION** v

**Major Shareholdings Notification - New**  
Use this option to submit a new major shareholdings notification. Help Create Case

**Major Shareholdings Notification - Correct**  
Use this option to submit a correction request for a previously submitted Major Shareholdings notification. Help Create Case

**Major Shareholdings Notification - Delete**  
Use this option to submit a deletion request for a previously submitted Major Shareholdings notification. Help Create Case

Once you have selected **Create Case** the following pop-up notification will be displayed, you will need to select continue to close the pop-up box.

**Before you start**

To submit a new major shareholdings notification please ensure you have all of the position details at hand.

Continue

The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form which has been divided into three mandatory sections:

1. Notification Details – New
2. Shareholding and Voting Rights Details – New
3. Subsidiary Information and Additional Details New

To begin the submission process, you should navigate to 'Notification Details – New' and select the Start button which will take you to the first part of the form.

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

### Major Shareholdings Notification - New

[? Help](#) [✓ Checklist](#)

|                              |          |                          |                           |
|------------------------------|----------|--------------------------|---------------------------|
| <b>Case Reference Number</b> | 00370651 | <b>Date/Time Opened</b>  | Thursday, 04 Mar 21 11:14 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cornell            |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                           |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                           |

| FORM                                                | STATUS                            | REQUIRED |                       |
|-----------------------------------------------------|-----------------------------------|----------|-----------------------|
| Notification Details - New                          | <input type="radio"/> Not Started | (Yes)    | <a href="#">Start</a> |
| Shareholding and Voting Rights Details - New        | <input type="radio"/> Not Started | (Yes)    | <a href="#">Start</a> |
| Subsidiary Information and Additional Details - New | <input type="radio"/> Not Started | (Yes)    | <a href="#">Start</a> |

### 3.4.1 Notification Details – New

Home > Create a Case > 00370758

#### Notification Details - New

**Current Status** In-Progress | **Last Modified By** Angela Cornell

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---

#### Notification Details - New

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTRS) available on the following link: [DTRS - FCA Handbook](#)

##### 1. Issuer Details

Identity of the issuer or the underlying issuer of existing shares to which voting rights are attached ⓘ

[Search by ISIN](#)  [Search](#) [Clear](#)

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

\* ISIN

\* Issuer Name

\* UK or Non-UK Issuer

---

##### 2. Reason for Notification

\* Select Option(s) ⓘ

| Available                                           | Chosen |
|-----------------------------------------------------|--------|
| An acquisition or disposal of voting rights         |        |
| An acquisition or disposal of financial instruments |        |
| An event changing the breakdown of voting           |        |
| Other                                               |        |

---

##### 3. Details of person subject to the notification obligation

ⓘ

\* Name

City of registered office (if applicable)

Country of registered office (if applicable)

[Add](#)

---

##### 4. Details of the shareholder

\* Is the shareholder the same as the person subject to the notification obligation, above?

---

##### 5. Date on which the threshold was crossed or reached

\* Select Date ⓘ

---

##### 6. Date on which Issuer notified

\* Select Date ⓘ

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This section requires the completion of 6 questions:

1. Issue Details.
2. Reason for Notification.
3. Details of person subject to the notification obligation.
4. Details of the shareholder.
5. Date on which the threshold was crossed or reached.
6. Date on which Issuer notified.

You will need to complete all 6 sections before you are able to move to the completion of the two other areas:

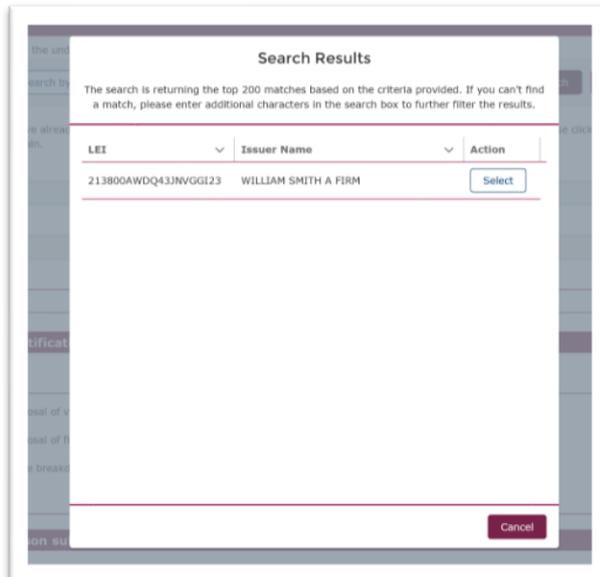
- Shareholding and Voting Rights Details – New
- Subsidiary Information and Additional Details - New

**Guidance on completion of these 6 questions is shown below. Please note additional guidance on the information which needs to be input to this electronic TR-1 form can be found in the Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available via this link: [DTR5 - FCA Handbook](#).**

### Q1 - Issue Details

You will need to enter the ISIN for the security as shown below and then press search.

The screenshot shows a web form titled "Notification Details - New". Below the title is a note: "Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: [DTR5 - FCA Handbook](#)". The main section is "1. Issuer Details" with the instruction: "Identity of the issuer or the underlying issuer of existing shares to which voting rights are attached". There is a "Search by ISIN" button and a search input field containing "GB000687A123". To the right of the search field are "Search" and "Clear" buttons. Below this is a note: "Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again." The form has three required fields: "ISIN" (containing "GB000687A123"), "Issuer Name" (empty), and "UK or Non-UK Issuer" (a dropdown menu currently showing "--None--").



The search will return the details of securities, you will need to select the appropriate security from the search results.

This will complete the **ISIN** and **Issuer Name** boxes. You will then need to complete the final box by choosing if the Issuer is a **UK or Non-UK Issuer** from the drop-down list.

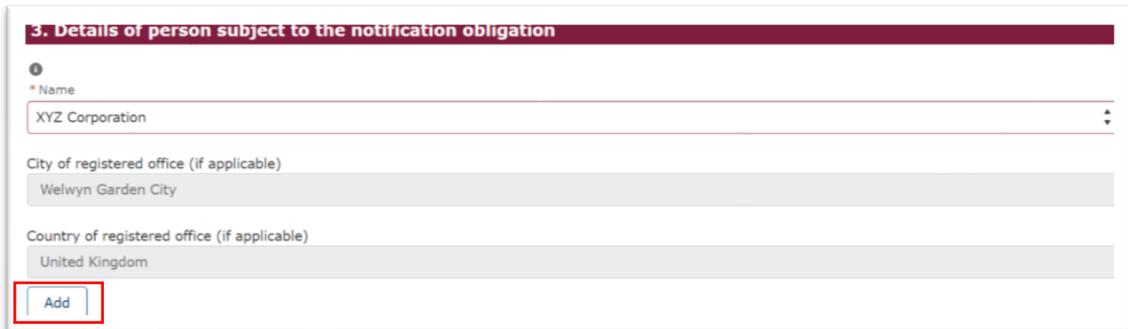
## Q2 - Reason for Notification

Select the reason for notifications from the **Available** (left hand box) and move this to the **Chosen** (right hand box) by clicking on the arrow icon.

By selecting **Other** a comment box will appear and you will need to provide a comment.

### Q3 - Details of person subject to the notification obligation

**Name** – select the appropriate registered Position Holder name or person subject to notification requirements from the drop-down box. If there are multiple position holders (whether firms or individuals) reporting their combined holdings together, you should select one of them (at least one of them should be registered on ESS). You will then complete the **City of registered office** and **Country of registered office** boxes.



3. Details of person subject to the notification obligation

\* Name  
XYZ Corporation

City of registered office (if applicable)  
Welwyn Garden City

Country of registered office (if applicable)  
United Kingdom

Add

If you need to add the details of an additional person who is subject to the notification you will need to enter their details by selecting the **Add** button. An example is shown below.



Additional Position Holder Details

\* Name  
Alpha Capital

City of registered office (if applicable)  
New York

Country of registered office (if applicable)  
USA

Save Cancel

**3. Details of person subject to the notification obligation**

**i**

\* Name

City of registered office (if applicable)

Country of registered office (if applicable)

| NAME          | CITY OF REGISTERED OFFICE | COUNTRY OF REGISTERED OFFICE |                                                                           |
|---------------|---------------------------|------------------------------|---------------------------------------------------------------------------|
| Alpha Capital | New York                  | USA                          | <input type="button" value="Edit"/> <input type="button" value="Remove"/> |

If the position holder is an individual, you do not need to complete the City and Country of registered office. See the below example:

**Additional persons subject to the notification obligation**

\* Name

City of registered office (if applicable)

Country of registered office (if applicable)

#### Q4 - Details of the shareholder

You need to advise if the shareholder is the same person, as the person stated in the notification obligation, Question 3.

If you select **No** then you will need to **Add** the additional Shareholder details.

**4. Details of the shareholder**

\* Is the shareholder the same as the person subject to the notification obligation, above?

### Additional Shareholder Details

---

\* Full name of shareholder ⓘ

XYZ Subsidiary 1

City of registered office (if applicable)

New York

Country of registered office (if applicable)

USA

---

You can add as many shareholder firms or individuals as you need. If the shareholder is an individual, you do not need to complete the City and Country of registered office. See the below example:

#### 4. Details of the shareholder

\* Is the shareholder the same as the person subject to the notification obligation, above?

No

| NAME             | CITY OF REGISTERED OFFICE | COUNTRY OF REGISTERED OFFICE |                                     |                                       |
|------------------|---------------------------|------------------------------|-------------------------------------|---------------------------------------|
| XYZ Subsidiary 2 | New York                  | USA                          | <input type="button" value="Edit"/> | <input type="button" value="Remove"/> |
| XYZ Subsidiary 1 | New York                  | USA                          | <input type="button" value="Edit"/> | <input type="button" value="Remove"/> |

If you select **Yes**, then the fields underneath will be greyed out so you can move onto question 5.

#### Q5 – Date on which the threshold was crossed or reached

You need to enter the appropriate date. Future dates are not required.

#### 5. Date on which the threshold was crossed or reached

\* Select Date ⓘ

03-Mar-2021

## Q6 – Date on which Issuer notified

You need to enter the appropriate date. It is expected you will notify the issuer as soon as the notification is submitted to the FCA. This is the last question in the **Notification Details** section and so you should select **Save** before moving to the next section.

6. Date on which Issuer notified

\* Select Date

04-Mar-2021

Back to Case

Save

## 3.4.2 Shareholder and Voting Rights Details – New

Shareholding and Voting Rights Details - New

Current Status: In-Progress

Last Modified By: Angela Cornell

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Save

This section requires the completion of 2 questions:

7. Total position of person(s) subject to the notification obligation.
8. Notified details of the resulting situation on the date on which the threshold was crossed or reached.

## Question 7 - Total position of person(s) subject to the notification obligation

The information referred to in this question will be calculated automatically using information provided in previous notifications and in question 8 below, so please start with question 8 first.

|                                                                           | % of voting rights attached to shares | % of voting rights through financial instruments | Total of both in % | Total number of voting rights held in issuer <sup>1</sup> |
|---------------------------------------------------------------------------|---------------------------------------|--------------------------------------------------|--------------------|-----------------------------------------------------------|
| Resulting situation on the date on which threshold was crossed or reached | 0.000000%                             | 0.000000%                                        | 0.000000%          | 0                                                         |
| Position of previous notification (if applicable)                         |                                       |                                                  |                    |                                                           |

Question 8 - Notified details of the resulting situation on the date on which the threshold was crossed or reached.

Select the reason for notifications from the **Available** (left hand box) and move this to the **Chosen** (right hand box) by clicking on the arrow icon.  
Each selection will open a corresponding box which you will need to complete.

**8. Notified details of the resulting situation on the date on which the threshold was crossed or reached**

\* 8.1 Which of the following sections will you complete? ⓘ

Available Chosen

▶

Section 8B2

Section 8A

◀

Section 8B1

**8A. Voting rights attached to shares**

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  No

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  No

### Question 8A – Voting rights attached to shares

This section requires the provision of direct or indirect voting rights attached to shares. See the below example.

#### Voting rights attached to shares ⓘ

Class/Type of Shares (ISIN Code) ⓘ  
GB2345678901

Number of Direct Voting Rights (DTR5.1) ⓘ  
1,000,000

Number of Indirect Voting Rights (DTR5.2.1) ⓘ  
500,000

% of Direct Voting Rights (DTR5.1) ⓘ  
5.000000%

% of Indirect Voting Rights (DTR5.2.1) ⓘ  
2.500000%

Save Cancel

### Question 8B1 – Financial instruments according to DTR5.3. 1 R(1)(a)

This section requires the provision of the following information related to financial instruments that meet the requirements under DTR5.3. 1 R(1)(a). See the below example:

#### Financial Instruments according to (DTR5.3.1R.(1) (a))

Type of financial instrument  
Securities Lending

Expiration date ⓘ  
Open

Exercise/conversion period ⓘ  
any time

Number of voting rights that may be acquired if the instrument is exercised/converted  
250,000

% of voting rights  
1.250000%

Save Cancel

Alternatively, you can also select the option to upload a CSV file. This will require you to download a CSV file template, populate this with the information as required in the description, save it on your desktop and then upload it correctly. See the below example:

Click on the toggle to upload records using a csv file

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
b. Expiration date (if available - non-mandatory).  
c. Exercise/conversion period (if available - non-mandatory).  
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

[Click here to download template for Section 8B1](#)

Please upload the CSV template

Download a CSV file template

\* 8.1 Which of the following sections will you complete? ⓘ

Available

- Section 8A
- Section 8B2

Chosen

- Section 8B1

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
b. Expiration date (if available - non-mandatory).  
c. Exercise/conversion period (if available - non-mandatory).  
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

[Click here to download template for Section 8B1](#)

Please upload the CSV template

Do you want to save **Section 8B1.csv** (177 bytes) from **elsu-fcmarketoversight.cs81.force.com?**

Correctly populate CSV file and save it on your desktop:

|   | A                            | B               | C                          | D                | E                  | F |
|---|------------------------------|-----------------|----------------------------|------------------|--------------------|---|
| 1 | Type of financial instrument | Expiration date | Exercise/conversion period | Number of voting | % of voting rights |   |
| 2 | Shares on loan               | Open            | any time                   | 200000           | 1.00001            |   |
| 3 | Futures                      | 14/12/2021      | any time                   | 100000           | 0.5                |   |
| 4 | Repurchase agreement         | 20/08/2021      |                            | 250000           | 1.25               |   |
| 5 |                              |                 |                            |                  |                    |   |
| 6 |                              |                 |                            |                  |                    |   |

Upload CSV file and click on 'Validate', you will see a confirmation box showing the records that passed validation. Click on 'Yes' to upload the records:

Click here to download template for Section 8B1  
Please upload the CSV template

Section 8B1 DEMO.csv

**Confirmation**

3 Out of 3 record(s) passed validation. 0 Out of 3 record(s) failed validation. Do you want to upload the record(s) that passed validation?

Records will be uploaded in Section 8B1 as follows:

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  No

Show  Search in 4 records

| TYPE OF FINANCIAL INSTRUMENT | EXPIRATION DATE | EXERCISE/CONVERSION PERIOD | NUMBER OF VOTING RIGHTS THAT MAY BE ACQUIRED IF THE INSTRUMENT IS EXERCISED/CONVERTED | % OF VOTING RIGHTS |                                  |
|------------------------------|-----------------|----------------------------|---------------------------------------------------------------------------------------|--------------------|----------------------------------|
| Securities Lending           | Open            | any time                   | 250000                                                                                | 1.250000%          | <input type="button" value="v"/> |
| Shares on loan               | Open            | any time                   | 200000                                                                                | 1.000010%          | <input type="button" value="v"/> |
| Futures                      | 14/12/2021      | any time                   | 100000                                                                                | 0.500000%          | <input type="button" value="v"/> |
| Repurchase agreement         | 20/08/2021      |                            | 250000                                                                                | 1.250000%          | <input type="button" value="v"/> |

Question 8B2 – Financial instruments with similar economic effect according to DTR5.3.1R(1)(b)

This section requires the provision of the financial instruments that falls within DTR5.3.1R(1)(b). See the example below.

Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))

Type of financial instrument  
Equity swap

Expiration date ⓘ  
31/07/2021

Exercise/conversion period ⓘ

Physical or cash settlement ⓘ  
Cash

Number of voting rights  
250,000

Save Cancel

Alternatively, you can also select the option to upload a CSV file. This will require to download a CSV file template, populate this with the information as required in the description and then upload the correct file. See the below example:

Click on the toggle to upload records using a csv file

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
b. Expiration date (if available – non-mandatory).  
c. Exercise/conversion period (if available – non-mandatory).  
d. Physical or cash settlement is (mandatory, enter either Physical or cash).  
e. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
f. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

[Click here to download template for Section 8B2](#)

Please upload the CSV template

Upload Validate

Download a CSV file template

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
 b. Expiration date (if available – non-mandatory).  
 c. Exercise/conversion period (if available – non-mandatory).  
 d. Physical or cash settlement is (mandatory, enter either Physical or cash).  
 e. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
 f. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B2  
 Please upload the CSV template

Section 8B2 (10).csv

Correctly populate CSV file:

|   | A                            | B               | C                   | D           | E         | F                  | G |
|---|------------------------------|-----------------|---------------------|-------------|-----------|--------------------|---|
| 1 | Type of financial instrument | Expiration date | Exercise/conversion | Physical or | Number of | % of voting rights |   |
| 2 | CFD                          | 25/08/2021      |                     | Cash        | 100000    | 0.51               |   |
| 3 | CFD                          | 12/01/2022      |                     | Cash        | 100000    | 0.51               |   |
| 4 | Equity swap                  | 30/06/2021      |                     | Cash        | 100000    | 0.51               |   |
| 5 | Equity swap                  | 15/07/2021      |                     | Physical    | 100000    | 0.51               |   |
| 6 | Call option                  | 20/12/2021      |                     | Physical    | 100000    | 0.51               |   |
| 7 |                              |                 |                     |             |           |                    |   |
| 8 |                              |                 |                     |             |           |                    |   |

Upload CSV file and click on 'Validate', you will see a confirmation box showing the records that passed validation. Click on 'Yes' to upload the records:

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
 b. Expiration date (if available – non-mandatory).  
 c. Exercise/conversion period (if available – non-mandatory).  
 d. Physical or cash settlement is (mandatory, enter either Physical or cash).  
 e. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
 f. % of voting rights (mandatory).

Click here to download template  
 Please upload the CSV template

Section 8B2 DE

**Confirmation**

**5 Out of 5 record(s) passed validation. 0 Out of 5 record(s) failed validation. Do you want to upload the record(s) that passed validation?**

Records will be uploaded in Section 8B2 as follows:

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  No

Show  Search in 6 records

| TYPE OF FINANCIAL INSTRUMENT | EXPIRATION DATE | EXERCISE/CONVERSION PERIOD | PHYSICAL OR CASH SETTLEMENT | NUMBER OF VOTING RIGHTS | % OF VOTING RIGHTS | ▼ |
|------------------------------|-----------------|----------------------------|-----------------------------|-------------------------|--------------------|---|
| Equity swap                  | 31/07/2021      |                            | Cash                        | 250000                  | 1.250000%          | ▼ |
| CFD                          | 25/08/2021      |                            | Cash                        | 100000                  | 0.510000%          | ▼ |
| CFD                          | 12/01/2022      |                            | Cash                        | 100000                  | 0.510000%          | ▼ |
| Equity swap                  | 30/06/2021      |                            | Cash                        | 100000                  | 0.510000%          | ▼ |
| Equity swap                  | 15/07/2021      |                            | Physical                    | 100000                  | 0.510000%          | ▼ |
| Call option                  | 20/12/2021      |                            | Physical                    | 100000                  | 0.510000%          | ▼ |

You will see that section 7 will be auto populated as follows:

**7. Total positions of person(s) subject to the notification obligation**

*Note: the information in this section will be calculated automatically using information provided in previous notifications and in Section 8 below.*

|                                                                                  | % of voting rights attached to shares | % of voting rights through financial instruments | Total of both in % | Total number of voting rights held in issuer <sup>①</sup> |
|----------------------------------------------------------------------------------|---------------------------------------|--------------------------------------------------|--------------------|-----------------------------------------------------------|
| <b>Resulting situation on the date on which threshold was crossed or reached</b> | 7.500000%                             | 7.800010%                                        | 15.300010%         | 3050000                                                   |
| <b>Position of previous notification (if applicable)</b>                         | 7.500000%                             | 10.050000%                                       | 17.550000%         |                                                           |

Once these questions are completed, you should select **Save** before moving to the next section.

### 3.4.3 Uploading a CSV File

You are able to upload a CSV File in respect of Questions 8B1 and 8B2.

You will need to toggle onto yes.

**8. Notified details of the resulting situation on the date on which the threshold was crossed or reached**

\* 8.1 Which of the following sections will you complete? ⓘ

| Available  | Chosen      |
|------------|-------------|
| Section 8A | Section 8B2 |
|            | Section 8B1 |

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  No

Add

**8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))**

Do you want to upload records using csv template  No

Add

You will then see the following screen which allows you to upload a CSV file.

**8. Notified details of the resulting situation on the date on which the threshold was crossed or reached**

\* 8.1 Which of the following sections will you complete? ⓘ

Available

Section 8A

Chosen

Section 8B2

Section 8B1

**8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))**

Do you want to upload records using csv template  Yes

a. Type of financial instrument (mandatory).  
b. Expiration date (if available - non-mandatory).  
c. Exercise/conversion period (if available - non-mandatory).  
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).  
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B1

Please upload the CSV template

### 3.4.4 Subsidiary Information and Additional Details – New

This section requires the completion of 5 questions:

9. Information in relation to the person subject to the notification obligation.
10. In case of proxy voting.
11. Additional Information
12. Date of Completion
13. Place of Completion

**Subsidiary Information and Additional Details - New**

**Current Status** In-Progress | **Last Modified By** Angela Cornell

## Question 9 - Information in relation to the person subject to the notification obligation.

You will need to select the appropriate response from the drop-down menu.

Subsidiary Information and Additional Details - New

**9. Information in relation to the person subject to the notification obligation**

\* The person subject to the notification obligation is (select one) ⓘ  
**Note:** Please hover the cursor on below dropdown value to see complete text.

1. Person subject to the notification obligation is not controlled by any natural person or legal entity and does not control any other undertaking(s) hold X ▾

If Option 2 is selected (multiple chains of controlled undertakings), you will have to click on **'Add'** and provide information on the chains starting with the ultimate controlling person as required in the below box. We suggest you number each chain to help with identification.

Please note that the field titled 'Ultimate controlling person' is mandatory for each 'controlled undertaking' you report. If you do not provide the name of the 'ultimate controlling person', the system will not validate your information.

You can add records manually or upload records using the csv feature. You can also use a combination of these. See the below example:

Information in relation to the person subject to the notification obligation

Ultimate controlling person  
XYZ Corporation (chain 1)

Name of controlled undertaking ⓘ  
XYZ Subsidiary 1

% of voting rights if it equals or is higher than the notifiable threshold  
5.000000%

% of voting rights through financial instruments if it equals or is higher than the notifiable threshold  
2.500000%

Save Cancel

You can add as many chains as you need. **Multiple chains** have to be presented chain by chain by numbering each chain accordingly (e.g.: A (chain 1), B, C; A (chain 2), B, D; A (chain 3), E, F; etc). See the below example:

| ULTIMATE CONTROLLING PERSON | NAME OF CONTROLLED UNDERTAKING | % OF VOTING RIGHTS IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD | % OF VOTING RIGHTS THROUGH FINANCIAL INSTRUMENTS IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD | TOTAL OF BOTH IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD |   |
|-----------------------------|--------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|---|
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 1               | 5.000000%                                                                  | 2.500000%                                                                                                | 7.500000%                                                             | ▼ |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 3               | 5.000000%                                                                  | 2.500000%                                                                                                | 7.500000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 4               | 2.500000%                                                                  | 2.500000%                                                                                                | 5.000000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 2               | 1.350000%                                                                  | 2.000000%                                                                                                | 3.350000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 5               | 1.350000%                                                                  | 2.000000%                                                                                                | 3.350000%                                                             | ▼ |

Prev 1 Next

Once you provide information on the chains of controlled undertakings, the system will recall this in subsequent submissions, and you will be able to update and edit this section.

Alternatively, you can also select the **option to upload a CSV file**. This will require to download a CSV file template, populate this with the information as required in the description and then upload the correct file. See the below example:

Click on the toggle to upload records using a csv file

**9. Information in relation to the person subject to the notification obligation**

\* The person subject to the notification obligation is (select one)

**Note:** Please hover the cursor on below dropdown value to see complete text.

2. Full chain of controlled undertakings through which the voting rights and/or the financial instruments are effectively held starting with the ultimate cont ▼

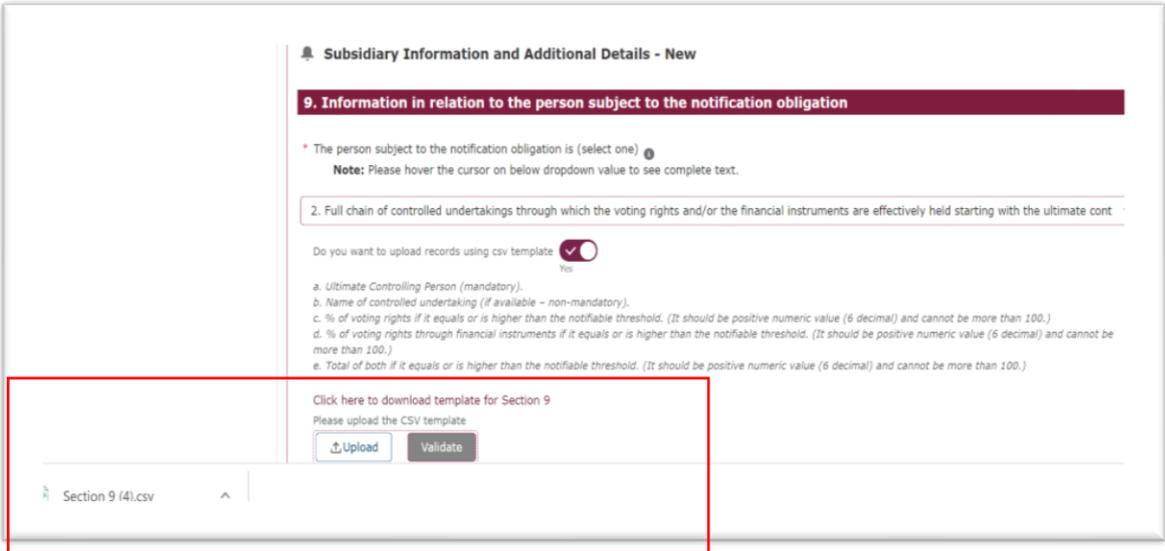
Do you want to upload records using csv template  Yes

a. Ultimate Controlling Person (mandatory).  
 b. Name of controlled undertaking (if available – non-mandatory).  
 c. % of voting rights if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)  
 d. % of voting rights through financial instruments if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)  
 e. Total of both if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

[Click here to download template for Section 9](#)

Please upload the CSV template

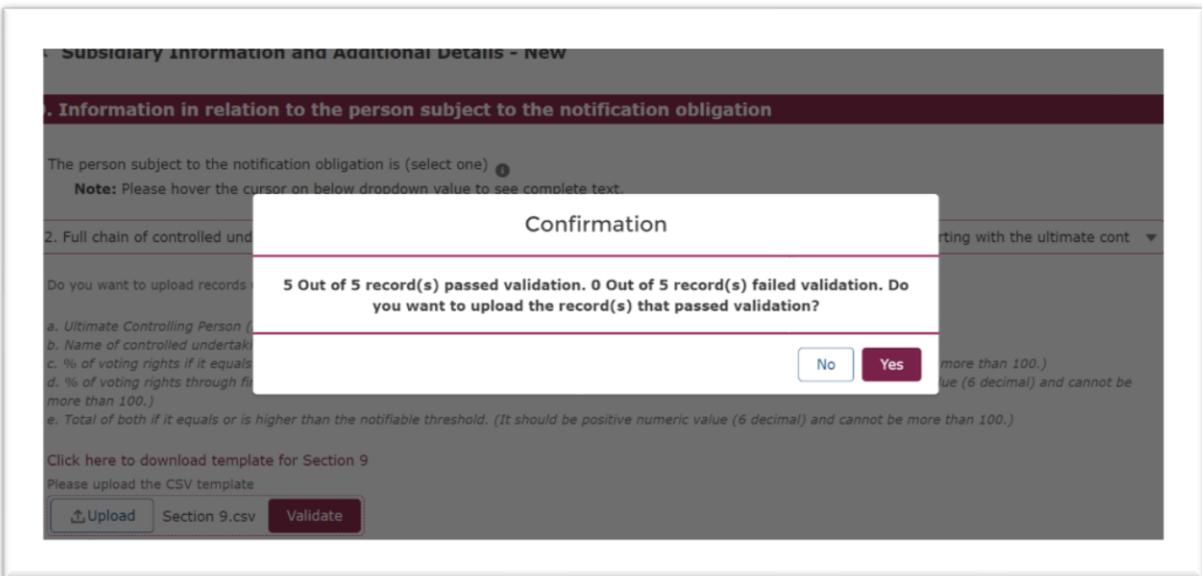
Download a CSV file template



Correctly populate CSV file (see the on-screen completion notes a–e for validation instructions):

| A                           | B                              | C                  | D                  | E                                                                     | F | G | H | I |
|-----------------------------|--------------------------------|--------------------|--------------------|-----------------------------------------------------------------------|---|---|---|---|
| Ultimate controlling person | Name of controlled undertaking | % of voting rights | % of voting rights | Total of both if it equals or is higher than the notifiable threshold |   |   |   |   |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 1               | 5                  | 2.5                | 7.5                                                                   |   |   |   |   |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 3               | 5                  | 2.5                | 7.5                                                                   |   |   |   |   |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 4               | 2.5                | 2.5                | 5                                                                     |   |   |   |   |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 2               | 1.35               | 2                  | 3.35                                                                  |   |   |   |   |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 5               | 1.35               | 2                  | 3.35                                                                  |   |   |   |   |

Upload CSV file and click on 'Validate', you will see a confirmation box showing the records that passed validation. Click on 'Yes' to upload the records:



Records will be uploaded in Section 9.2 as follows:

| ULTIMATE CONTROLLING PERSON | NAME OF CONTROLLED UNDERTAKING | % OF VOTING RIGHTS IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD | % OF VOTING RIGHTS THROUGH FINANCIAL INSTRUMENTS IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD | TOTAL OF BOTH IF IT EQUALS OR IS HIGHER THAN THE NOTIFIABLE THRESHOLD |   |
|-----------------------------|--------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|---|
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 1               | 5.000000%                                                                  | 2.500000%                                                                                                | 7.500000%                                                             | ▼ |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 3               | 5.000000%                                                                  | 2.500000%                                                                                                | 7.500000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 4               | 2.500000%                                                                  | 2.500000%                                                                                                | 5.000000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 2               | 1.350000%                                                                  | 2.000000%                                                                                                | 3.350000%                                                             | ▼ |
| XYZ Corporation (Chain 2)   | XYZ Subsidiary 5               | 1.350000%                                                                  | 2.000000%                                                                                                | 3.350000%                                                             | ▼ |

Prev 1 Next

Once these questions are completed, you should select **Save** before moving to the next section.

### Question 10 - In case of proxy voting.

If there is proxy voting attached to the notification this needs to indicate here by selecting the appropriate response from the drop-down menu.

**10. In case of proxy voting**

\* Is there proxy voting?

--None-- ▼

If you select yes, then you will need to provide the following information.

**10. In case of proxy voting**

\* Is there proxy voting?

Yes ▼

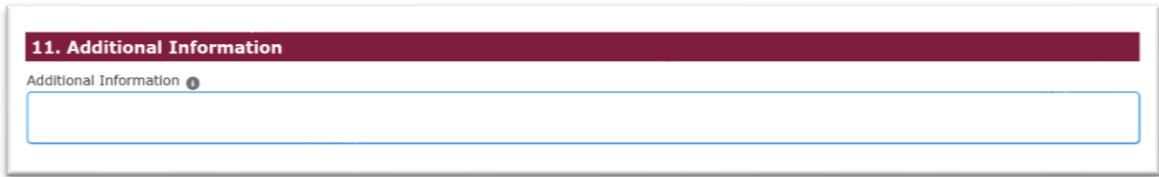
\* Name of the proxy holder

\* The number and % of voting rights held

\* The date until which the voting rights will be held

### Question 11 - Additional Information

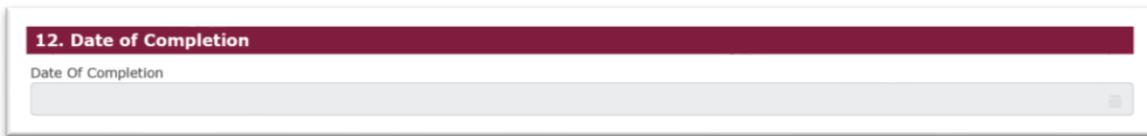
Any pertinent additional information (such as the correction of a previous notification) needs to be entered in this free text box.



The screenshot shows a form titled "11. Additional Information". Below the title is a label "Additional Information" with a small help icon. A large, empty text input box is provided for entering information.

### Question 12 - Date of Completion

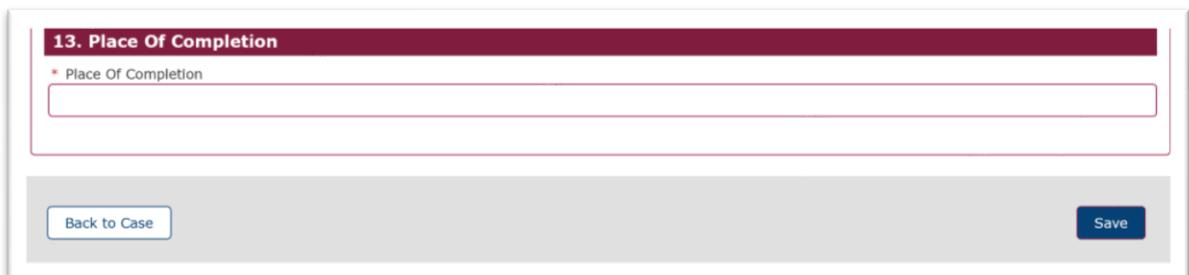
The date of completion will be completed automatically by the system when the notification is submitted.



The screenshot shows a form titled "12. Date of Completion". Below the title is a label "Date Of Completion" and a date picker input field.

### Question 13 - Place of Completion

You will enter the place of completion



The screenshot shows a form titled "13. Place Of Completion". Below the title is a label "\* Place Of Completion" and a text input field. At the bottom of the form, there are two buttons: "Back to Case" and "Save".

Once these questions are completed, you should select **Save** before moving to the case overview screen.

You are now ready to make the submission and so you must tick the box to agree the **terms and conditions** and then select **Submit Case**.

**Major Shareholdings Notification - New**

[Download Form](#) [? Help](#) [✓ Checklist](#)

|                              |          |                          |                           |
|------------------------------|----------|--------------------------|---------------------------|
| <b>Case Reference Number</b> | 00370658 | <b>Date/Time Opened</b>  | Thursday, 04 Mar 21 15:18 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cormell            |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                           |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                           |

| FORM                                                | STATUS            | REQUIRED |                      |
|-----------------------------------------------------|-------------------|----------|----------------------|
| Notification Details - New                          | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |
| Shareholding and Voting Rights Details - New        | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |
| Subsidiary Information and Additional Details - New | ✓ Ready to Submit | (Yes)    | <a href="#">Edit</a> |

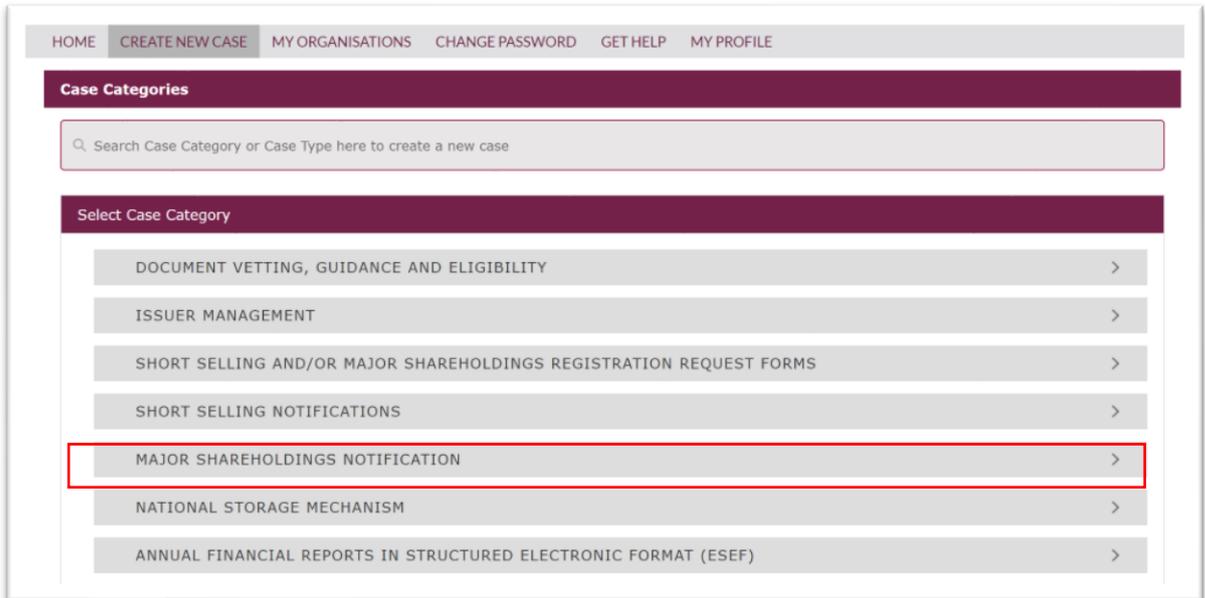
I agree [terms & conditions](#)

[Submit Case](#)

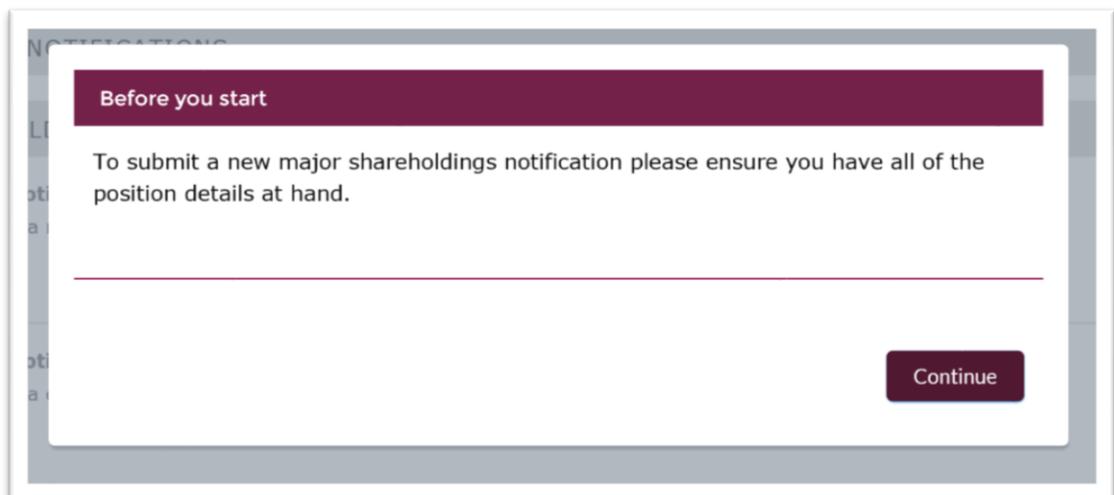
You will be asked to confirm your submission and then you should select Submit Case to complete the transaction.

### 3.5 How to send a subsequent notification

In order to add to, remove or make a change to an existing notification (this does not include correcting an error, which is handled separately) you will need to Select **Create a New Case** from the Create a New Case Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.



Once you have selected **Create Case** the following pop-up notification will be displayed, you will need to select continue to close the pop-up box.



The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form with the new details. The TR-1 Form has been divided into three mandatory sections:

1. Notification Details – New
2. Shareholding and Voting Rights Details – New
3. Subsidiary Information and Additional Details New

The screenshot shows the 'Major Shareholdings Notification - New' page. At the top, there are navigation links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this is a header bar with the title 'Major Shareholdings Notification - New' and links for Help and Checklist. The main content area displays case details in two columns:

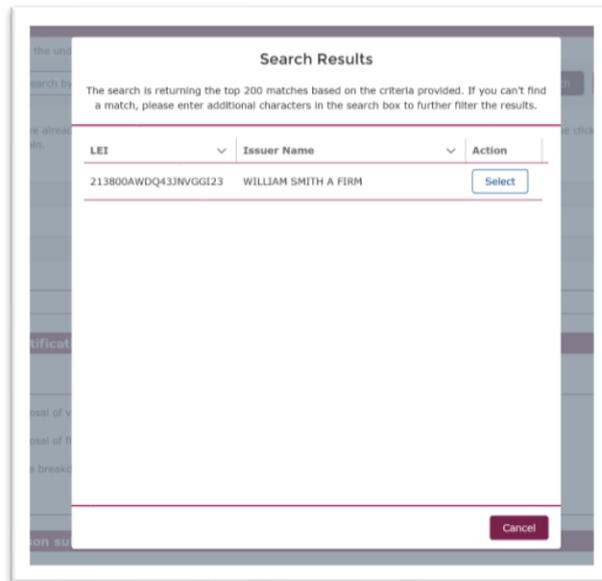
|                              |          |                          |                           |
|------------------------------|----------|--------------------------|---------------------------|
| <b>Case Reference Number</b> | 00370651 | <b>Date/Time Opened</b>  | Thursday, 04 Mar 21 11:14 |
| <b>Case Status</b>           | Draft    | <b>Opened By</b>         | Angela Cormell            |
| <b>Closed On</b>             |          | <b>Last Submitted By</b> |                           |
| <b>Closed By</b>             |          | <b>Last Submitted On</b> |                           |

Below the case details is a table with three columns: FORM, STATUS, and REQUIRED. The table lists three mandatory sections, each with a 'Not Started' status and a 'Start' button.

| FORM                                                | STATUS      | REQUIRED                                   |
|-----------------------------------------------------|-------------|--------------------------------------------|
| Notification Details - New                          | Not Started | (Yes) <input type="button" value="Start"/> |
| Shareholding and Voting Rights Details - New        | Not Started | (Yes) <input type="button" value="Start"/> |
| Subsidiary Information and Additional Details - New | Not Started | (Yes) <input type="button" value="Start"/> |

You should return to Section 7.3.1 and follow the instructions to submit a New Notification. You must take care to enter the correct Issuer Number, ISIN (as shown below) to ensure that the information you enter is added to your existing Notification / Position.

The screenshot shows the 'Notification Details - New' form. At the top, there is a notification icon and the title 'Notification Details - New'. Below this is a note: 'Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: DTR5 - FCA Handbook'. The main section is titled '1. Issuer Details' and contains the following text: 'Identity of the Issuer or the underlying issuer of existing shares to which voting rights are attached'. Below this text is a search bar with a magnifying glass icon and a 'Search by ISIN' button. The search bar contains the text 'GB000687A123'. To the right of the search bar are 'Search' and 'Clear' buttons. Below the search bar is a 'Please Note' section: 'Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.' Below this are three input fields: 'ISIN' (containing 'GB000687A123'), 'Issuer Name' (empty), and 'UK or Non-UK Issuer' (a dropdown menu with '--None--' selected).



The search will return the details of the Issuer companies. You will need to select the appropriate company from the search results.

This will complete the **ISIN** and **Issuer Name** boxes. You will then need to complete the final box by choosing if the Issuer is a **UK or Non-UK Issuer** from the drop- down list.

**1. Issuer Details**

Identity of the issuer or the underlying issuer of existing shares to which voting rights are attached ?

Search by ISIN

Search
Clear

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

**\* ISIN**

**\* Issuer Name**

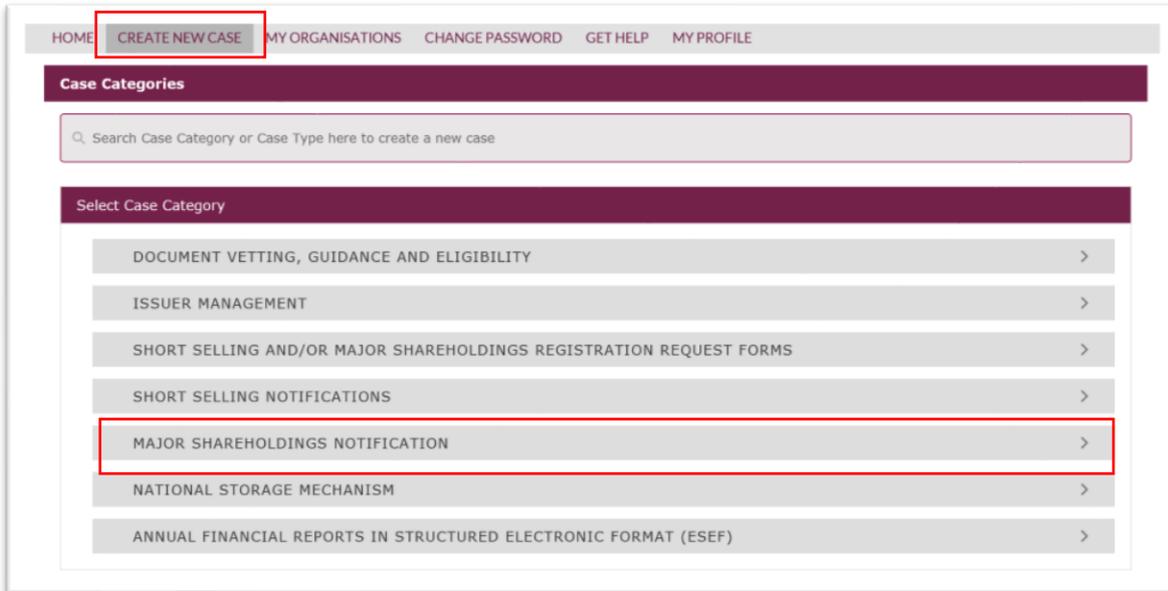
**\* UK or Non-UK Issuer**

In order to complete the **subsequent notification transaction**, you should return to Section 7.3.1 and follow the instructions on how to complete the 13 questions of the TR-1 Form

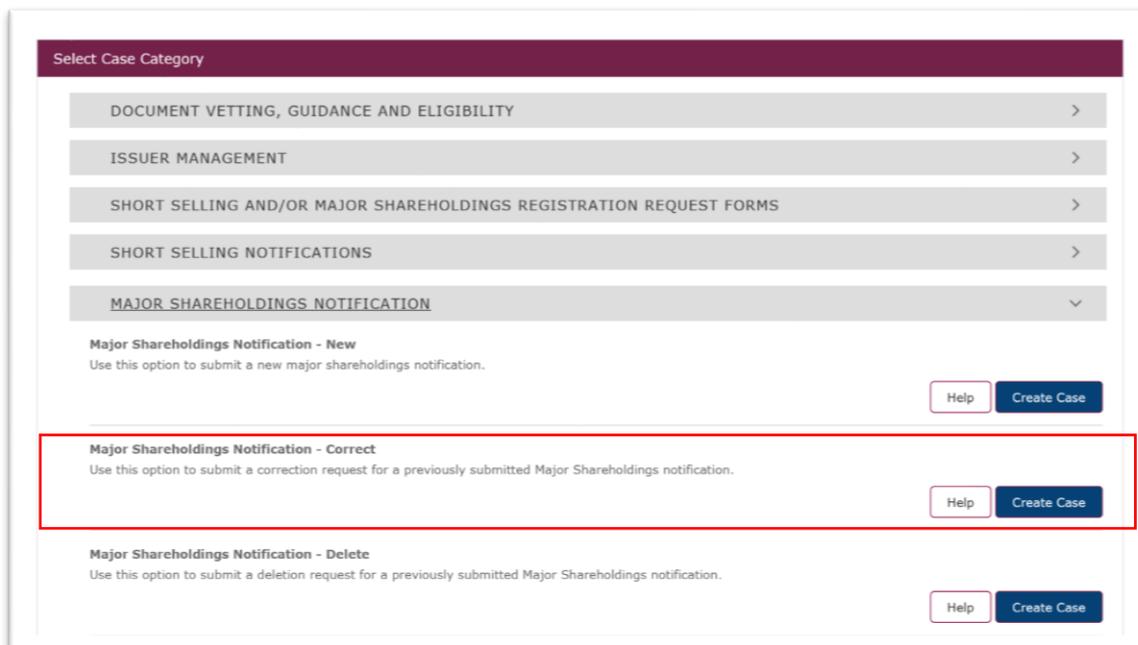
### 3.6 How to correct an existing notification

This is feature should be used when you wish to amend an existing notification which has been submitted with incorrect details e.g. incorrect number of shares reported.

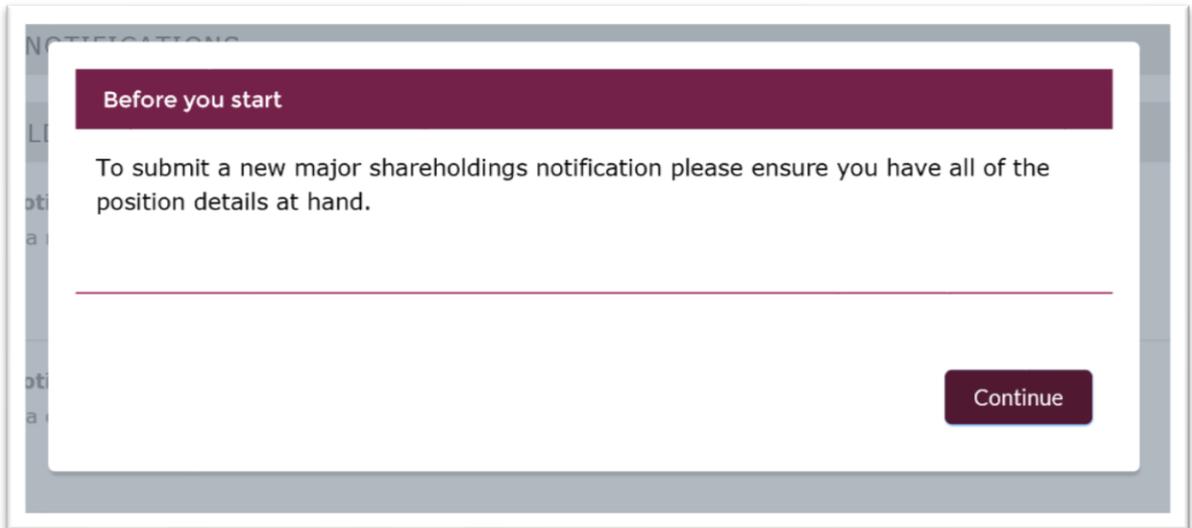
Select **Create a New Case** from the Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.



The following screen will be displayed from which you will select **Major Shareholdings Notification – Correct**.



Once you have selected **Correct Case** the following pop-up notification will be displayed, you will need to select **Continue** to close the pop-up box.



The Major Shareholdings Notification – Correct page will be displayed. You will need to complete the electronic Form which has been divided into three mandatory sections:

1. Notification Details – Correct
2. Shareholding and Voting Rights Details – Correct
3. Subsidiary Information and Additional Details - Correct

| Major Shareholdings Notification - Correct              |                                   |                                                   |                       |
|---------------------------------------------------------|-----------------------------------|---------------------------------------------------|-----------------------|
| <b>Case Reference Number</b> 00370659                   |                                   | <b>Date/Time Opened</b> Thursday, 04 Mar 21 16:33 |                       |
| <b>Case Status</b> Draft                                |                                   | <b>Opened By</b> Angela Cormell                   |                       |
| <b>Closed On</b>                                        |                                   | <b>Last Submitted By</b>                          |                       |
| <b>Closed By</b>                                        |                                   | <b>Last Submitted On</b>                          |                       |
| FORM                                                    | STATUS                            | REQUIRED                                          |                       |
| Notification Details - Correct                          | <input type="radio"/> Not Started | (Yes)                                             | <a href="#">Start</a> |
| Shareholding and Voting Rights Details - Correct        | <input type="radio"/> Not Started | (Yes)                                             | <a href="#">Start</a> |
| Subsidiary Information and Additional Details - Correct | <input type="radio"/> Not Started | (Yes)                                             | <a href="#">Start</a> |

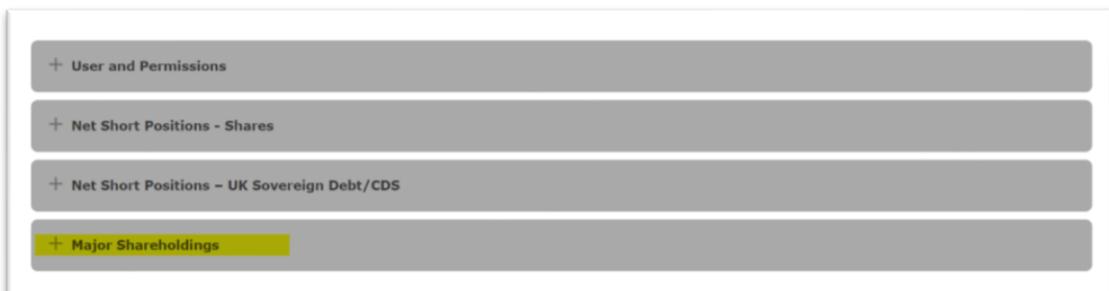
### 3.6.1 Notification Details – Correct

To correct or amend a previously submitted notification, you will need the Position ID of the notification you wish to amend. To find the relevant Position ID, go to 'My Organisations', then click on the relevant position holder name:

The screenshot shows a web application interface with a navigation bar at the top containing links: HOME, CREATE NEW CASE, MY ORGANISATIONS (active), CHANGE PASSWORD, GET HELP, and MY PROFILE. Below the navigation bar, there is a section titled 'My Organisations' with a sub-header '3 items'. To the right of this section, there is a 'Show' dropdown menu set to '10' and a search box containing 'Search in 3 records'. Below this is a table with the following data:

| ORGANISATION             | ORGANISATION TYPE | POSITION HOLDER ID | LEI | MY PERMISSIONS                                                |
|--------------------------|-------------------|--------------------|-----|---------------------------------------------------------------|
| XYZ Corporation          | Position Holder   | PH001837           |     | Reporting Person - DTR5;Contact Person                        |
| Position Monitoring Unit | Position Holder   | PH001515           |     | Reporting Person - DTR5;Contact Person;Reporting Person - SSR |
| ABC Corporation          | Position Holder   | PH001513           |     | Reporting Person - DTR5;Contact Person;Reporting Person - SSR |

Then, go to 'Major shareholdings'.



You will see the position ID on the first column left:

Major Shareholdings

Position Date: From  To  Search Show 10 Search in 11 records

| Position ID | Position Date | Reporting Person | ISIN         | Organisation Name  | Number of Total voting rights | % of Total voting rights | Last Updated Date | Position Status |
|-------------|---------------|------------------|--------------|--------------------|-------------------------------|--------------------------|-------------------|-----------------|
| PID00208789 | 11/03/2021    | Carmen Kwok      | GB884jfn03kd | "A" Company, Inc.  | 120                           | 7.5                      | 11/03/2021 12:41  | Active          |
| PID00208766 | 03/03/2021    | Carmen Kwok      | GB884jfn03kd | "A" Company, Inc.  | 120                           | 7.5                      | 11/03/2021 12:44  | Active          |
| PID00208744 | 17/02/2021    | Yvonka Hurtado   | GB0123456789 | Abalon Capital Plc | 2,500,000                     | 12.5                     | 22/02/2021 11:52  | Active          |
| PID00208753 | 16/02/2021    | Yvonka Hurtado   | GB0123456789 | Abalon Capital Plc | 2,000,000                     | 10                       | 24/02/2021 12:31  | Active          |

Once you have the Position ID of the position you wish to amend you can go back to the 'Correct' case, enter the position ID and click 'Save'.

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

Home > Create a Case > 00370688

**Notification Details - Correct**

**Current Status** In-Progress | **Last Modified By** Angela Cormell

[Back to Case](#) [Save](#)

**Notification Details - Correct**

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTRS) available on the following link: [DTRS - FCA Handbook](#)

\* Enter Position ID

[Back to Case](#) [Save](#)

See the below example:

**Notification Details - Correct**

|                       |             |                         |                |
|-----------------------|-------------|-------------------------|----------------|
| <b>Current Status</b> | In-Progress | <b>Last Modified By</b> | Yvonka Hurtado |
|-----------------------|-------------|-------------------------|----------------|

[Back to Case](#) [Save](#)

---

**Notification Details - Correct**

*Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:  
DTR5 - FCA Handbook*

\* Enter Position ID

**1. Issuer Details**

\* ISIN

\* Issuer Name

## Q1 - Issuer Details

You will then be shown the notification which you wish to correct. You should work through all sections on the TR-1 from and make the necessary corrections.

In order to complete the **correction to an existing notification**, you should return to **Section 7.3.1** and follow the instructions on how to complete the 13 questions of the TR-1 Form.

### Notification Details - Correct

*Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: [DTR5 - FCA Handbook](#)*

\* Enter Position ID  
PID00208773

#### 1. Issuer Details

\* ISIN  
GB000687A123

\* Issuer Name  
WILLIAM SMITH A FIRM

\* UK or Non-UK Issuer  
UK

#### 2. Reason for Notification

\* Select Option(s) 

| Available                                           | Chosen                                    |
|-----------------------------------------------------|-------------------------------------------|
| An acquisition or disposal of voting rights         | An event changing the breakdown of voting |
| An acquisition or disposal of financial Instruments |                                           |
| Other                                               |                                           |

#### 3. Details of person subject to the notification obligation

### 3.7 How to delete an existing notification.

A TR-1 form that has already correctly been notified must never be deleted. However, if a TR-1 notification has been made in error, this function can be used to delete the notification.'

You will need to have a copy of the Position Holder ID available in order to delete an existing notification. If you do not have a record of the Position Holder ID you can view this number by accessing the My Organisation Page. The Position Holder ID is viewable in the third column, an example is shown below.

| ORGANISATION                   | ORGANISATION TYPE | POSITION HOLDER ID | LEI | MY PERMISSIONS                                                |
|--------------------------------|-------------------|--------------------|-----|---------------------------------------------------------------|
| FCA Smoke Test Position Holder | Position Holder   | PH002158           |     | Reporting Person - DTRS;Contact Person;Reporting Person - SSR |

In order to delete an existing notification, you will need to Select **Create a New Case** from the Create a New Case Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.

Case Categories

Search Case Category or Case Type here to create a new case

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION >**
- NATIONAL STORAGE MECHANISM >
- ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

The following screen will be displayed from which you will select **Major Shareholdings Notification – Delete**

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION** v

**Major Shareholdings Notification - New**  
Use this option to submit a new major shareholdings notification.

Help Create Case

**Major Shareholdings Notification - Correct**  
Use this option to submit a correction request for a previously submitted Major Shareholdings notification.

Help Create Case

**Major Shareholdings Notification - Delete**  
Use this option to submit a deletion request for a previously submitted Major Shareholdings notification.

Help Create Case

Once you have selected **Delete Case** the following pop-up notification will be displayed, you will need to select **Continue** to close the pop-up box.

**Before you start**

Before you start, please ensure you have the Position ID ready.

Continue

The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form with the new details. The TR-1 Form has been divided into three mandatory sections:

1. Notification Details – Delete
2. Shareholding and Voting Rights Details – Delete
3. Subsidiary Information and Additional Details - Delete

| Major Shareholdings Notification - Delete              |          |                                   |                             |
|--------------------------------------------------------|----------|-----------------------------------|-----------------------------|
|                                                        |          | ? Help ✓ Checklist                |                             |
| <b>Case Reference Number</b>                           | 00370691 | <b>Date/Time Opened</b>           | Monday, 08 Mar 21, 13:02    |
| <b>Case Status</b>                                     | Draft    | <b>Opened By</b>                  | Angela Cormell              |
| <b>Closed On</b>                                       |          | <b>Last Submitted By</b>          |                             |
| <b>Closed By</b>                                       |          | <b>Last Submitted On</b>          |                             |
| FORM                                                   |          | STATUS                            | REQUIRED                    |
| Notification Details - Delete                          |          | <input type="radio"/> Not Started | (Yes) <a href="#">Start</a> |
| Shareholding and Voting Rights Details - Delete        |          | <input type="radio"/> Not Started | (Yes) <a href="#">Start</a> |
| Subsidiary Information and Additional Details - Delete |          | <input type="radio"/> Not Started | (Yes) <a href="#">Start</a> |

### 3.7.1 Notification Details – Delete

#### Q1 - Issuer Details

You will need to enter the Position ID as shown below and then press save.

Home > Create a Case > 00370693

### Notification Details - Delete

|                       |             |                         |                |
|-----------------------|-------------|-------------------------|----------------|
| <b>Current Status</b> | In-Progress | <b>Last Modified By</b> | Angela Cormell |
|-----------------------|-------------|-------------------------|----------------|

[Back to Case](#) [Save](#)

**Notification Details - Delete**

*Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: [DTR5 - FCA Handbook](#)*

\* Enter Position ID

[Back to Case](#) [Save](#)

**Notification Details - Delete**

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: [DTR5 - FCA Handbook](#)

\* Enter Position ID

\* Comments

**1. Issuer Details**

\* ISIN

\* Issuer Name

\* UK or Non-UK Issuer

**2. Reason for Notification**

\* Select Option(s) ⓘ

| Available                                           | Chosen                                    |
|-----------------------------------------------------|-------------------------------------------|
| An acquisition or disposal of voting rights         | An event changing the breakdown of voting |
| An acquisition or disposal of financial instruments |                                           |
| Other                                               |                                           |

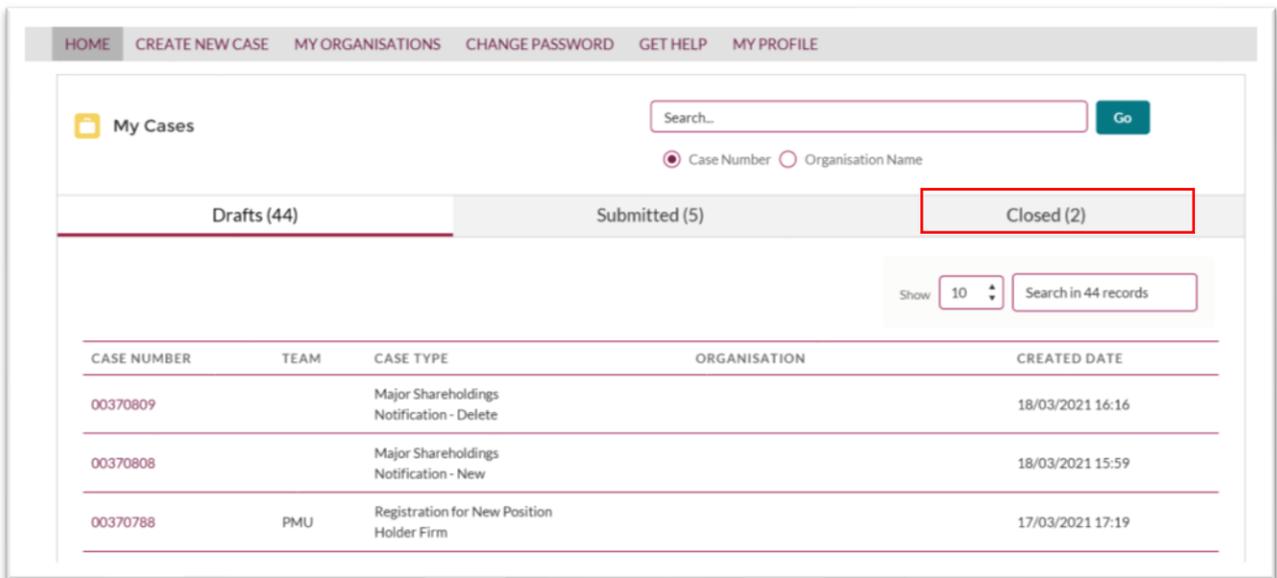
You should return to Section 7.3.1 and follow the instructions to submit a New Notification. You must take care to enter the correct Issuer Number, ISIN (as shown below) to ensure that the information you enter is added to your existing Notification / Position.

### 3.8 How to download the TR-1 Form

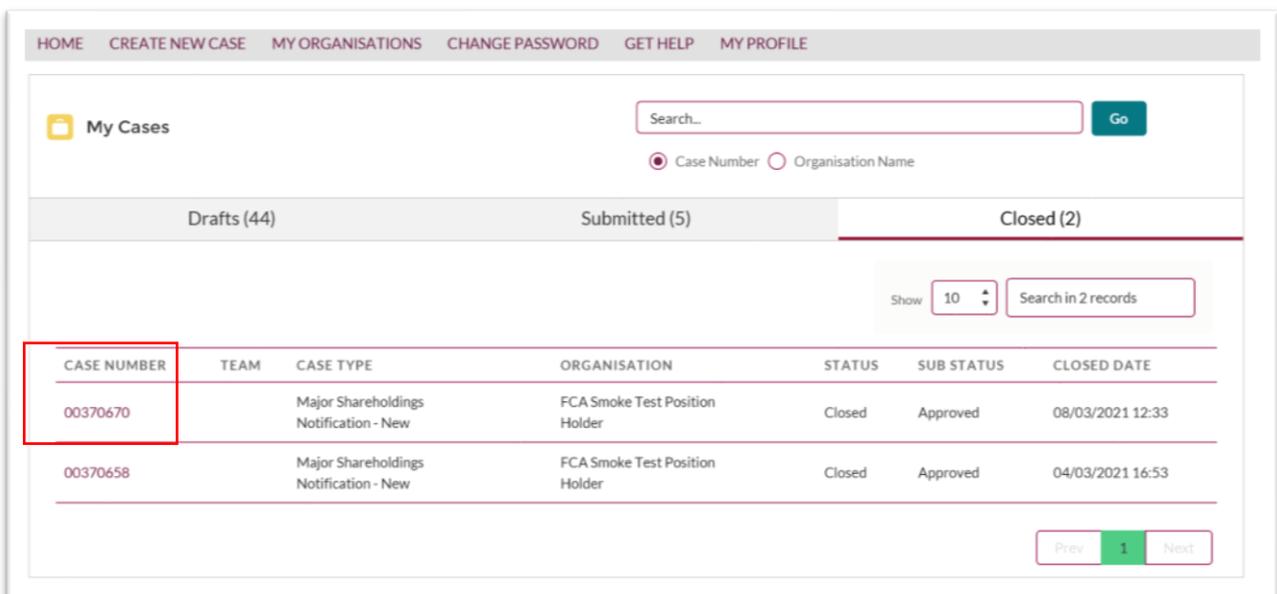
Submitting a notification to the FCA will not fulfill a submitter’s obligation to notify an issuer. To notify an issuer, you can download a copy of the submitted TR-1 form from ESS and send it via email to the relevant issuer.

The process to download a TR-1 Form from the system is outlined within this section.

From the My Cases page select the Closed tab as shown below.



This will open the page which shows all the submissions that you have made. From this view you should select the case you want to open. This is shown below.



The Major Shareholdings Notification – New page will be displayed. From this page you will be able to download a copy of the TR-1 Form. The download box is highlighted below.

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

### Major Shareholdings Notification - New

[Download Form](#) [? Help](#) [✓ Checklist](#)

|                              |                         |                          |                         |
|------------------------------|-------------------------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00370670                | <b>Date/Time Opened</b>  | Friday, 05 Mar 21 11:12 |
| <b>Case Status</b>           | Closed                  | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             | Monday, 08 Mar 21 12:33 | <b>Last Submitted By</b> | Angela Cormell          |
| <b>Closed By</b>             | Angela Cormell          | <b>Last Submitted On</b> | Monday, 08 Mar 21 12:33 |

| FORM                                                | STATUS      | REQUIRED |                      |
|-----------------------------------------------------|-------------|----------|----------------------|
| Notification Details - New                          | ✔ Completed | (Yes)    | <a href="#">View</a> |
| Shareholding and Voting Rights Details - New        | ✔ Completed | (Yes)    | <a href="#">View</a> |
| Subsidiary Information and Additional Details - New | ✔ Completed | (Yes)    | <a href="#">View</a> |

You will see the following disclaimer and you should select Yes to proceed.

[Download Form](#) [? Help](#)

### Disclaimer

***If you submit the downloaded form to the issuer as part of your reporting obligation under the Disclosure Guidance and Transparency Rules - Chapter 5, it is your responsibility to ensure that the information provided is comprehensive and accurate.***

Are you sure you want to download this?

[Yes](#) [No](#)

You will be returned to the Major Shareholding Notification overview page. At the bottom of the screen you will see a dialogue box which enable you to download or save a copy of the TR-1 Form.

The screenshot displays the 'Major Shareholdings Notification - New' interface. At the top right, there are links for 'Download Form', 'Help', and 'Checklist'. The main content area is divided into two columns of key-value pairs:

|                              |                         |                          |                         |
|------------------------------|-------------------------|--------------------------|-------------------------|
| <b>Case Reference Number</b> | 00370670                | <b>Date/Time Opened</b>  | Friday, 05 Mar 21 11:12 |
| <b>Case Status</b>           | Closed                  | <b>Opened By</b>         | Angela Cormell          |
| <b>Closed On</b>             | Monday, 08 Mar 21 12:33 | <b>Last Submitted By</b> | Angela Cormell          |
| <b>Closed By</b>             | Angela Cormell          | <b>Last Submitted On</b> | Monday, 08 Mar 21 12:33 |

Below this is a table with three columns: FORM, STATUS, and REQUIRED. Each row includes a 'View' button.

| FORM                                                | STATUS      | REQUIRED |                                     |
|-----------------------------------------------------|-------------|----------|-------------------------------------|
| Notification Details - New                          | ✔ Completed | (Yes)    | <input type="button" value="View"/> |
| Shareholding and Voting Rights Details - New        | ✔ Completed | (Yes)    | <input type="button" value="View"/> |
| Subsidiary Information and Additional Details - New | ✔ Completed | (Yes)    | <input type="button" value="View"/> |

At the bottom of the page, there is a copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved. [Accessibility Statement](#)'. A red box highlights a dialog box at the bottom of the page with the text: 'Do you want to open or save 00370670\_TR1\_notification.doc from elsu-fcmarketoversight.cs81.force.com?' and buttons for 'Open', 'Save', and 'Cancel'.

If you select **Save**, the TR-1 form will open as a Microsoft Word file from where you can save or print the downloaded form as required. If you choose Open Microsoft Word file will open and a message will advise you that the file has been saved to your PC

An example of a typical TR-1 form that you can download from the system is shown below.

### TR-1: Standard form for notification of major holdings

#### 1. Issuer Details

**ISIN**

GB2345678901

**Issuer Name**

UK Firm Plc

**UK or Non-UK Issuer**

UK

#### 2. Reason for Notification

An acquisition or disposal of financial instruments

#### 3. Details of person subject to the notification obligation

**Name**

XYZ Company Ltd

**City of registered office (if applicable)**

London

**Country of registered office (if applicable)**

United Kingdom

#### 4. Details of the shareholder

**Is the shareholder the same as the person subject to the notification obligation, above?**

No

| NAME             | CITY OF REGISTERED OFFICE | COUNTRY OF REGISTERED OFFICE |
|------------------|---------------------------|------------------------------|
| XYZ Subsidiary 1 | New York                  | USA                          |
| XYZ Subsidiary 2 | New York                  | USA                          |

#### 5. Date on which the threshold was crossed or reached

16-Mar-2021

#### 6. Date on which Issuer notified

16-Mar-2021

## 7. Total positions of person(s) subject to the notification obligation

|                                                                           | % of voting rights attached to shares (total of 8.A) | % of voting rights through financial instruments (total of 8.B 1 + 8.B 2) | Total of both in % (8.A + 8.B) | Total number of voting rights held in issuer |
|---------------------------------------------------------------------------|------------------------------------------------------|---------------------------------------------------------------------------|--------------------------------|----------------------------------------------|
| Resulting situation on the date on which threshold was crossed or reached | 7.500000                                             | 10.050000                                                                 | 17.550000                      | 3500000                                      |
| Position of previous notification (if applicable)                         | 7.500000                                             | 11.590000                                                                 | 19.090000                      |                                              |

## 8. Notified details of the resulting situation on the date on which the threshold was crossed or reached

### 8A. Voting rights attached to shares

| CLASS/TYPE OF SHARES ISIN CODE (IF POSSIBLE) | NUMBER OF DIRECT VOTING RIGHTS (DTR5.1) | NUMBER OF INDIRECT VOTING RIGHTS (DTR5.2.1) | % OF DIRECT VOTING RIGHTS (DTR5.1) | % OF INDIRECT VOTING RIGHTS (DTR5.2.1) |
|----------------------------------------------|-----------------------------------------|---------------------------------------------|------------------------------------|----------------------------------------|
| GB2345678901                                 | 1000000                                 | 500000                                      | 5.000000                           | 2.500000                               |
| Sub Total 8.A                                | 1500000                                 |                                             | 7.500000%                          |                                        |

### 8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

| TYPE OF FINANCIAL INSTRUMENT | EXPIRATION DATE | EXERCISE/CONVERSION PERIOD | NUMBER OF VOTING RIGHTS THAT MAY BE ACQUIRED IF THE INSTRUMENT IS EXERCISED/CONVERTED | % OF VOTING RIGHTS |
|------------------------------|-----------------|----------------------------|---------------------------------------------------------------------------------------|--------------------|
| Shares on loan               | any time        |                            | 1000000                                                                               | 5.000000           |
| Sub Total 8.B1               |                 |                            | 1000000                                                                               | 5.000000%          |

### 8B2. Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))

| TYPE OF FINANCIAL INSTRUMENT | EXPIRATION DATE | EXERCISE/CONVERSION PERIOD | PHYSICAL OR CASH SETTLEMENT | NUMBER OF VOTING RIGHTS | % OF VOTING RIGHTS |
|------------------------------|-----------------|----------------------------|-----------------------------|-------------------------|--------------------|
| CFD                          | any time        |                            | Cash                        | 200000                  | 1.010000           |
| CFD                          | any time        |                            | Cash                        | 200000                  | 1.010000           |
| Equity swap                  |                 |                            | Cash                        | 200000                  | 1.010000           |
| Equity swap                  |                 |                            | Physical                    | 200000                  | 1.010000           |
| Call option                  | 20/12/2021      |                            | Physical                    | 200000                  | 1.010000           |
| Sub Total 8.B2               |                 |                            |                             | 1000000                 | 5.050000%          |

## 9. Information in relation to the person subject to the notification obligation

2. Full chain of controlled undertakings through which the voting rights and/or the financial instruments are effectively held starting with the ultimate controlling natural person or legal entities (please add additional rows as necessary)

| Ultimate Controlling Person | Name of controlled undertaking | % of voting rights if it equals or is higher than the notifiable threshold | % of voting rights through financial instruments if it equals or is higher than the notifiable threshold | Total of both if it equals or is higher than the notifiable threshold |
|-----------------------------|--------------------------------|----------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------|
| XYZ Corporation (Chain 1)   |                                |                                                                            |                                                                                                          |                                                                       |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 1               | 2.000000                                                                   | 1.00000                                                                                                  | 3.000000                                                              |
| XYZ Corporation (Chain 1)   | XYZ Subsidiary 3               | 2.000000                                                                   | 1.500000                                                                                                 | 3.500000                                                              |
| XYZ Corporation (chain 2)   | XYZ Subsidiary 4               |                                                                            |                                                                                                          |                                                                       |
| XYZ Corporation (chain 2)   | XYZ Subsidiary 2               | 4.500000                                                                   | 2.500000                                                                                                 | 7.000000                                                              |
| XYZ Corporation (chain 2)   | XYZ Subsidiary 5               |                                                                            |                                                                                                          |                                                                       |
| XYZ Corporation (chain 3)   |                                |                                                                            |                                                                                                          |                                                                       |
| XYZ Corporation (chain 3)   | XYZ Subsidiary 6               | 4.050000                                                                   |                                                                                                          | 4.050000                                                              |

## 10. In case of proxy voting

**Is there proxy voting?**

No

**Name of the proxy holder**

**The number and % of voting rights held**

**The date until which the voting rights will be held**

## 11. Additional Information

## 12. Date of Completion

16-Mar-2021

## 13. Place Of Completion

London

## 4. Help & Support

If you require assistance with any aspect of the registration process, please send your email as follows.



**For Queries on Step 1 Registration on ESS– Please contact the Operational Support team on:**

- **020 7066 8348**
- **[LTadmin@fca.org.uk](mailto:LTadmin@fca.org.uk)**

**For Step 2 Registration on DTR 5 Portal – Please email [PMU@fca.org.uk](mailto:PMU@fca.org.uk)**

**For Step 2 SSR Registration – Please email [PMU@fca.org.uk](mailto:PMU@fca.org.uk)**