

**CONTROLLERS AND CLOSE LINKS REPORTING (AMENDMENT)  
INSTRUMENT 2013**

**Powers exercised**

- A. The Prudential Regulation Authority makes this instrument in the exercise of the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
- (1) section 137G (The PRA’s general rules); and
  - (2) section 137T (General supplementary powers).
- B. The rule-making powers referred to above are specified for the purpose of section 138G(2) (Rule-making instrument) of the Act.

**Commencement**

- C. This instrument comes into force as follows:
- (1) Part II of the Annex comes into force on 1 March 2014;
  - (2) the remainder of this instrument comes into force on 31 December 2013.

**Amendments to the Handbook**

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.
- E. The PRA gives as guidance each provision that is marked as G in accordance with the Annex to this instrument.

**Citation**

- F. This instrument may be cited as the Controllers and Close Links Reporting (Amendment) Instrument 2013.

**By order of the Board of the Prudential Regulation Authority**  
16 December 2013

## Annex

## Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text unless otherwise stated.

**Part I: Comes into force on 31 December 2013**

**11 Controllers and close links**

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**11.9 Changes in close links**

Requirement to notify changes in close links

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- 11.9.1B R (1) *A firm* must notify the *PRA* that it has become or ceased to be *closely linked* with any *person*. The notification must be made by completing the Close Links Notification Form (see *SUP* 11.9.3CG) and must include the information set out in *SUP* 16.5.4R(4).

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- 11.9.3C G The Close Links Notification Form approved by the *PRA* for notifications under *SUP* 11.9.1BR, and *SUP* 11.9.5BR and ~~*SUP* 16.5.4R(1)~~, may be found at the *PRA* website.

...

- 11.9.4B R The *firm* must make a notification to the *PRA* under *SUP* 11.9.1BR:

...

- (2) where a *firm* has elected to report on a *monthly* basis, within fifteen *business days* of the end of each *month* by completing the Close Links Notification Form, ~~including the information set out in *SUP* 16.5.4R(4)~~ for that *month* and must submit the *group* organisation chart on a quarterly basis unless there have been no changes since the submission of the previous organisation chart to the *PRA*, in which case the *group* organisation chart is not required.

## 16.4 Annual controllers report

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### Reporting requirement

- 16.4.5 R (1) ~~A firm must submit a report to the appropriate regulator annually, containing the information in (3) or (4) (as applicable). [deleted]~~
- (2) ~~A firm must submit the report in (1) to the appropriate regulator within four months of the firm's accounting reference date. [deleted]~~
- (3) ~~If a firm is not aware:~~
- (a) ~~that it has any controllers; or~~
  - (b) ~~of any changes in the identity of its controllers since the submission of its previous report under (1); or~~
  - (c) ~~of any changes in the percentage of shares or voting power in the firm held by any controllers (alone or acting in concert) since the submission of its previous report;~~
- ~~then the report in (1) must confirm this. [deleted]~~
- (4) ~~Unless (3) applies, the report in (1) must contain a list of all the controllers as at the firm's accounting reference date of which it is aware and, for each such controller, state:~~
- (a) ~~its name;~~
  - (b) ~~the percentage of voting power in the firm, or in the firm's parent undertaking, which it is entitled to exercise or control the exercise of, whether alone or acting in concert;~~
  - (c) ~~the percentage of shares in the firm, or in the firm's parent undertaking, which it holds, whether alone or acting in concert;~~
  - (d) ~~if the controller is a body corporate, its country of incorporation, address and registered number; and~~
  - (e) ~~if the controller is an individual, his date and place of birth. [deleted]~~
- (4A) ~~A firm that is a regulated entity must include in its report to the appropriate regulator under (1) whether any consolidation group of which it is a member is a third country banking and investment group. [deleted]~~
- (4B) ~~A firm does not have to give notice to the appropriate regulator under (4A) if it, or another member of the third country banking and~~

~~investment group, has already given notice to the appropriate regulator of the relevant fact.~~ [deleted]

(5) [deleted]

(6) A firm must submit annually by electronic means to the appropriate regulator the Controllers Report which contains the information specified in the form in SUP 16 Annex 37AR, within four months of the firm's accounting reference date.

16.4.6 G ~~The information required by SUP 16.4.5 R(4) may be provided in the form of a group organisation chart.~~ [deleted]

...

16.4.8 G ~~A firm may submit a single report satisfying the requirements of its annual controllers report (SUP 16.4.5R) and its annual close links report (SUP 16.5.4R). Such a report should contain the information required on both controllers and close links.~~ [deleted]

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## 16.5 Annual Close Links Reports

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### Report

16.5.4 R (1) ~~A firm must submit a report to the appropriate regulator annually by completing the Close Links Notification Form (see SUP 11.9.3BG for the FCA and SUP 11.9.3CG for the PRA) and must include the information in (3) or (4) (as applicable) and (5).~~ [deleted]

(2) ~~A firm must submit the report in (1) to the appropriate regulator within four months of the firm's accounting reference date.~~ [deleted]

(3) If a firm is not aware:

(a) that it has any *close links*; or

(b) of any material changes to the details in (4) (a) to (c) in respect of its *close links* since the submission of its previous report under (1);

then the report in (1) must confirm this. [deleted]

(4) Unless (3) applies, the report in (1) must contain a list of all *persons* with whom the *firm* has *close links* as at the *firm's accounting reference date* of which it is aware, and for each such *person* state:

- (a) ~~its name;~~
- (b) ~~the nature of the *close links*;~~
- (c) ~~if the *close link* is with a *body corporate*, its country of incorporation, address and registered number; and~~
- (d) ~~if the *close link* is with an individual, his date and place of birth. [deleted]~~

(5) ~~The *firm* must also submit a *group* organisation chart. [deleted]~~

(6) A *firm* must submit a report to the *appropriate regulator* annually by completing the Close Links Annual Report in SUP 16 Annex 36AR which must be sent electronically to the *appropriate regulator* within four months of the *firm's accounting reference date*.

16.5.4A R If a *group* includes more than one *firm*, a single close links notification may be made by completing the Annual Close Links Report and so satisfy the notification requirement for all *firms* in the *group*. Nevertheless, the requirement to notify, and the responsibility for notifying, remains with each *firm* in the *group*.

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16.5.7 G ~~A *firm* may submit a single report satisfying the requirements of its annual controllers report (SUP 16.4.5R) and its annual close links report (SUP 16.5.4R). Such a report should contain the information required on both *controllers* and *close links*. [deleted]~~

After SUP 16 Annex 35BG insert the following new annexes. The text is not underlined.

**16 Annex 35AR** [to follow]

**16 Annex 35BG** [to follow]

**16 Annex 36AR Close Links Annual Report**

**REP001 Close Links Report**

Currency N/A

Currency Units N/A

**Main Details**

*This section should be completed by all firms*

- 1 Does this report cover close links relating to more than one authorised firm?
- 2 If Yes, list the firm reference numbers (FRNs) of all additional firms included in this report.
- 3 Does the firm/group have any close links?
- 4 If Yes, have there been any material changes, to the close links, for the firm/group since the last submission of the report?
- 5 *Firms must provide an organisation chart unless no close links exist.*  
Are you submitting a group organisation chart?

**Body Corporates**

|   | A                  | B                    | C                        | D       | E                 |
|---|--------------------|----------------------|--------------------------|---------|-------------------|
| 6 | Name of close link | Nature of close link | Country of incorporation | Address | Registered Number |
|   |                    |                      |                          |         |                   |

**Individuals**

|   | A                  | B                    | C             | D              |
|---|--------------------|----------------------|---------------|----------------|
| 7 | Name of close link | Nature of close link | Date of Birth | Place of Birth |
|   |                    |                      |               |                |

## 16 Annex 36BG      **Guidance notes for completion of close links annual report in SUP 16 Annex 36AR**

The *close links* provisions contained in Schedule 6 of the *Act* stem from Directive 95/26/EC (Post BCCI Directive). This directive, implemented in July 1996 in the wake of the collapse of the Bank of Credit and Commerce International (BCCI) in 1991, was designed to strengthen competent authorities' powers to properly supervise financial institutions.

The Post BCCI Directive states that the *firm* must provide information on its *close links* on a 'continuous basis' to ensure effective supervision is not disrupted, i.e. the *appropriate regulator* is able to identify potential risks to a *firm* from its *close links*.

This report is referred to in *SUP* 16.5.4R(6) and is used by a *firm* and/or *group* to submit the annual report required by the rule in *SUP* 16.5. The information provided in this report is in accordance with the rules set out in *SUP* 16.5.4R(6).

### **Data elements**

These are referred to by row first, then by column, so data element 2A will be row 2 and column A.

### **Main details**

#### **1A      Does this report cover close links relating to more than one authorised firm?**

This question must be answered by all *firms*.

The *appropriate regulator* allows *firms* to submit a report for more than one *firm* (i.e. a *group* of *firms*); however, the responsibility for the accuracy of the *close links* information provided by the *group* remains with each individual firm listed in Question 2A.

The submitting *firm* can only submit on behalf of *firms*' whose accounting reference date (ARD) matches that of its own, and therefore covering the same reporting period.

Any additional *firms* whose ARD does not match that of the submitting *firm*, must submit their own report for the relevant period.

#### **2A      If Yes, list the firm reference numbers (FRNs) of all additional firms included in the report.**

This question must be answered if the answer to Question 1A is 'Yes'.

Please list the *firm* reference numbers (FRNs) of all the additional *firms* included in the report.

The *firms* listed in this question must have an equivalent accounting reference date (ARD) and therefore the same reporting requirement (i.e. the same start and end of reporting period and copy number must be the same).

**3A Does the firm/group have any close links?**

This question must be answered by all *firms*.

A *firm* must notify the *appropriate regulator* of whether the *firm* is aware that it has any *close links*.

**4A If Yes, have there been any material changes to the close links for the firm/group since the submission of the last report?**

This question must be answered if the answer to Question 3A is ‘Yes’.

The *firm/group* should indicate here whether there have been any changes to the *close links* since the submission of the previous report/notification to the *appropriate regulator*, including any event-driven notifications made.

**5A Are you submitting a group organisation chart?**

This question must be answered if the answer to Question 3A is ‘Yes’.

The organisation chart must be provided in PDF format; however, we do not define the structure of the organisation chart and the *firm* or *group* may use whatever structure it already holds for its own purpose. This chart must however show all the *firm’s* and/or *group’s close links*.

A group organisation chart is required for every annual report submission made so long as the *firm* is aware that it has *close links*.

**Details of close links (body corporates and/or individuals)**

These questions must be answered if the answer to Question 3A is ‘Yes’.

The *firm* and/or *group* making the submission must provide all the information in relation to its close links if any exist.

**6A/7A Name of close link (body corporates and/or individuals)**

Please provide the full name of the body corporate and/or individual (up to a maximum of 100 characters)

**6B/7B Nature of close link (body corporates and/or individuals)**

Please select from one of the following:

- *Parent undertaking* of the *firm*
- *Subsidiary undertaking* of the *firm*
- *Parent undertaking* of a *subsidiary undertaking* of the *firm*
- *Subsidiary undertaking* of a *parent undertaking* of the *firm*
- Close Link (CL) owns or controls 20% or more of the voting rights or capital of the *firm*
- *Firm* owns or controls 20% or more of the voting rights or capital of

Close Link (CL).

**6C Country of incorporation (body corporates only)**

Please provide the country of incorporation using the relevant ISO country code if the *controller* is a body corporate.

A full list of country names and their relevant code elements can be found at: [www.iso.org/iso/country\\_codes/iso\\_3166\\_code\\_lists/country\\_names\\_and\\_code\\_elements.htm](http://www.iso.org/iso/country_codes/iso_3166_code_lists/country_names_and_code_elements.htm)

**6D Address (body corporates only)**

Please provide the full postal address for the body corporate (up to a maximum of 100 characters).

**6E Registered number (body corporates only)**

Please provide the body corporate's registered number (up to a maximum of 20 characters). This is the unique company registration number for body corporates incorporated in the *UK*, or equivalent number for overseas *firms*.

**7C Date of birth (individuals only)**

Please provide the individual's date of birth in dd/mm/yyyy format and age between 18 and 115 years.

**7D Place of birth (individuals only)**

Please provide the individual's place of birth by providing the town and country of birth, for example, 'London, England' (up to a maximum of 100 characters).



## 16 Annex 37BG      **Guidance notes for completion of controllers report in SUP 16 Annex 37AR**

A *firm* and its *controllers* are required to notify certain changes in control in accordance with SUP 11. The purpose of this report required under SUP 16.4.5R(6) is to ensure that, in addition to such notification, the appropriate regulator receives regular and comprehensive information about the identities of all the *controllers* of a *firm*.

### **Data elements**

These are referred to by row first, then by column, so data element 2A will be row 2 and column A.

### **Main details**

#### **1A      Does this report cover controllers relating to more than one authorised firm?**

This question must be answered by all *firms*.

The *appropriate regulator* allows *firms* to submit a report for more than one *firm* (i.e. a *group of firms*); however, the responsibility for the accuracy of the *controllers* information provided by the *group* remains with each individual *firm* listed in Question 2A.

The submitting *firm* can only submit on behalf of *firms* whose accounting reference date (ARD) matches that of its own, and therefore covering the same reporting period.

Any additional *firms* whose ARD does not match that of the submitting *firm*, must submit their own report for the relevant period.

#### **2A      If Yes, list the firm reference numbers (FRNs) of all additional firms included in the report.**

This question must be answered if the answer to Question 1A is 'Yes'.

Please list the *firm* reference numbers (FRNs) of all the additional *firms* included in the report.

The *firms* listed in this question must have an equivalent accounting reference date (ARD) and, therefore, the same reporting requirement (i.e. the same start and end of reporting period and copy number must be the same).

### **Firm/Controller details**

The *firm* and/or *group* making the submission must provide all the information in relation to its *controllers* (see SUP 16.4.5R(6)).

If the report is being submitted on behalf of more than one authorised *firm*, this section must be completed and contain at least the mandatory information for each *firm*. However, although the submission of the report is made by one *firm*, the requirement to provide the report and the information contained therein remains the responsibility of each authorised *firm* listed in Question 2A.

**3A Firm reference number (FRN)**

This question must be answered by the submitting *firm* and all *firms* listed in Question 2A.

Please provide the *firm* reference number (FRN) of the *firm* whose *controller* details are being provided.

**3B Does the firm have any controllers?**

This question must be answered by the submitting *firm* and all *firms* listed in Question 2A.

Answer 'Yes' or 'No' accordingly. If 'No', no further information needs to be provided for this *firm*.

**3C Are you aware of any changes in the identity of the controllers since the last submission?**

Answer 'Yes' or 'No' accordingly. This question must be answered if the answer to Question 3B is 'Yes'.

**3D Are you aware of any changes in the percentage of shares or voting power held by any controllers (alone or acting in concert) since the last submission?**

Answer 'Yes' or 'No' accordingly. This question must be answered if the answer to Question 3B is 'Yes'.

**3E Was appropriate regulatory approval sought and granted prior to the change(s) being effected?**

Answer 'Yes' or 'No' accordingly. This question must be answered if the answer to Question 3C or 3D is 'Yes'.

If a *controller* is increasing their shares or voting power, but does not move up a controller band (see question 5 in the Change in control FAQs page) then this question can be answered N/A.

If a *controller* is increasing their shares or voting power and does cross a controller band, then regulatory approval must be sought (see Change in control page) for details on how to notify the *appropriate regulator*. If such approval has not been sought or granted, then the report should still be completed and

submitted. The *firm* should also complete the relevant *controller* notification form.

**3F If the firm is a member of a consolidation group, is this group a third-country banking and investment group?**

If the *firm* is a member of a *consolidation group* which is a *third-country banking and investment group*, then this question should be answered 'Yes'.

If the *firm* is a member of a *consolidation group*, but that group is not a *third-country banking and investment group*, then this question should be answered 'No'.

If the *firm* is not a member of a *consolidation group*, or the *firm* is not a *regulated entity*, or the *firm* that is a *regulated entity* and is a member of a *consolidation group* has already notified the *appropriate regulator* of this fact, then this question should be answered 'NA'.

**3G Is the information being provided in a group organisation chart?**

Answer 'Yes' or 'No' accordingly. This question must be answered if the answer to Question 3B is 'Yes'.

If all the required information in this report is being provided in the form of an organisational chart, Questions 3H to 3P do not need to be completed.

The organisation chart must be provided in PDF format; however, we do not define the structure of the organisation chart and the *firm/group* may use whatever structure it already holds for its own purpose. This chart must however show all the information required in Questions 3H to 3P and make it clear for what period the organisation chart is relevant.

However, if the answer to this question is 'No', then the information in Questions 3H to 3P must be provided.

**3H Name of controller**

The name of the *controller* (up to a maximum of 100 characters).

**3I % Voting power**

The percentage of voting power in the *firm*, or in the *firm's parent undertaking*, which it is entitled to exercise or control the exercise of, whether alone or acting in concert (to the nearest percentage).

**3J % Shareholding**

The percentage of shares in the *firm*, or in the *firm's parent undertaking*, which it holds, whether alone or acting in concert (to the nearest percentage).

**3K Is the controller a body corporate or individual?**

Please state whether the *controller* is a body corporate or an individual.

**3L If controller is a body corporate; country of incorporation**

Please provide the country of incorporation using the relevant ISO country code if the *controller* is a body corporate.

A full list of country names and their relevant code elements can be found at:  
[www.iso.org/iso/country\\_codes/iso\\_3166\\_code\\_lists/country\\_names\\_and\\_code\\_elements.htm](http://www.iso.org/iso/country_codes/iso_3166_code_lists/country_names_and_code_elements.htm)

**3M If controller is a body corporate: address**

Please provide the body corporate's address. If the body corporate is a foreign incorporated *firm*, then please provide the *UK* head office address (up to a maximum of 100 characters).

**3N If controller is a body corporate: registered number**

Please provide the body corporate's registered number. This is the unique company registration number for body corporates incorporated in the *UK*, or equivalent number for overseas *firms* (up to a maximum of 20 characters).

**3O If controller is an individual: date of birth**

Please provide the individual's date of birth in dd/mm/yyyy format and age between 18 and 115 years.

**3P If controller is an individual: place of birth**

Please provide the individual's place of birth by providing the town and country of birth, for example, London, England (up to a maximum of 100 characters).

**Part II: Comes into force on 1 March 2014**

**11 Controllers and close links**

...

**11.9 Changes in close links**

Requirement to notify changes in close links

...

- 11.9.1B R (1) A *firm* must notify the *PRA* that it has become or ceased to be *closely linked* with any *person*. ~~The notification must be made by completing the Close Links Notification Form (see SUP 11.9.3CG)~~ and ensure the following:
- (a) where a *firm* has elected to report changes in *close links* on a *monthly* basis under SUP 11.9.5BR, the notification must be made in line with SUP 11.9.3CAR; and
  - (b) in any other case, the notification must be made by completing the Close Links Notification Form (see SUP 11.9.3CG) and must include the information in SUP 11.9.3DG.
- (2) If a *group* includes more than one *firm*, a single close links notification may be made by completing the Close Links Notification Form or the Close Links Monthly Report (as applicable) and so satisfy the notification requirement for all *firms* in the *group*. Nevertheless, the requirement to notify, and the responsibility for notifying, remains with each *firm* in the *group*.

...

- 11.9.2A G A *firm* may elect not to include the following *close links* in the notification submitted under ~~SUP 11.9.1R, SUP 11.9.5R~~ SUP 11.9.1AR, SUP 11.9.1BR, SUP 11.9.5AR, SUP 11.9.5BR or SUP 16.5:

...

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Form of notification and method of submission

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- 11.9.3C G The Close Links Notification Form approved by the *PRA* for notifications under ~~SUP 11.9.1BR and SUP 11.9.5BR~~ and SUP

~~16.5.4R(1)~~ SUP 11.9.1BR(1)(b) may be found at the *PRA* website.

11.9.3CA R The notification under SUP 11.9.1BR(1)(a) must be made electronically by completing the Close Links Monthly Report and submitting it through the relevant platform provided by the PRA.

11.9.3CB R The Close Links Monthly Report must contain the information specified in SUP 16 Annex 35AR.

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11.9.3D G (1) The notification in SUP 11.9.1AR(1)(b) and SUP 11.9.1BR(1)(b) should contain a list of all *persons* with whom the *firm* is aware that it has *close links*, at the time the notification is made, and, for each such person, state:

(a) its name;

(b) the nature of the *close links*;

(c) if the *close links* are with a *body corporate*, its country of incorporation, address and registered number; and

(d) if the *close links* are with an individual, their date and place of birth.

(2) The *firm* must also submit a *group* organisation chart.

Timing of notification requirement

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11.9.4B R The *firm* must make a notification to the *PRA* under SUP 11.9.1BR:

...

(2) where a *firm* has elected to report on a *monthly* basis, within fifteen *business days* of the end of each *month* by completing the ~~Close Links Notification Form~~ Close Links Monthly Report for that *month* and must submit the *group* organisation chart on a quarterly basis unless there have been no changes since the submission of the previous organisation chart to the *PRA*, in which case the *group* organisation chart is not required.

...

After SUP 16 Annex 34BG insert the following new annexes. The text is not underlined.

# 16 Annex 35AR Close Links Monthly Report

## REP001a Close Links Notification

Currency N/A

Currency Units N/A

### Main Details

*This section should be completed by all firms*

- 1 Does this report cover close links relating to more than one authorised firm?
- 2 If Yes, list the firm reference numbers (FRNs) of all additional firms included in this report.
- 3 Does the firm/group have any close links?
- 4 If Yes, have there been any material changes, to the close links, for the firm/group since the last submission of the report?
- 5 Are you also submitting a group organisation chart?

### New and Existing Body Corporates

|   | A                  | B                    | C                        | D       | E                 |
|---|--------------------|----------------------|--------------------------|---------|-------------------|
| 6 | Name of close link | Nature of close link | Country of incorporation | Address | Registered Number |
|   |                    |                      |                          |         |                   |

### New and Existing Individuals

|   | A                  | B                    | C             | D              |
|---|--------------------|----------------------|---------------|----------------|
| 7 | Name of close link | Nature of close link | Date of Birth | Place of Birth |
|   |                    |                      |               |                |

### Ceased Body Corporates

|   | A                  | B                    | C                        | D       | E                 |
|---|--------------------|----------------------|--------------------------|---------|-------------------|
| 8 | Name of close link | Nature of close link | Country of incorporation | Address | Registered Number |
|   |                    |                      |                          |         |                   |

### Ceased Individuals

|   | A                  | B                    | C             | D              |
|---|--------------------|----------------------|---------------|----------------|
| 9 | Name of close link | Nature of close link | Date of Birth | Place of Birth |
|   |                    |                      |               |                |

## 16 Annex 35BG      **Guidance notes for completion of the close links monthly report in SUP 16 Annex 35AR**

The close links provisions contained in Schedule 6 of the *Act* stem from Directive 95/26/EC (Post BCCI Directive). This directive, implemented in July 1996 in the wake of the collapse of the Bank of Credit and Commerce International (BCCI) in 1991, was designed to strengthen competent authorities' powers to properly supervise financial institutions.

The Post BCCI Directive states that the *firm* must provide information on its *close links* on a 'continuous basis' to ensure effective supervision is not disrupted, i.e. the *appropriate regulator* is able to identify potential risks to a *firm* from its *close links*.

This report is referred to in *SUP 11.9.1AR* and *SUP 11.9.1BR* and is used by a *firm* and/or *group* to submit the periodic notifications required by the chapter. The information provided in this report is in accordance with the rules set out in the chapter.

### **Data elements**

These are referred to by row first, then by column, so data element 2A will be row 2 and column A.

### **Main details**

#### **1A            Does this report cover close links relating to more than one authorised firm?**

This question must be answered by all *firms*.

The appropriate *regulator* allows *firms* to submit a report for more than one *firm* (i.e. a *group of firms*); however, the responsibility for the accuracy of the *close links* information provided by the *group* remains with each individual *firm* listed in Question 2A.

The submitting *firm* can only submit on behalf of *firms* who have an equivalent monthly reporting requirement and covering the same reporting period and copy number.

Any additional *firms* whose reporting requirement does not match that of the submitting *firm*, must submit their own report for the relevant period.

#### **2A            If Yes, list the firm reference numbers (FRNs) of all additional firms included in the report.**

This question must be answered if the answer to Question 1A is 'Yes'.

Please list the *firm* reference numbers (FRNs) of all the additional *firms* included in the report.

The *firms* listed in this question must have an equivalent reporting requirement (i.e. the same start and end of reporting period and copy number must be the same).

**3A Does the firm/group have any close links?**

This question must be answered by all *firms*.

A *firm* must notify the *appropriate regulator* whether the *firm* is aware that it has any *close links*.

**4A If Yes, have there been any material changes to the close links for the firm/group since the submission of the last report?**

This question must be answered if the answer to Question 3A is 'Yes'.

The *firm/group* should indicate here whether there have been any changes to the *close links* since the submission of the previous notification to the *appropriate regulator*.

**5A Are you submitting a group organisation chart?**

This question must be answered if the answer to Question 3A is 'Yes'.

The organisation chart must be provided in PDF format; however, we do not define the structure of the organisation chart and the *firm* or *group* may use whatever structure they already hold for its own purpose. This chart must however show all the *firm's* and/or *group's close links*.

An organisation chart is required on a quarterly basis unless no changes have occurred since the submission of the last organisation chart.

**Details of existing, new and ceased close links (body corporates and/or individuals)**

Questions 6 and/or 7 must be answered if the answer to Question 3A is 'Yes'. Questions 8 and/or 9 must be answered if the firm has ceased any *close links* since the submission of the previous notification to the *appropriate regulator*.

The *firm* and/or *group* making the submission must provide all the information in relation to its *close links*.

**6A/7A/8A/ 9A Name of close link (body corporates and/or individuals)**

Please provide the full name of the body corporate and/or individual (up to a maximum of 100 characters).

**6B/7B/8B/ 9B Nature of close link (body corporates and/or individuals)**

Please select from one of the following:

- *Parent undertaking* of the *firm*
- *Subsidiary undertaking* of the *firm*
- *Parent undertaking* of a *subsidiary undertaking* of the *firm*
- *Subsidiary undertaking* of a *parent undertaking* of the *firm*
- Close Link (CL) owns or controls 20% or more of the voting rights or

capital of the *firm*

- *Firm* owns or controls 20% or more of the voting rights or capital of Close Link (CL).

**6C / 8C Country of incorporation (body corporates only)**

Please provide the country of incorporation using the relevant ISO country code if the *controller* is a body corporate.

A full list of country names and their relevant code elements can be found at: [www.iso.org/iso/country\\_codes/iso\\_3166\\_code\\_lists/country\\_names\\_and\\_code\\_elements.htm](http://www.iso.org/iso/country_codes/iso_3166_code_lists/country_names_and_code_elements.htm)

**6D / 8D Address (body corporates only)**

Please provide the full postal address for the body corporate (up to a maximum of 100 characters).

**6E / 8E Registered number (body corporates only)**

Please provide the body corporate's registered number (up to a maximum of 20 characters). This is the unique company registration number for body corporates incorporated in the *UK*, or equivalent number for overseas *firms*.

**7C / 9C Date of birth (individuals only)**

Please provide the individual's date of birth in dd/mm/yyyy format and age between 18 and 115 years.

**7D / 9D Place of birth (individuals only)**

Please provide the individual's place of birth by providing the town and country of birth, for example, London, England (up to a maximum of 100 characters).