

**Trade Repository: Application to withdraw registration**

**Legal name of Trade Repository**

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| --- |
|       |

**Firm reference number (FRN – should be 6 or 7 digits and can be found on the** [**FS Register**](https://register.fca.org.uk/s/firm?id=001b000000MfYX6AAN)**)**

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**Purpose of this form**

You should use this form if you are a UK registered Trade Repository that wishes your registration to be withdrawn under the following provisions of Regulation (EU) No 648/2012 of the European Parliament and of the Council of 4 July 2012 on OTC derivatives, central counterparties and trade repositories (“**UK EMIR**”) or of Regulation (EU) 2015/2365 of the European Parliament and of the Council of 25 November 2015 on transparency of securities financing transactions and of reuse and amending Regulation (EU) No 648/2012 (“**UK SFTR**”), both of which form part UK law by virtue of European Union (Withdrawal) Act 2018:

1. Article 71(3) UK EMIR

2. Article 10(3) UK SFTR

under which the FCA may, on an application by a trade repository, withdraw the registration of the trade repository.

**Important information - read before completing this form**

We require all applicant firms to provide these details as part of their application to withdraw their registration.

For future reference, please keep a copy of the forms you complete and any supporting documents you include.

The FCA processes personal data in line with the requirements of UK General Data Protection Regulation (GDPR) and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website: <https://www.fca.org.uk/privacy>

**It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing an offence. If necessary, you should seek appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete, it may take us longer to process this application form. You must notify us immediately of any significant change to the information provided.**



**Terms in this form**

In this form we use the following terms:

* **‘**We’, 'our', or ‘us’ refers to the Financial Conduct Authority (FCA)
* ‘Applicant Firm’ refers to the trade repository, which wishes its registration to be withdrawn
* ‘You’ refers to the person(s) signing the form on behalf of the applicant firm
* ‘TR’ refers to trade repository

**Filling in the form**

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

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question and
* print out the form you have completed and sign the declaration in this form

**2** If you are filling in the form by hand:

* use black ink
* write clearly in block capitals and
* sign the declaration in this form

**3** If you think a question is not relevant to you, write 'not applicable' and explain why.

**4** If you leave a question blank, you do not sign the declaration or you do not attach the required supporting information without telling us why, we will treat the application as incomplete. This will increase the time taken to process your application.

**5** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

**6** Submit the form by email to: TRsupervision@fca.org.uk

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| --- | --- |
| 1 |  **Withdrawal - notes** |

Before completing this form for withdrawal of registration, you may find it helpful to discuss it with your usual supervisory contact at the FCA.

You should ensure that you include all relevant information and the declaration page in the submitted form. If not, its processing may be delayed while we seek the outstanding information and/or confirmation. Ultimately, we may refuse your application if you do not provide the outstanding information and/or confirmation.

To enable us to process this application, you should have taken the appropriate steps and be able to answer **YES** to each question below

|  |  |
| --- | --- |
| Is the applicant firm, which is the subject of this form registered under: * UK EMIR?
* UK SFTR?
 | [ ]  Yes (UK EMIR)[ ]  No (UK EMIR)[ ]  Yes (UK SFTR)[ ]  No (UK SFTR) |
| If the applicant firm is currently registered under both UK EMIR **and** UK SFTR please select which registration you are looking to withdraw. | [ ]  UK EMIR[ ]  UK SFTR |
| Are the applicant firm’s FCA fees paid and up-to date? | [ ]  Yes[ ]  No |
| Have all data submissions, which the applicant firm should have made to the FCA or to the Bank of England, been completed? | [ ]  Yes[ ]  No |
| Can you confirm that there are no unsatisfied or undischarged complaints against the applicant firm that have not been fully dealt with in line with your firm's complaints procedures? | [ ]  Yes[ ]  No |
| If the applicant firm has not yet ceased carrying on all trade repository services, will it stop doing so within the next 6 months? | [ ]  Yes[ ]  No |
| Has the applicant firm ported all necessary information to another registered UK TR? | [ ]  Yes[ ]  No |
| Has the applicant firm submitted a wind-down plan? | [ ]  Yes[ ]  No |

If you are not able to answer YES to all these questions above, apart from the first one, please contact TRsupervision@fca.org.uk to discuss this withdrawal of registration.

|  |  |
| --- | --- |
| 2 | Application contact details  |

 **2.1 Contact person at the applicant firm for this application**

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

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

|  |  |
| --- | --- |
| Last name |       |

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

 **2.2 Principal place of business of applicant firm**

|  |  |
| --- | --- |
| Principal place of business address |       |
|  |
|  |
| Postcode |       |

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

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

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

 **2.3 Does the applicant firm have a head office?**

[ ]  No

[ ]  Yes, it is the same as address given in Question 2.2

[ ]  Yes, it is different from the address given in Question 2.24 Give details below

|  |  |
| --- | --- |
| Head office address |       |
|  |
|  |
| Postcode |       |

 **2.4 Is the applicant firm an incorporated company?**

[ ]  No

[ ]  Yes4Is the registered office address the same as the address given in Question 2.2 or Question 2.3?

[ ] Yes, it is the same address given in Question 2.2 (principal place of business)

[ ] Yes, it is the same address given in Question 2.3 (head office)

[ ] No4Give details below

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

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

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

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

|  |  |
| --- | --- |
| 3 | Withdrawal details   |

 **3.1 When did the applicant firm cease to provide relevant services from (dd/mm/yyyy)**

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

 **OR**

 **3.2 What are the applicant firm’s reasons for submitting this form? (tick as appropriate)**

[ ]  Adverse market conditions4Continue to Section 5

[ ]  Provided no trade repository services for at least the preceding 6 months (Business still trading) 4Continue to Section 5

[ ]  Provided no trade repository services for at least the preceding 6 months (Business ceased to trade) 4Continue to Section 5

[ ]  Applicant firm merging with another TR 4Continue to Section 4

[ ]  TR services never provided since obtaining registration4Continue to Section 5

[ ]  Other4You must provide details below and continue to Section 5

|  |
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|       |

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| --- | --- |
| 4 | Transfer of business details  |

If the applicant firm’s business is to be merged with more than one TR, please copy this page and complete for each TR, and attach to this application.

 **4.1 Details of TR the applicant firm is merging with**

TR Name

|  |
| --- |
|       |

FRN (if the firm is not authorised or registered you must provide a date when you expect it to become authorised or registered)

|  |
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Date you expect the TR to become authorised or registered (dd/mm/yyyy)

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

Principal place of business of the TR

|  |  |
| --- | --- |
| Principal place of business address |       |
|  |
|  |
| Postcode |       |

Does the TR have a head office?

[ ]  No

[ ]  Yes, it is the same as address given above

[ ]  Yes, it is different from the address given above4 Give details below

|  |  |
| --- | --- |
| Head office address |       |
|  |
|  |
| Postcode |       |

Is the TR an incorporated company?

[ ]  No

[ ]  Yes4Is the registered office address the same as the address given above

[ ] Yes, it is the same address as principal place of business of TR

[ ] Yes, it is the same address as head office of TR

[ ] No4Give details below

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

Name of the principal contact at the TR

|  |
| --- |
|       |

Phone number of the principal contact at the TR

|  |
| --- |
|       |

Email address of the principal contact at the TR

|  |
| --- |
|       |

 **4.2 When does the applicant firm propose to merge with this business? (dd/mm/yyyy)**

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

 **4.3 What provision will be made to ensure any future complaints are dealt with appropriately?**

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| 5 | DeclarationThe application form must be signed by the person who is responsible for submitting it on behalf of the applicant firm |

**Declaration**

It is a criminal offence, knowingly or recklessly, to give the FCA information that is materially false, misleading or deceptive (see sections 398 and 400 FSMA). Even if you believe or know that information has been provided to the FCA before or is in the public domain, you must disclose it clearly and fully in this form and as part of this application – you should not assume that the FCA will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the candidate and/or lead to the FCA exercising their powers (including but not limited to taking disciplinary/ Enforcement action)*.* You must notify the FCA immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the FCA are reasonably likely to consider the information material).

The candidate authorises the FCA to make enquiries and seek further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

The candidate confirms that:
The information provided in this application is accurate and complete to the best of its knowledge and that it has read the notes to this form. The applicant firm will notify the FCA immediately if there is a material change to the information provided.

The signatory confirms that:

I have authority to make this application and provide the declarations given by the applicant, and sign this form, on behalf of the firm(s) in this application. They also confirm that a copy of this form, as submitted to the FCA, will be sent to each of those firms at the same time as submitting the form to the FCA.

Please tick here to confirm you have read and understood this declaration.

|  |  |
| --- | --- |
| **Date** |       |
| **Name of signatory[[1]](#footnote-2)** |       |
| **Position of signatory** |       |
| **Signature** |  |

1. The signatory must be a member of the senior management of the TR. [↑](#footnote-ref-2)