

Electronic Submission System (ESS) User Guide

Version 6
8 June 2026

What's new?

Version 6: Update reflecting amendments to Question 10 of the DTR 5 major shareholding notification.

Version 5: Updated to reflect system changes under the new SSR regime (effective July 2026) and to incorporate the previously separate DTR 5 User Guide.

Version 4 – Changes have been made to screenshots showing the new Listing Categories following the implementation of the new Public Offers and Admissions to Trading Regulations (POATRs) regime on 19 January 2026

Version 3 – Changes have been made to screenshots showing the new Listing Categories following the implementation of the Listing Rule Reform on 29 July 2024.

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

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

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

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1. Accessing the system

Registering for system access

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



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

To register for system access, follow these three steps.

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

FCA FINANCIAL CONDUCT AUTHORITY **Electronic Submission System**

Electronic Submission System Login

Important Notices
Any important notices will be displayed here.

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

Login
Login to Electronic Submission System. [Need help?](#)
Username
Password
[Forgot Your Password?](#) [Register for System Access](#) [Login](#)

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

EU Withdrawal
"The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and the EU. The FCA's [Interpretative Guide 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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Step 2: Enter your registration details, 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 *
--None--

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:**
 - Your email address must be your **work email address**.
 - **Exception:** Where you are an individual acting in a personal capacity and will only use ESS to submit Short Selling and/or Major Shareholdings notifications, you may use a personal email address (e.g. @hotmail.com or @gmail.com). Your account will be limited to these notification types only.
 - Your email address will be used as your ESS username. Once submitted, your email address cannot be changed.

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- ESS does not accept group email addresses. **ESS accounts are strictly personal** and cannot be shared.
- **Telephone number:**
 - Your contact telephone number must be your direct line, not a switchboard number.
- **Company information:**
 - Your company information (company address, contact number) will be used on all cases where you are 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 under the "Company Name" field.

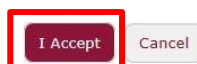
Step 3: Click on **I Accept** to accept the terms and conditions



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](#).



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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.



Electronic Submission System

Registration Confirmation

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



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You will be sent an email once the decision is taken. If you encounter any issues at this stage, contact the support team at ltadmin@fca.org.uk. If you encounter any issues at this stage, contact the support team at ltadmin@fca.org.uk.

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

Activating your registration

Once your registration has been approved, 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

Change Password

Password was last changed on 18.04.2018 16:37.

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

If your registration request is rejected

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

Logging in

Enter the username in lowercase.

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



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 3 unsuccessful login attempts, your account will be locked for 20 minutes. If a further unsuccessful login attempt is made, your account will be locked, and you will need to contact the support team to unlock your account (ltadmin@fca.org.uk).

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.

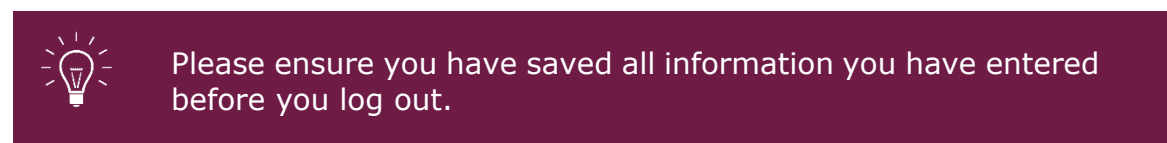
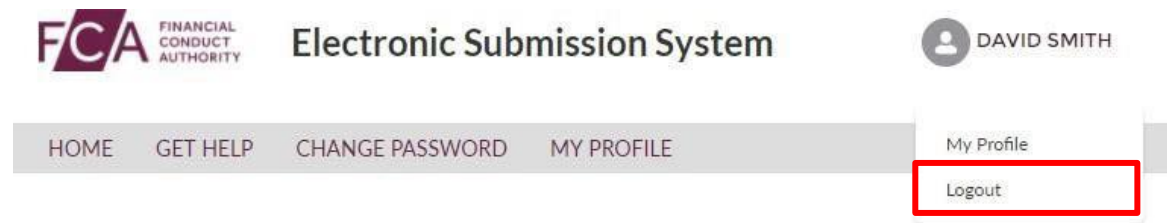
Please refer to the [FCA Privacy Statement](#) here.

☒ I Accept

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

Logging out

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



2. Managing your profile and password

If you forget your password

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



Electronic Submission System

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.

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

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

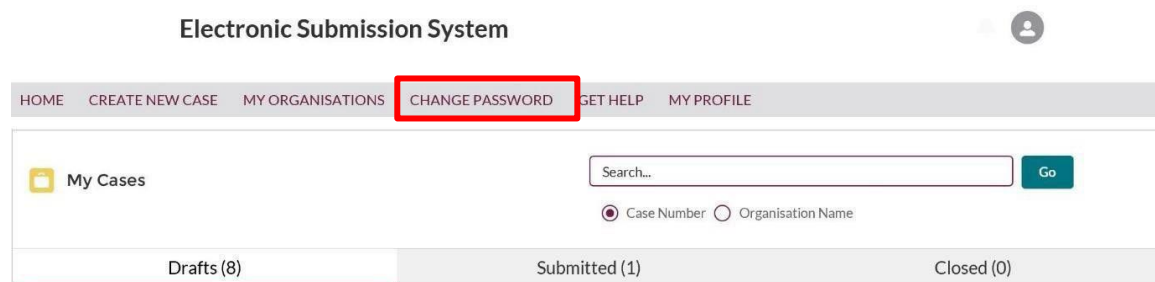
When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

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

If you do not receive the password reset email, please email ltadmin@fca.org.uk.

Changing your password

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



Electronic Submission System

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

My Cases

Search... Go

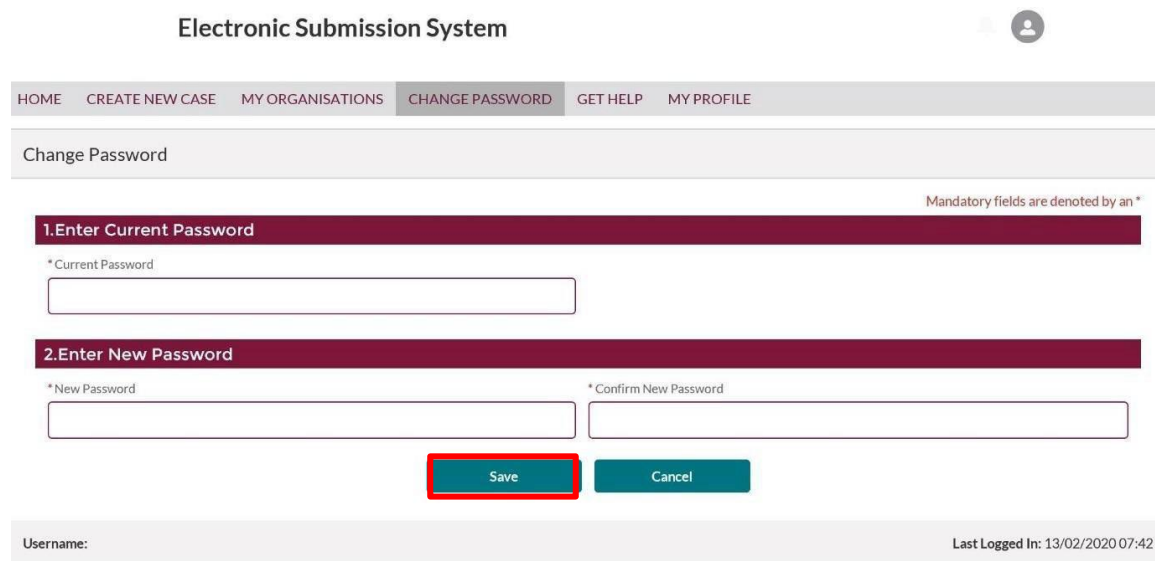
☒ Case Number ☐ Organisation Name

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

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

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

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



Electronic Submission System

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

Change Password

Mandatory fields are denoted by an *

1. Enter Current Password

* Current Password

2. Enter New Password

* New Password * Confirm New Password

Save Cancel

Username: Last Logged In: 13/02/2020 07:42

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Updating your profile

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

Electronic Submission System

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

My Cases

Search...

Go

☒ Case Number ☐ Organisation Name

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

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

Electronic Submission System

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

My Profile Information

This page allows you to update any of your personal information. Mandatory fields are denoted by an *

My Profile Information

* Title: Ms. * First Name: Eno

Email: eno.ndukwe@fca.org.uk * Last Name: Ndukwe

* Phone: 07857425531 Company Name: Financial Conduct Authority

Fax:

Address Information

* Mailing Street: 12 Endeavour House, Ashton Reach * Mailing City: London

Mailing State/Province: * Mailing Zip/Postal Code: SE16 7EQ

* Mailing Country: United Kingdom

Additional Options

Apply changes to Open Cases where I am the Primary Contact ☐

Save Cancel

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

Should your email address change while you are working with the same organisation, you must contact our general administrative help desk (ltadmin@fca.org.uk) who will update your profile with your new email address.



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

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

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

3. Understanding the user interface

Important notices

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



Electronic Submission System

Electronic Submission System Login

Important Notices
18-20 MAY - PLANNED SYSTEM OUTAGE: From 20:00 hrs on 18 May until 18:00 20 May ESS will be unavailable to all users due to essential upgrade work which will deliver enhancements to the look and feel of the ESS portal.
March 2018 - BROWSERS: to access the Electronic Submission System from 10 March 2018 you will need a current or recent version of web browsers such as Internet Explorer 11.
Further information will shortly be available at <https://www.fca.org.uk/markets/ukla/contact/submit-documents-electronically>
We apologise for any inconvenience caused.

Login
Login to Electronic Submission System. [Need help?](#)
Username
Password
[Forgot Your Password?](#) | [Register for System Access](#)

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

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My Cases page

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

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

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.

Draft cases cannot be deleted. Where a case has not been submitted, its status will remain pending, and it cannot be removed from your history. Draft cases may be amended and submitted as a new case.

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

My Organisation / Manage your Position Holder details

If you are registered to submit DTR 5 or SSR notifications on behalf of a position holder, this view displays the position holder details, your permission level, and your organisation information. You can also view other position holders you are registered for from this screen.

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

 1 it	Show 10 Search in 1 records
--	---

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](#)

Changes to position holder details

- If you need to change the name or address of a position holder you are registered to submit for, please email PMU@fca.org.uk with the appropriate supporting evidence (for example, proof of address or a change of name certificate).
- To request the deletion or merging of position holders, please contact PMU@fca.org.uk.

How to find the Position Holder ID

To find the Position Holder ID of the organisations you are registered to report for:

- Go to the **My Organisation** Menu Page.
- The Position Holder ID is viewable in the third column, an example is shown below.

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

 My Organisations 1 items	Show 10 Search in 1 records
---	---

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

Mandatory fields

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

My Profile Information

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

Mandatory fields are denoted by an *

My Profile Information

* Title

Mr.

* First Name

David

Email

david@bigcompanyplc.com

* Last Name

Smith

Error messages

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

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

My Profile Information

Please enter phone number

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

Mandatory fields are denoted by an *

My Profile Information

* Title

Mr.

* First Name

David

Email

david@bigcompanyplc.com

* Last Name

Smith

* Phone

Company Name

Big Issuer PLC

Help text

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

NSM Email Address

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

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

Requested

Approval of a product under PR3.1

Same Day Supply

Case Information

Transaction Title(s) 

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

Case pagination

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

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

[HOME](#)
[CREATE NEW CASE](#)
[MY ORGANISATIONS](#)
[CHANGE PASSWORD](#)
[GET HELP](#)
[MY PROFILE](#)

My Cases

☒ Case Number
 ☐ Organisation Name

Drafts (9)

Submitted (1)

Closed (1)

Show 10

Search in 9 records

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

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Search

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

[HOME](#) [CREATE NEW CASE](#) [MY ORGANISATIONS](#) [CHANGE PASSWORD](#) [GET HELP](#) [MY PROFILE](#)

 My Cases

☒ Case Number ☐ Organisation Name

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

☒ Case Number ☐ Issuer Name

Search Results

Show 10

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

Prev 1 Next

4. Transactional Review cases

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

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

Creating a new Transactional Review case

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

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

Step 1: Creating a new case

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

Electronic Submission System

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

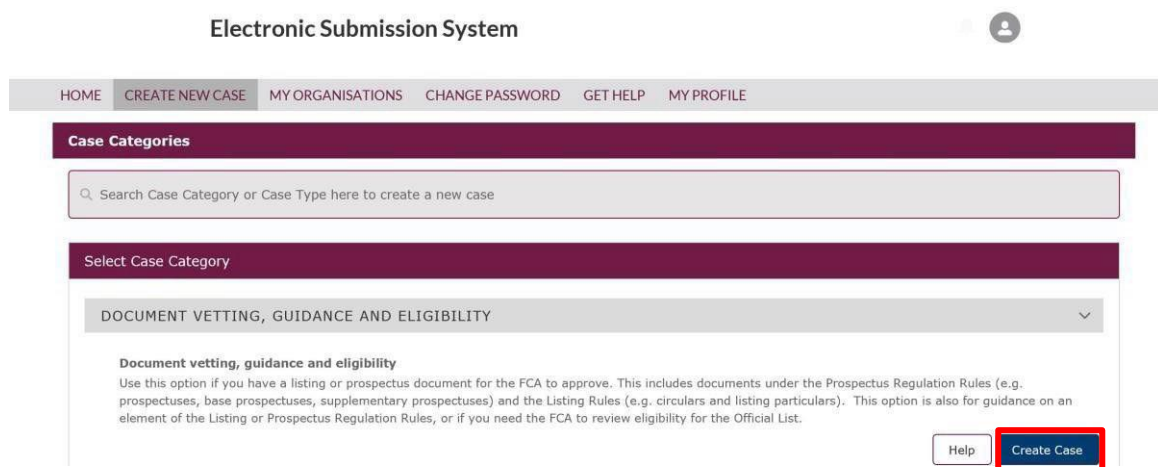
My Cases

Search... Go

☒ Case Number ☐ Organisation Name

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

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



Electronic Submission System

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

Case Categories

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

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

Document vetting, guidance and eligibility

Use this option if you have a listing or prospectus document for the FCA to approve. This includes documents under the Prospectus Regulation Rules (e.g. prospectuses, base prospectuses, supplementary prospectuses) and the Listing Rules (e.g. circulars and listing particulars). This option is also for guidance on an element of the Listing or Prospectus Regulation Rules, or if you need the FCA to review eligibility for the Official List.

Help Create Case

Step 3: Choosing decisions

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

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

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

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

Create New Case - Decision Required

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

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

SELECT	DECISION REQUESTED
☐	Approval of a voluntary prospectus under PRM 9 and permitted under PRM 1.4.15R
☐	Approval of a circular required by UKLR 21.2.8(1)
☐	Approval of a supplementary prospectus under PRM 9
☐	Approval of a circular under UKLR 11.6.3
☐	Approval of an announcement required by UKLR 21.5.11R
☐	Approval of a prospectus under PRM 9
☐	Approval of a circular required by UKLR 21.5.8 R(2)
☐	Approval of a supplementary prospectus under PRR 3.1
☐	Approval of a supplementary registration document under PRM 9
☐	Approval of a base prospectus under PRM 9
☒	Approval of a registration document under PRM 9
☐	Approval of a summary and securities note under PRM 9
☒	Approval of a circular under UKLR 10.2.1
☐	Review of eligibility for listing
☐	Approval of a securities note under PRM 9
☐	Individual guidance from the FCA on PRM, UKLR or DTR
☐	Approval of an investment policy
☐	Approval of an exemption document under PRM 1.4.9R
☐	Notification only - no decision requested
☐	Approval of Universal Registration Document (URD)
☐	Filing of Universal Registration Document (no approval required)
☐	Approval of Amendment
☐	Filing of Amendment (no approval required)

[Save and Continue](#)
[Cancel](#)

Step 4: Entering case details

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

[HOME](#) [CREATE NEW CASE](#) [MY ORGANISATIONS](#) [CHANGE PASSWORD](#) [GET HELP](#) [MY PROFILE](#)

⚠ Document(s) must be attached before you submit

[Save](#) [Submit](#) [Cancel](#)

Case:
00673124

Case Status:
Draft

Case Information

Case Documents

Response Information

Fields required for case submission are denoted by an *

If your submission contains **Inside Information** as defined by Article 7 of the Market Abuse Regulation, please indicate this in the "Transaction Title" field (as well as adding the Transaction Title).

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

Requested Decision(s) ⓘ

Approval of a circular under UKLR 11.6.3

Approval of a registration document under PRM 9

Same Day Supplement : No

Case Information

Transaction Title(s) ⓘ

Related Case Number(s) ⓘ

Code Name ⓘ

NSM Email Address

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

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

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

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

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

Submitter Information

Submitter Organisation

Big Issuer PLC

Case Creator:

David Smith

* Submitter Role ?

-- None --

-- None --
Accounting Firm
Advisor
Broker
Competent Authority
Depository
Guarantor
Issuer
Law Firm
Market Maker
Multinational Trading Facility
Paying Agent
Position Holder
Primary Information Provider
RIE
RIS
SI
Sponsor
Sponsor Agent
-- None --

Step 5: Adding issuers

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

Issuer(s) ?

ISSUER NAME

Add Issuers

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

Issuer(s) ?

ISSUER NAME

Add New Issuer

* Issuer Name

Big Company Plc

Add

Cancel

The issuer will be added to the list:

Issuer(s) ?

ISSUER NAME

Big Company Plc

Add Issuers

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

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

Step 6: Adding other parties

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

Other Parties ?	
ORGANISATION NAME	ROLE
Add Party	

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

Other Parties ?	
ORGANISATION NAME	ROLE
Add New Party * Organisation Name * Role -- None -- Add Cancel	

The organisation will be added to the list:

Other Parties ?	
ORGANISATION NAME	ROLE
The Other Company Plc	Advisor
Add Party	
	Remove

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

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

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

Step 7: Inviting other users

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

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



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

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

Case Users ?

Please ensure your reader has been notified prior to a change of Primary Contact.

TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS	
Mr.	David	Smith	david@bigcompanyplc.com	☒	☒	Active	<button>Remove</button>

Add Case User

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

Case Users ?

Please ensure your reader has been notified prior to a change of Primary Contact.

TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS	
Mr.	David	Smith	david@bigcompanyplc.com	☒	☒	Active	<button>Remove</button>

Add New Case User

*Title

Mr.

*First Name

Sam

*Last Name

Hill

*Email

sam.hill@bigcompanyplc.com

Add

Cancel

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

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

Ok

Cancel

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

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

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

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

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

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

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

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

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

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

Step 8: Choosing a Primary Contact

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

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

Case Users [?]						
Please ensure your reader has been notified prior to a change of Primary Contact.						
TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS
Mr.	David	Smith	david@bigcompanyplc.com	☒	☒	Active Remove
Mr.	Sam	Hill	sam.hill@bigcompanyplc.com	☐	☐	Active Remove
Add Case User						

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

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

Primary Contact	
This user will be the main contact for all correspondence. This information can be updated at any time up until case approval.	
First Name	Email
David	david@bigcompanyplc.com
Last Name	* Phone
Smith	01234567890
Organisation	Contact Mobile
Big Issuer PLC	
	* Fax
	01234987654

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

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

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

Step 9: Uploading documents



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

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

Case: 00140438 Case Status: Open [View Comments](#)

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

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

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

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

Upload Files

DOC

Prospectus.docx

11 KB

1 of 1 file uploaded

Done

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

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

Document(s) ready for submission					
TYPE	FILE NAME	VERSION	BLACKLINE	REMOVE FROM SUBMISSION	DOWNLOAD
Base prospectus (debt)	Prospectus.docx	1	No	Remove	

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

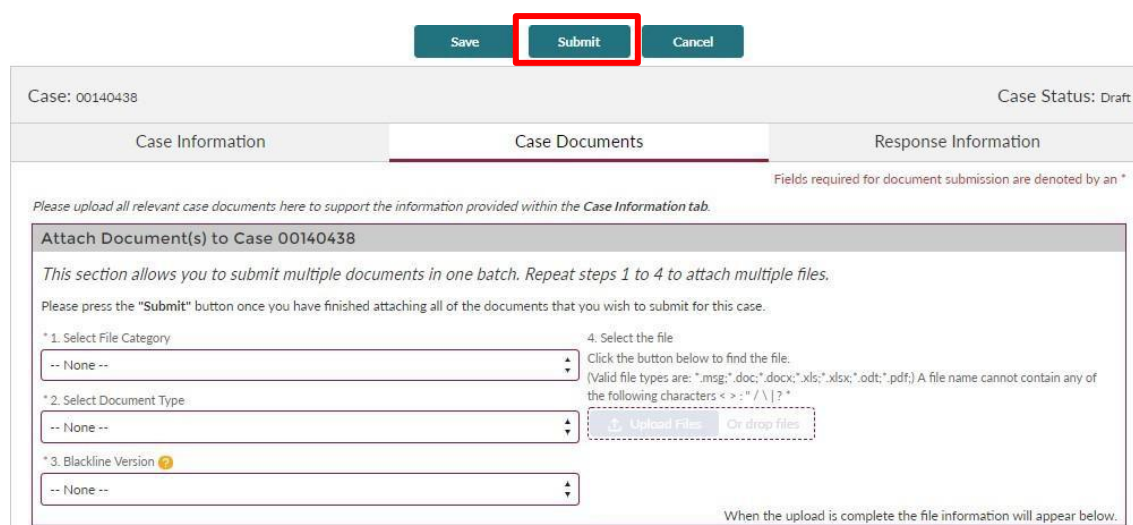
You will not be able to remove documents once a case has been submitted.

Step 10: Submit the case

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

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

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



The screenshot shows the top of the FCA case submission interface. At the top, there are three buttons: 'Save', 'Submit', and 'Cancel'. The 'Submit' button is highlighted with a red rectangle. Below the buttons, the case number 'Case: 00140438' is displayed on the left, and 'Case Status: Draft' is on the right. The interface is divided into three tabs: 'Case Information', 'Case Documents', and 'Response Information'. The 'Case Documents' tab is currently selected. Below the tabs, there is a section titled 'Attach Document(s) to Case 00140438'. This section contains instructions and a form for uploading documents. The form includes three dropdown menus for selecting file category, document type, and blackline version, and a button for uploading files. A note at the bottom right of the form states: 'When the upload is complete the file information will appear below.'

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

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

Case: 00140438

Case Status: Draft

Submission Summary

You are about to submit the following information to the UKLA

Issuer(s)

ISSUER NAME

Big Issuer PLC

Decision(s) Requested

Approval of supplementary prospectus under PR3.1.7

Approval of a circular under LR13.2.1

Same Day Supplement

No

Transaction Title

The Sample Transaction

Code Name

Venus

NSM Upload Recipient

Primary Contact

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

First Name: David

Last Name: Smith

Organisation: Big Issuer PLC

Email: david@bigcompanyplc.com

Phone: 01234567890

Fax: 01234987654

Document Upload Summary

FILE NAME	COUNT
Main Document	1
Supporting Document	0
Checklist	0

Submit

Cancel

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

Electronic Submission System



HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

MY PROFILE

My Cases

Search...

Go

☒ Case Number

☐ Organisation Name

Drafts (8)

Submitted (1)

Closed (0)

Modifying case details on an open case

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

Case: 00140438
Case Status: Open [View Comments](#)

Case Information
Case Documents
Response Information

Fields required for case submission are denoted by an *

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

Requested Decision(s)

Approval of supplementary prospectus under PR3.1.7

Approval of a circular under LR13.2.1

Same Day Supplement : No

Case Information

Transaction Title(s) ?

The Sample Transaction

Related Case Number(s) ?

57392

Code Name ?

Venus

NSM Email Address

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

Case response information

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

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

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

Case: 00140438
Case Status: Open [View Comments](#)

Case Information
Case Documents
Response Information

This section contains information provided to you by the UKLA in relation to the case that you are submitting. No information will be displayed here until a reading team has been allocated.

Readers & Comment Information

ROLE	NAME	PHONE
Reader 1	Nicola Smethers	
Reader 2	Hiten Kapoor	

First Response Due Date : 01/05/2018

Fee(s)

DESCRIPTION	AMOUNT	DATE PAID
Base Prospectus	£2 750.00	28/04/2018

Written Notice

FILE NAME	GENERATED

Responding to comments on a case

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

[Submit](#) [Cancel](#)

Case: 00140438 Case Status: Open [View Comments](#)

Case Information

Case Documents

Response Information

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

Requested Decision(s)

Approval of supplementary prospectus under PR3.1.7

Approval of a circular under LR13.2.1

Same Day Supplement : No

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

Case: 00140438 Status: Open

Issuer(s):

Code Name: Venus

Outstanding

Responded

[Download As PDF](#) [Submit Responses](#)

The following comments require a response.

No Response

C-00003744 - NEG - Listing Hearing

Please confirm a date for a listing hearing with Issuer Management by faxing a request to 020 7066 8364. Please ensure the request includes relevant contact information, a description of the issue and the date the hearing is required. Please ensure that documents supporting the application are provided to the Listing Applications Team in accordance with the '48 hour rule'.

Page Number :

Document : Base prospectus (debt)_V001

Rule Reference :

Published Date : 29/04/2018 10:57 [View/Edit](#)

No Response

C-00003745 - NEG - Basis of Approval

It should be recognised that we are examining the document primarily from a UKLA Department standpoint and that it should not be assumed that our comments will necessarily cover all aspects of FCA regulation. If by submitting the document and receiving our comments, approval of some aspect is being assumed on rules other than Listing or Prospectus Rules then this should be specifically drawn to our [more](#).

Page Number :

Document : Base prospectus (debt)_V001

Rule Reference :

Published Date : 29/04/2018 10:57 [View/Edit](#)



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

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

No Response	
C-00003744	NEG - Listing Hearing
Please confirm a date for a listing hearing with Issuer Management by faxing a request to 020 7066 8364. Please ensure the request includes relevant contact information, a description of the issue and the date the hearing is required, Please ensure that documents supporting the application are provided to the Listing Applications Team in accordance with the '48 hour rule'.	
Page Number :	
Document : Base prospectus (debt)_V001	
Rule Reference :	
Published Date : 29/04/2018 10:57	View/Edit

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

Case: 00140438	Status: Open
Issuer(s):	
Code Name: Venus	
Your Response	
Save & Exit Save Back	
Last Draft Saved on -	
Page Number :	
Save & Exit Save Back	
C-00003744 - NEG - Listing Hearing	
Please confirm a date for a listing hearing with Issuer Management by faxing a request to 020 7066 8364. Please ensure the request includes relevant contact information, a description of the issue and the date the hearing is required, Please ensure that documents supporting the application are provided to the Listing Applications Team in accordance with the '48 hour rule'.	
Linked Document : Base prospectus (debt)_V001	Rule Reference:
Page Number :	Published Date : 29/04/2018 10:57
History	
There is no History record to this comment	

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

Case: 00140438	Status: Open
Issuer(s):	
Code Name: Venus	
Outstanding	Responded
Download As PDF Submit Responses	
The following comments require a response.	
C-00003744 - NEG - Listing Hearing	
Please confirm a date for a listing hearing with Issuer Management by faxing a request to 020 7066 8364. Please ensure the request includes relevant contact information, a description of the issue and the date the hearing is required. Please ensure that documents supporting the application are provided to the Listing Applications Team in accordance with the '48 hour rule'.	
Page Number :	
Document : Base prospectus (debt)_V001	
Rule	
Reference :	
Published Date : 29/04/2018 10:57 View/Edit	
No Response	
C-00003745 - NEG - Basis of Approval	
It should be recognised that we are examining the document primarily from a UKLA Department standpoint and that it should not be assumed that our comments will necessarily cover all aspects of FCA regulation. If by submitting the document and receiving our comments, approval of some aspect is being assumed on rules other than Listing or Prospectus Rules then this should be specifically drawn to our more .	
Page Number :	
Document : Base prospectus (debt)_V001	
Rule	
Reference :	
Published Date : 29/04/2018 10:57 View/Edit	

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

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

Case: 00140438	Status: Open
Issuer(s):	
Code Name: Venus	
Summary of Case Comments	
Responses to the following comments will be submitted to the FCA.	
COMMENT NO.	TITLE
C-00003744	NEG - Listing Hearing
C-00003745	NEG - Basis of Approval
Cancel Submit Responses	

A confirmation of the submitted responses will then be displayed:

Case: 00140438

Status: Open

Issuer(s):

Code Name: Venus

 Responses have been successfully submitted to the FCA.

Ok



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

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

Case: 00140438

Status: Open

Issuer(s):

Code Name: Venus

Outstanding

Responded

Download As PDF

Comments with responses you have submitted are listed below.

COMMENT NO.	TITLE	RESPONSE SENT DATE	PAGE NUMBER	RESOLVED?
C-00003744	NEG - Listing Hearing	29/04/2018 11:07		
C-00003745	NEG - Basis of Approval	29/04/2018 11:07		

You cannot edit a response once it has been submitted.

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

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

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

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

Case: 00140438

Status: Open

Issuer(s):

Code Name: Venus

Outstanding

Responded

Download As PDF

Comments with responses you have submitted are listed below.

COMMENT NO.	TITLE	RESPONSE SENT DATE	PAGE NUMBER	RESOLVED?
C-00003744	NEG - Listing Hearing	29/04/2018 11:21		
C-00003745	NEG - Basis of Approval	29/04/2018 11:07		

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

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

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

History

FCA Comment: NEG - Listing Hearing

Please confirm a date for a listing hearing with Issuer Management by faxing a request to 020 7066 8364. Please ensure the request includes relevant contact information, a description of the issue and the date the hearing is required, Please ensure that documents supporting the application are provided to the Listing Applications Team in accordance with the '48 hour rule'.

Linked Document : Base prospectus (debt)_V001

Rule Reference :

Page Number :

Published On - 29/04/2018 10:57

Your Response - 29/04/2018 11:07 AM

This is my response.

Page Number :

Submitting further drafts for a case

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

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

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

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

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

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

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

Closing a case

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

The status of the case will be Closed.

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

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

Written Notice

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

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

Case: 00140438		Case Status: Approved View Comments	
Case Information	Case Documents	Response Information	
<i>This section contains information provided to you by the UKLA in relation to the case that you are submitting. No information will be displayed here until a reading team has been allocated.</i>			
Readers & Comment Information			
ROLE	NAME	PHONE	
Reader 1	Nicola Smethers		
Reader 2	Hiten Kapoor		
First Response Due Date : 01/05/2018			
Fee(s)			
DESCRIPTION	AMOUNT	DATE PAID	
Base Prospectus	£2 750,00	28/04/2018	
Written Notice			
FILE NAME	GENERATED		
Written Notice 2018-05-02_16:35.pdf	02/05/2018 16:35		

5. Issuer Management cases

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

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

Creating a new Issuer Management case

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

Step 1: Creating a new case

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

Electronic Submission System

HOME **CREATE NEW CAS** MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search...

☒ Case Number ☐ Organisation Name

Drafts (12)	Submitted (1)	Closed (2)

Show 10 Search in 12 records

Step 2: Clicking the arrow on the Issuer Management tab

Case Categories

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

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

ISSUER MANAGEMENT

Step 3: Selecting the case type

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

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

ISSUER MANAGEMENT

Admission to the Official List
This case type is for admission of new and existing class of securities to the Official List only. This is not to be used for Debt Issuance Programmes or amendments to the Official List.

Help

Create Case

Create and Update Programme (post-vetting)
This case type is to be used for either creating a new debt issuance programme or updating an existing/expired issuance programme. This should NOT be used for vetting of a base prospectus.

Help

Create Case

Removal of Securities
This case type is for removing securities from the Official List.

Help

Create Case

Suspension of Securities
This case type is for routine suspensions of securities on the Official List.

Help

Create Case

Restoration of Securities
This case type is for routine restorations of securities on the Official List.

Help

Create Case

Amendment of Securities
This case type is to be used to amend existing securities that are already admitted to the Official List.

Help

Create Case

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

Before you start

Before you start please ensure you have the following:

- the approved prospectus;
- exemptions (if no prospectus);
- sanctions;
- security details;
- any other supporting documentation/information; and
- issuer details (such as LEI number, registered office address, year end, telephone number, email and website).

Continue

Step 5: Entering case details

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

The screenshot shows the 'Case Information' and 'Case Documents' tabs. The 'Case Information' tab is active, and the 'Case Documents' tab is highlighted with a red box. The 'Case Information' tab contains the following fields:

- Case:** 00139443 (highlighted with a red box)
- Case Type:** Admission of Securities
- Case Status:** Draft (highlighted with a red box)
- Transaction Type:** A dropdown menu with options: Treasury Gilts, Final Terms, GDR, and Placing. A red asterisk is next to this field.
- Name of Issuer:** A text input field with a red asterisk.
- Transaction Summary:** A text input field.
- Part 1. Hearing/Application:** A section header with a red asterisk.
- *Application to be heard/processed on:** A date input field showing '27-Jun-2018' with a calendar icon.
- *Admission Effective On:** A date input field with a calendar icon and a help icon.
- Part 2. Security Details:** A section header.
- No Securities added to this Case:** A message with an 'Add Security' button.

Fields required for case submission are denoted by an asterisk (*).

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

Mandatory fields are identified with a red asterisk:

Part 1. Hearing/Application

*Application to be heard/processed on

27-Jun-2018

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

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

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

Step 6: Adding a security

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

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

Part 2. Security Details

No Securities added to this Case

Add Security

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

Part 2. Security Details

No Securities added to this Case

Add Security

** ISIN of Security

** Security Description

Amount Comment ⓘ

Total number of Securities in Issue

* Listing Category

--None--

* Markets of Issue

☐ LSE Main Market
☐ Aquil Stock Exchange
☐ Cboe Europe
☐ Euronext

Public Offer Exemption

** Regulated Market Exemption

Save

Cancel

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

Part 2. Security Details

ISIN of Security	Security Description	Public Offer Exemption	Regulated Market Exemption	Listing Category	Amount	Amount Comment	Total number of Securities in Issue	Market of Issue	
112345567899	Example description	Example POE	Example RME	Equity shares (commercial companies)	50000000		50000000	LSE Main Market	<button>Edit</button> <button>Remove</button>

Add Securities (By keying in all information manually)

Add Security

Step 7: Adding email addresses for the written notice

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

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

Part 4. Written Notice Email Addresses

Email Address

No Email address added to this Case

Add Email Address

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

Part 4. Written Notice Email Addresses

Email Address

Add Email Address

Email Address

david@bigcompanyplc.com

Remove

Step 8: Downloading the submission details

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

HOME GET HELP CHANGE PASSWORD MY PROFILE

Save Submit **Download Form** Back

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

Case Information

Case Documents

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

Fields required for case submission are denoted by an *

Case Information

Transaction Type

Treasury Gilts

Placing

Page 47 of

The downloaded form is an editable Microsoft Word document.



Admission of Securities

Case# 00614070

Case Status: Draft

Case Information

Transaction Type

Placing

Name of Issuer

Big Company plc

Transaction Summary

Part 1. Hearing / Application

Application to be heard/processed on

Admission Effective On

Part 2. Security Details

Security# 1	
ISIN of Security	112345567899
Security Description	Example description
Public Offer Exemption	Example POE
Regulated Market Exemption	Example RME
Listing Category	Equity shares (commercial companies)
Amount	50000000

Amount Comment	
Total number of Securities in Issue	50000000
Market of Issue	LSE Main Market

Part 3. Issuer Information

Registered Office Address

Accounting year end date (Day)

Accounting year end date (Month)

LEI Number

FRN Number

Telephone Number

Part 4. Written Notice Email Addresses

No Emails added to this Case

Part 5. Terms & Conditions

The applicant has acknowledged its obligations arising under the UK listing rules and the legal implications of listing under the Act. Accordingly, it has confirmed that:

1. All the requirements for listing in the UK listing rules, which are required to be fulfilled before the application is to be considered, have been fulfilled in relation to the applicant and the securities for which application is now made (save where otherwise agreed with the FCA).
2. All the documents and information required to be included in the application have been or will be supplied in line with the UK listing rules, and all other requirements of the FCA in respect of the application have been or will be complied with.



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

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

Step 9: Uploading documents



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

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

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

Case Information Case Documents

Fields required for document submission are denoted by an *

Please upload all relevant case documents here to support the information provided within the **Case Information** tab.

Attach Document(s) to Case 00139443

This section allows you to submit multiple documents in one batch. Repeat steps 1 to 3 to attach multiple files.

Please press the "Submit" button once you have finished attaching all of the documents that you wish to submit for this case.

* 1. Select File Category
IM Document

* 2. Select Document Type
-- None --

3. Select the file
Click the button below to find the file.
(Valid file types are: *.msg;*.doc;*.docx;*.xls;*.xlsx;*.odt;*.pdf.) A file name cannot contain any of the following characters < > : " / \ | ? *

Upload Files Or drop files

When the upload is complete the file information will appear below.

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

FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Submitted Document(s)					
FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

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

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

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

Upload Files

DOC

Prospectus.docx

11 KB

1 of 1 file uploaded

Done

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

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

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

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

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



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

Step 10: Submit the case

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

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

HOMEGET HELPCHANGE PASSWORDMY PROFILE

Save

Submit

Download Form

Back

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

Case Information

Case Documents

Fields required for case submission are denoted by an *

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

Case Information

Transaction Type

Treasury Gilts

Placing

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

Now, your application is ready for submission.

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

Case: 00614070Case Status: Draft

Submission Summary

You are about to submit the following information to the IM

Case Information

Case Type

Admission of Securities

Transaction Type

Placing

Name of Issuer

Issuers R Us

Application to be heard/processed on

01/07/2024

Admission Effective Date

05/07/2024 15:21

Transaction Summary

summary information in here

Securities to be Admitted

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

Page 51 of

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

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

☒ I agree terms & conditions

Submit

Back

Once an Issuer Management case is submitted

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

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

Electronic Submission System

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

My Cases

Search... Go

☒ Case Number ☐ Organisation Name

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

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

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

6. Position notifications: SSR and DTR 5/Major shareholdings

This section explains how to register for, and submit, position notifications under:

- the UK short selling regime (SSR); and
- Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5 – major shareholdings), using the FCA’s Electronic Submission System (ESS).

Where processes are common to both regimes (position holder registration), guidance is set out once and applies to both SSR and DTR 5, unless stated otherwise.

6.1. Registration (SSR and DTR 5)

To submit notifications under the UK short selling regime (SSR) and/or Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5 – Major Shareholdings), users must:

- have individual access to the ESS (as explained in part 1 of this guide); and
- be registered to submit notifications on behalf of the position holder.

This section provides step-by-step guidance on how to register as a reporting person on behalf of a position holder firm or individual. You must complete this registration, which must be approved before notifications can be submitted.



If you are not already authorised to submit SSR/DTR 5 notifications, you will not see the options titled 'Short Selling Notifications' or 'Major Shareholdings Notifications'.

Step 1: Accessing the ESS system

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

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

Electronic Submission System

ANGELA CORMELI

[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

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[Accessibility Statement](#)

Step 2: Selecting the registration type

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

Electronic Submission System

ANGELA CORMELI

[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

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[Accessibility Statement](#)

This will take you to the case categories page shown below

Electronic Submission System

ANGELA CORMELI

[HOME](#)
[CREATE NEW CASE](#)
[MY ORGANISATIONS](#)
[CHANGE PASSWORD](#)
[GET HELP](#)
[MY PROFILE](#)

Case Categories

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >

ISSUER MANAGEMENT >

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >

NATIONAL STORAGE MECHANISM >

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[Accessibility Statement](#)

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

3. Choose the appropriate **registration type** from the following three options (each option is explained below):
 - Registration for Existing Position Holder
 - Registration for New Position Holder Firm
 - Registration for New Position Holder Individual

4. Once you have identified which case type you need to submit, select the related '**Create Case**' button. You will then be redirected to the related case form.

The registration types:

(a) Registration for Existing Position Holder: Choose this option to register yourself as a reporting person for **a firm or an individual** that is **already registered as a position holder on ESS**.

(b) Registration for New Position Holder Firm: Choose this option to register yourself as a reporting person **on behalf of a firm that has not been registered on ESS before**. This option creates a new position holder with a unique position holder ID.

(c) Registration for New Position Holder Individual: **Choose this option where**

reporting obligations fall on an individual, to register yourself as a position holder, or to register yourself as a reporting person on behalf of **an individual who has not been registered on ESS before**.

Step 3: Complete the registration forms

Each registration form is split into 2 sections:

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



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

Option 1 - Registration for Existing Position Holder

Once you select **'Create a case'** for *Registration for Existing Position Holder*, you will be taken to the Registration Overview page.

1. Select **'Start'** in the **'Registration Details'** row to begin.

Registration for Existing Position Holder			
? Help ✓ Checklist			
Case Reference Number	00368784	Date/Time Opened	Friday, 13 Nov 20 13:37
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

2. Enter the requested information:
 - **The Position Holder ID:** the 8 characters unique reference number assigned to the position holder when it was first registered; and
 - **The full name of the position holder.**

Registration Details	
Current Status	In-Progress
Last Modified By	Angela Cornell
Back to Case	Save
Position Holder Details	
* Position Holder ID	
* Position Holder Full Company Name	
Reporting Person Details	
First Name	Angela
Last Name	Cornell
Full company name	FCA
Mailing Street	The Financial Conduct Authority, 12 Endeavour Square
Mailing City	London

- Once completed, select **Save**. A confirmation will appear and you will return to the Registration Overview page, where the registration details status will be **Ready to Submit**. Continue to step 4.

Option 2 - Registration for New Position Holder Firm

Once you select '**Create a case**' for *Registration for New Position Holder Firm*, you will be taken to the Registration Overview page.

- Select '**Start**' in the '**Registration Details**' row to begin.

Registration for New Position Holder Firm			
		? Help ✓ Checklist	
Case Reference Number	00368785	Date/Time Opened	Friday, 13 Nov 20 16:03
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

- Complete the Registration Details screen:
 - Position Holder details:** enter the details of the firm you are registering to submit notifications on behalf of.
 - Contact Person:**
 - If you are the primary contact, select **No** to "Is contact person different from reporting person?"
 - If the primary contact is someone else, select **Yes** and complete the Contact Person details section

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?

REPORTING PERSON & CONTACT PERSON DETAILS

Contact Person

* Is contact person different from reporting person?

Yes

* First Name

* Last Name

* Phone Number

Fax Number

* Email Address

* Confirm Email Address

- Once completed, select **Save**. A confirmation will appear and you will return to the Registration Overview page, where the registration details

status will be **Ready to Submit**. Continue to step 4.

Option 3: Registration for New Position Holder Individual

Please note that this option should be selected when the reporting obligations fall on an individual.

Once you select '**Create a case**' for *New Position Holder Individual*, a '**Before you start**' information box will appear listing the documents required.

Before you start

Before you start, please ensure you have the following:

For short selling only:

- Authorisation letter (only if you 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 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 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.)

[Continue](#)

1. Select '**Continue**' to access the Registration Overview page, then select '**Start**' in the '**Registration Details**' row.

Registration for New Position Holder Individual			
? Help ✓ Checklist			
Case Reference Number	00368787	Date/Time Opened	Friday, 13 Nov 20 20:59
Case Status	Draft	Opened By	Angela Cormell
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

2. Complete the Registration Details screen:

- **Position Holder details:** enter the details of the individual you are registering to submit notifications on behalf of.

Note: Although the form asks for the company's details, individuals should enter their personal details in the full company name and address boxes

- **Contact Person:**

- If you are the primary contact, select **No** to "Is contact person different from reporting person?"
- If the primary contact is someone else, select **Yes** and complete the Contact Person details section

3. Once completed, select **Save**. A confirmation will appear and you will return to the Registration Overview page, where the registration details status will be **Ready to Submit**. Continue to step 4.

Step 4: Upload the necessary authorisation documents

Once you have returned to the Registration Overview page, select '**Start**' button in the '**Document Upload**' row.

? Help ✓ Checklist			
Case Reference Number	00368784	Date/Time Opened	Friday, 13 Nov 20 13:37
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	○ Not Started	(Yes)	Start

The Document Upload screen will be displayed.

1. Select the relevant tick box depending on which regime(s) you are registering to submit for, either:
 - SSR notifications (to report net short positions under the UK short selling regime);
 - DTR 5 notifications (to report major shareholdings under Disclosure Guidance and Transparency Rules Chapter 5); or

If you wish to register for both SSR and DTR 5, please tick both boxes

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

2. Upload the required documents for the selected regime(s): Use **Select Document Type** to choose the correct document, then upload using **Upload Files** or drag and drop.

Mandatory documents by registration type:

Case Type	Type	Documents Necessary (Mandatory)
New Position Holder Firm	DTR-5	Authorisation Letter or email
	SSR	Authorisation Letter Certificate of Incorporation
New Position Holder Individual	DTR-5	Authorisation Letter (unless reporting for themselves*)
	SSR	Authorisation Letter Passport or Driving License of Individual
Existing Position Holder	DTR-5	Authorisation Letter or email
	SSR	Authorisation Letter

* Where a Position Holder Individual is registering as the Reporting Person for themselves, no authorisation Document is required for **DTR 5**.

Authorisation letter/email requirements:

- Must specify the regime(s) (SSR, DTR 5, or both) you are being authorised to submit notifications for.
- Must authorise you (by name) to submit.
- Cannot be self-certified (unless you are a sole director) and should be signed by an individual that has the authority to give this level of permission.
- Authorisation letters (for SSR) and authorisation emails or letters (for DTR 5) must be issued on the position holder's letterhead (where applicable) and include a clear signature



For DTR 5, do not upload TR-1 forms as part of your registration. These must be submitted separately via a Major Shareholdings notification.

- Once completed, select **Save**. A confirmation will appear and you will be returned to the Registration Overview page.

Step 5: Submit the Case

Select the '**I agree to the terms & conditions**' link to review the terms, then tick the checkbox to confirm your agreement.

Once all required information is completed, the **Submit Case** button will be enabled. Select '**Submit Case**' to send the case for review.

FORM	STATUS	REQUIRED
Registration Details	✓ Ready to Submit	(Yes) Edit
Document Upload	✓ Ready to Submit	(Yes) Edit
☒ I agree terms & conditions		
Submit Case		

Your SSR and/or DTR 5 Registration is now complete.

You will be redirected to a confirmation page displaying your Case Reference Number. Please quote this reference number in any correspondence with the FCA regarding the status of your case.

Registration for New Position Holder Firm

[? Help](#) [✓ Checklist](#)

Case Reference Number

00220497

Case Status

Open

Closed On

Closed By

Date/Time Opened

Friday, 31 Jan 20, 13:53

Opened By

Scott Walker (Portal)

Last Submitted By

Scott Walker (Portal)

Last Submitted On

Friday, 31 Jan 20, 17:31

FORM	STATUS	REQUIRED
Registration Details	✓ Submitted	(Yes) View
Document Upload	✓ Submitted	(Yes) View

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

After Submission - What happens next

Once your registration has been submitted:

- You will receive email confirmation that the case has been submitted.
- The case status will change from Draft to Open and will remain visible in the Submitted tab of My Cases.
- The FCA will review the registration.

Following review, the case will be either approved or rejected and then closed. You will receive an email notification confirming the outcome.



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

6.2. Short selling notifications

Once you have been approved as a reporting person on behalf of a Position Holder, you will be able to submit short selling notifications through ESS.

The '**Short Selling Notifications**' option will be available from the '**Select Case Category**' screen.

To submit any notification, you must first create an SSR case.

- This section explains how to:
- submit a new short selling notification;
- correct an existing notification; and
- delete a notification submitted in error.

6.2.1. Submit a new SSR Notification

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

Step 1: Create a new SSR case.

1. Select **Create New Case** from the Menu.
2. From **Select Case Category**, choose **Short Selling Notifications**.

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

Case Categories

Q 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) >

3. Navigate to the case type **NSP Share Notification – New** and select **Create Case**.

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >

SHORT SELLING NOTIFICATIONS ▾

NSP Share Notification - New
A new notification should be used when a new reportable position is opened or for a subsequent notification of a previously reported position that has crossed another reportable threshold.

Help **Create Case**

NSP Share Notification - Correct
A correct notification should be used when a detail of the notification has been submitted incorrectly, but the position holder and issuer remains the same.

Help **Create Case**

NSP Share Notification - Delete
A delete notification should only be used when the notification is completely incorrect. For example, if a notification is submitted on behalf of the wrong position holder or was made on error. Please do not use this option to delete notifications when crossing below a reportable threshold or closing a position. Historical notifications should remain in the system.

Help **Create Case**

4. You will be redirected to the case form menu. Select the '**Start**' to continue.

FORM	STATUS	REQUIRED
NSP Share Notification - New	☐ Not Started	(Optional) Start

Step 2: Select the position holder.

The NSP Share Notification – New form will now be displayed.

- Select the relevant Position Holder from the list of firms you are associated with in ESS.
- If the Position Holder does not appear, you must first complete the appropriate SSR registration request.

Some fields will be prepopulated based on the Position Holder selected.

If any pre-populated details are incorrect, please contact pmu@fca.org.uk.

NSP Share Notification - New

Current Status

In-Progress

Last Modified By

Zain Ahmed

Back to Case

Save

 NSP Share Notification - New

* Type Of Notification

NSP Share Notification - New

POSITION HOLDER DETAILS

* Select Position Holder

Choose one..

Position Holder ID

Step 3: Complete the net short position details

When completing the form, you must ensure that the net short position has been calculated **in accordance with the short selling rules** ([Notification and disclosure of net short positions | FCA](#)).

You may select '**Save**' at any time to store the information entered.

Once all mandatory fields contain valid values and the record has been saved, the case status will change to Ready to Submit.

NET SHORT POSITION DETAILS

* Position Date

* Issuer ISIN Code

* Issuer Full Name

* Position Group Reporting 

-- Select --

* Number of equivalent shares

* % of issued share capital

Back to Case

Save

Additional guidance to complete the form:

Notification deadline:

- Notifications must be submitted to the FCA no later than 23:59 on the working day following the working day on which the relevant net short position was first held.
- Late notifications may be submitted. Where a notification is submitted more than 30 days after the reporting deadline, a **Comments** box will appear prompting you to provide an explanation for the late submission.

Position date:

- The Position Date is the working day on which your net short position is assessed as held at midnight.
- You do not need to calculate your position at midnight itself, but the position reported must reflect holdings and issued share capital information available at that time.
- Where a company has been newly added to the Reportable Shares List (RSL), and the position was established before that date, the position date should be the date the company was added to the list.

ISIN and Issuer Full Name:

- Enter the **ISIN** of the company to which the net short position relates. The corresponding **Issuer full Name** will auto-populate from

the system. You may amend the auto-populated name if you believe it is incorrect.

- Refer to the **Reportable Shares List** (RSL) to identify issuers and share classes admitted to trading on UK trading venues that are subject to the short selling rules, including the **main class of ordinary shares** used for position reporting. Links to the RSL: [CSV](#) and [XLSX](#).
- Enter the ISIN of the company's main class of ordinary shares, as identified on the RSL. Where a company has multiple share classes listed on the RSL, net short positions must be aggregated and reported under the main class of shares.
- If you attempt to submit a notification in a share that appears on the RSL as 'another class of share' or in a share identified on the system as non-reportable, an error message will pop up and the system will not allow you to submit a notification.
- If you consider that an admitted share is reportable but does not appear on the RSL, contact us first before sending a notification. You may also contact us if you consider that an admitted share should not be included on the RSL. Relevant contact details are available on the short selling section of the FCA website.

Position Group Reporting

- Use the Position Group Reporting field to indicate whether the notification is being submitted for an individual legal entity or for a group.
- Where reporting is required at group level, the group must be registered in ESS with its own Position Holder ID, and notifications submitted using that Position Holder ID.
- In some cases, both group-level and entity-level notifications are required. For example, where:
 - the group-level net short position falls below the 0.2% threshold, but
 - an individual entity within the group holds a net short position at or above 0.2%,

separate notifications must be submitted: one for the group (using the group Position Holder ID) and one for the relevant individual entity (using its own Position Holder ID).

The same approach applies where the reverse situation occurs.

Reporting net short positions arising from both management activity and non-management activity:

- Where net short positions arise from management activities and other (non-management) activities, these positions must be calculated and reported separately under separate Position Holder IDs.

Validation rules: The system applies automated validation rules based on your most recently disclosed position for the same ISIN. You will not be able to submit a notification that is inconsistent with these rules. For example:

- You cannot submit more than one notification for the same position holder, same issuer and same position date.

Step 4: Submit the case

Once the form is completed, select **Save**. You will be re-directed to the case form menu.

If all mandatory fields contain valid values and the record has been saved, the case status will change to **Ready to Submit**.

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

You are now ready to make the submission,

1. Tick the box to agree the **terms and conditions**.
2. Select **Submit Case**.
3. You will be asked to confirm your submission. Select **Submit Case** again to confirm the submission.

After Submission - What happens next

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

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

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



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

6.2.2. Submit a Bulk NSP notification - *will be available on 30 November 2026.*

This will allow persons to submit multiple notifications for the same position holder at

the same time by uploading a CSV file with the prescribed content via the ESS portal.

We will update the ESS user guide on 30 September to explain the bulk reporting changes.

6.2.3. Correct an existing NSP notification

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

Step 1: Create a new SSR case.

1. Select **Create New Case** for the Menu.
2. From **Select Case Category**, choose **Short Selling Notifications**.
3. Navigate to the case type **NSP Share Notification – correct** and select **Create Case**. You will be redirected to an online case form.
4. Select the '**Start**' to continue.

FORM	STATUS	REQUIRED
NSP Share Notification - Correct	☐ Not Started	(Optional) Start

Step 2: Enter the relevant 'Position ID'

1. Enter the **Position ID** of the notification you wish to amend.
2. Select **Save**.

 **NSP Share Notification - Correct**

Type Of Notification

* Position ID

How to find the position ID:

- Go to the '**My Organisations**' Menu
- Select the relevant position holder name

HOME

CREATE NEW CASE

MY ORGANISATIONS

CHANGE PASSWORD

GET HELP

MY PROFILE



My Organisations

3 items

Show

10

Search in 3 records

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

- Select "**Net Short Position – Shares**"

+ User and Permissions

+ Net Short Positions - Shares

+ Net Short Positions - UK Sovereign Debt/CDS

+ Major Shareholdings

You will be directed to a list of all NSP positions submitted via ESS for the selected position holder.

Look for the relevant position. The position ID is on the first column on the left.

Step 3: Complete the form

Once you enter a valid Position ID, the notification to be corrected will be displayed.

Amend the information as required to complete the form. (You can refer to section 6.2.1. Step 3 of this guide for more information on how to complete the NSP form).

Step 4: Submit the case

Once the form is completed, select **Save**. You will be re-directed to the case form menu.

If all mandatory fields contain valid values and the record has been saved, the case status will change to **Ready to Submit**.

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

You are now ready to make the submission,

1. Tick the box to agree the **terms and conditions**.
2. Select **Submit Case**.
3. You will be asked to confirm your submission. Select **Submit Case** again to confirm the submission.

All **NSP share notification - correct** cases will be reviewed by the FCA. Once approved or rejected your notification will now move to the **Closed** section of **My Cases**.

6.2.4. Delete an existing NSP notification

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

Step 1: Create a new SSR case.

1. Select **Create New Case** for the Menu.
2. From **Select Case Category**, choose **Short Selling Notifications**.
3. Navigate to the case type **NSP Share Notification – delete** and select **Create Case**. You will be redirected to the online case form.

NSP Share Notification - Correct

A correct notification should be used when a detail of the notification has been submitted incorrectly, but the position holder and issuer remains the same.

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

NSP Share Notification - Delete

A delete notification should only be used when the notification is completely incorrect. For example, if a notification is submitted on behalf of the wrong position holder or was made on error. Please do not use this option to delete notifications when crossing below a reportable threshold or closing a position. Historical notifications should remain in the system.

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

4. Select the '**Start**' to continue.

FORM	STATUS	REQUIRED	
NSP Share Notification - Delete	☐ Not Started	(Optional)	Start

Step 2: Enter the relevant 'Position ID'

1. Enter the **Position ID** of the notification you wish to delete.

 **NSP Share Notification - Delete**

Type Of Notification

NSP Share Notification - Delete

* Position ID

2. Select **Save**.

How to find the position ID:

To find the relevant Position ID:

- Go to the '**My Organisations**' Menu,

HOME	CREATE NEW CASE	MY ORGANISATIONS	CHANGE PASSWORD	GET HELP	MY PROFILE
 My Organisations 3 items			Show 10 Search in 3 records		
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	

- Select the relevant position holder name
- Select "**Net Short Position – Shares**"

+ User and Permissions
+ Net Short Positions - Shares
+ Net Short Positions - UK Sovereign Debt/CDS
+ Major Shareholdings

You will be directed to a list of all NSP positions submitted via ESS for the selected position holder.

Look for the relevant position. The position ID is on the first column on the left.

Step 3: Complete the form

Once you enter a valid Position ID, you will be redirected to the case form showing the details of the relevant position notification.

Complete to Comment box explaining the reason for the deletion.

Step 4: Submit the case

Once the form is completed, select **Save**. You will be re-directed to the case form menu.

If all mandatory fields contain valid values and the record has been saved, the case status will change to **Ready to Submit**.

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

You are now ready to make the submission,

1. Tick the box to agree the **terms and conditions**.
2. Select **Submit Case**.
3. You will be asked to confirm your submission. Select **Submit Case** again to

confirm the submission.

All **NSP share notification - delete** cases will be reviewed by the FCA. Once approved or rejected your notification will now move to the **Closed** section of **My Cases**.

6.3. DTR 5 notifications

6.3.1. Submitting a new DTR 5 notification

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

Step 1: Create a Major Shareholdings Notification – New case

1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, choose **Major Shareholdings Notification**.

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

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) >

3. Navigate to the case type **Major Shareholdings Notification – New** and select **Create 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** v

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

Help Create Case

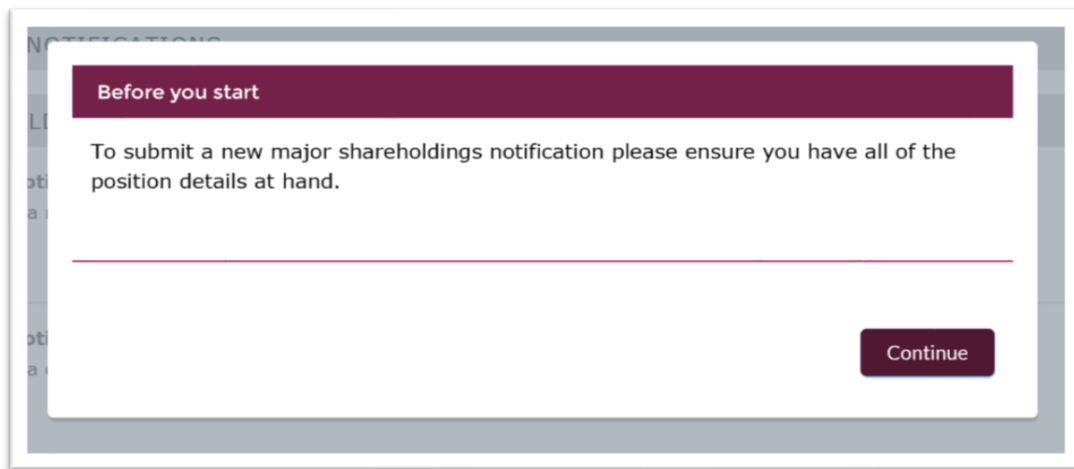
Major Shareholdings Notification - Correct
Use this option to submit a correction request for a previously submitted Major Shareholdings notification.

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

4. The following pop-up notification will be displayed, select **Continue** to close the pop-up box.



Before you start

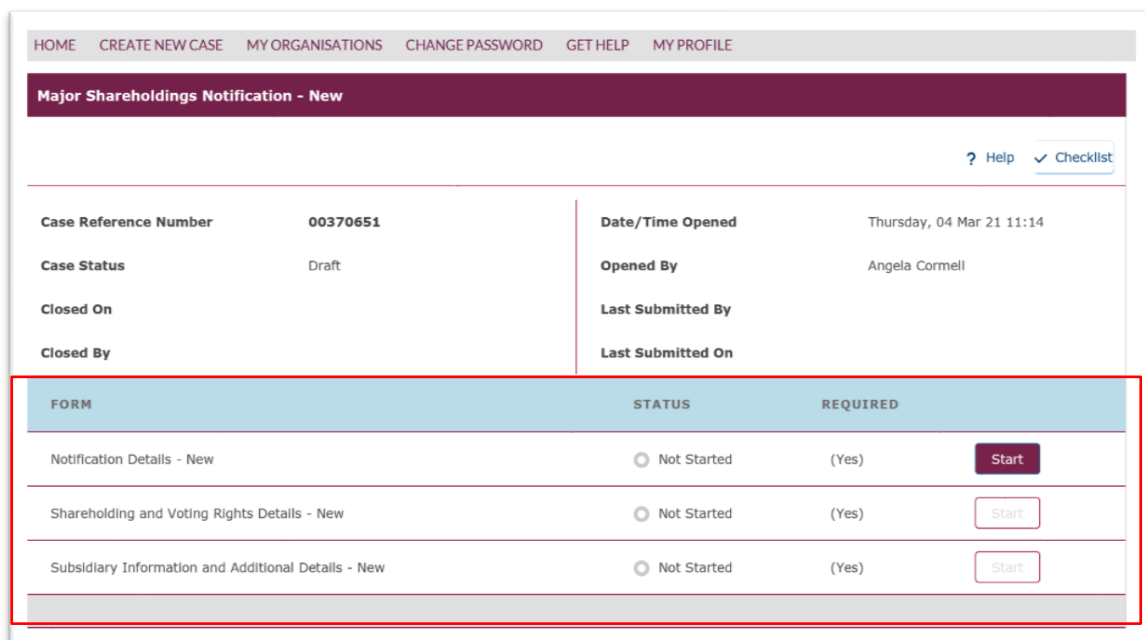
To submit a new major shareholdings notification please ensure you have all of the position details at hand.

[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 sections:

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

5. To begin the submission process, navigate to '**Notification Details – New**' and select **Start** 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](#)

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

FORM	STATUS	REQUIRED	
Notification Details - New	☐ Not Started	(Yes)	Start
Shareholding and Voting Rights Details - New	☐ Not Started	(Yes)	Start
Subsidiary Information and Additional Details - New	☐ Not Started	(Yes)	Start

Step 2: Complete the "Notification Details – New" section

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

Home > Create a Case > 00370758

Notification Details - New

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

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

Notification Details - New

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

1. Issuer Details

Identity of the issuer or the underlying issuer of existing shares to which voting rights are attached ¹

[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) ²

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 ³

6. Date on which Issuer notified

* Select Date ⁴

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

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](#).

QUESTION 1 - Issuer Details

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

Notification Details - New

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](#)

1. Issuer Details

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

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
GB000687A123

* Issuer Name

* UK or Non-UK Issuer
--None--

Search Results

The search is returning the top 200 matches based on the criteria provided. If you can't find a match, please enter additional characters in the search box to further filter the results.

LEI	Issuer Name	Action
213800AWDQ43JNVGGI23	WILLIAM SMITH A FIRM	Select

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.

1. Issuer Details

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

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
GB000687A123

* Issuer Name
WILLIAM SMITH A FIRM

* UK or Non-UK Issuer
UK

QUESTION 2 - 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.

2. Reason for Notification

* Select Option(s) ⓘ

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

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

QUESTION 3 - 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

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

* Name
XYZ Corporation

City of registered office (if applicable)
Welwyn Garden City

Country of registered office (if applicable)
United Kingdom

Add

NAME	CITY OF REGISTERED OFFICE	COUNTRY OF REGISTERED OFFICE
Alpha Capital	New York	USA

Edit 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
Mark Morgan

City of registered office (if applicable)

Country of registered office (if applicable)

Save Cancel

QUESTION 4 - 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?

No

Add

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

Save

Cancel

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

Add

NAME	CITY OF REGISTERED OFFICE	COUNTRY OF REGISTERED OFFICE		
XYZ Subsidiary 2	New York	USA	Edit	Remove
XYZ Subsidiary 1	New York	USA	Edit	Remove

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

QUESTION 5 – 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

QUESTION 6 – 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](#)

Step 3: Complete the “Shareholder and Voting Rights Details – New” section

Shareholding and Voting Rights Details - New

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

[Back to Case](#) [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.

7. Total positions of person(s) subject to the notification obligation				
	% of voting rights attached to shares	% of voting rights through financial instruments	Total of both in %	Total number of voting rights held in issuer
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

Add

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

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

Upload

Validate

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%	v
Shares on loan	Open	any time	200000	1.000010%	v
Futures	14/12/2021	any time	100000	0.500000%	v
Repurchase agreement	20/08/2021		250000	1.250000%	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

Expiration date

Exercise/conversion period

Physical or cash settlement

Number of voting rights

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

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 applicable – non-mandatory).
 d. Physical or cash settlement is (mandatory).
 e. Number of voting rights is (mandatory).
 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%	v
CFD	25/08/2021		Cash	100000	0.510000%	v
CFD	12/01/2022		Cash	100000	0.510000%	v
Equity swap	30/06/2021		Cash	100000	0.510000%	v
Equity swap	15/07/2021		Physical	100000	0.510000%	v
Call option	20/12/2021		Physical	100000	0.510000%	v

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 ¹
Resulting situation on the date on which threshold was crossed or reached	7.500000%	7.800010%	15.300010%	3050000
Position of previous notification (if applicable)	7.500000%	10.050000%	17.550000%	

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

Step 4: Complete the “Subsidiary Information and Additional Details – New” section

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 Cormell

Back to Case | Save

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

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.

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

Section 9 (4).csv

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:

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.

2. Full chain of controlled und

Do you want to upload records

a. Ultimate Controlling Person
b. Name of controlled undertak
c. % of voting rights if it equals
d. % of voting rights through fi
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

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 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

Date Until Voting Rights will be Held

1

If date does not apply, explain below

1

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.

11. Additional Information

Additional Information ⓘ

QUESTION 12 - Date of Completion

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

12. Date of Completion

Date Of Completion

QUESTION 13 – Place of Completion

You will enter the place of completion

13. Place Of Completion

* Place Of Completion

Back to Case

Save

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

Step 5: Submit the case

You are now ready to make the submission. Tick the box to agree the **terms and conditions** and then select **Submit Case**.

Major Shareholdings Notification - New

Download Form

Help

Checklist

Case Reference Number

00370658

Date/Time Opened

Thursday, 04 Mar 21 15:18

Case Status

Draft

Opened By

Angela Cormell

Closed On

Last Submitted By

Closed By

Last Submitted On

FORM	STATUS	REQUIRED	
Notification Details - New	Ready to Submit	(Yes)	Edit
Shareholding and Voting Rights Details - New	Ready to Submit	(Yes)	Edit
Subsidiary Information and Additional Details - New	Ready to Submit	(Yes)	Edit

☐ I agree terms & conditions

Submit Case

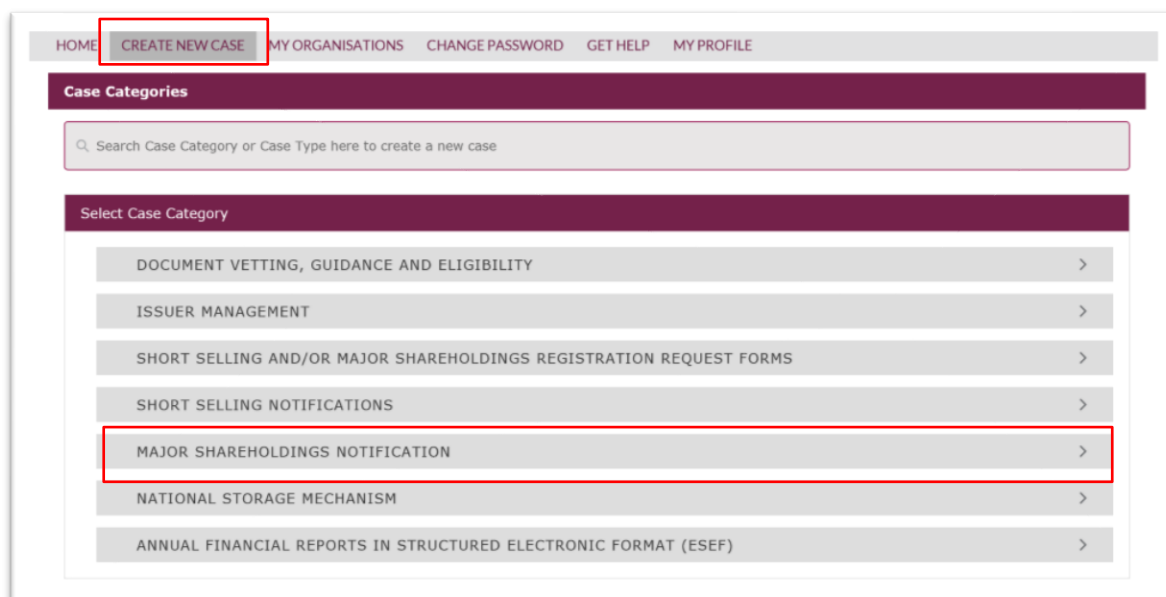
You will be asked to confirm your submission and then you should select Submit Case to complete the submission.

6.3.2. Correct an existing DTR 5 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.

Step 1: Create a Major Shareholdings Notification – Correct case

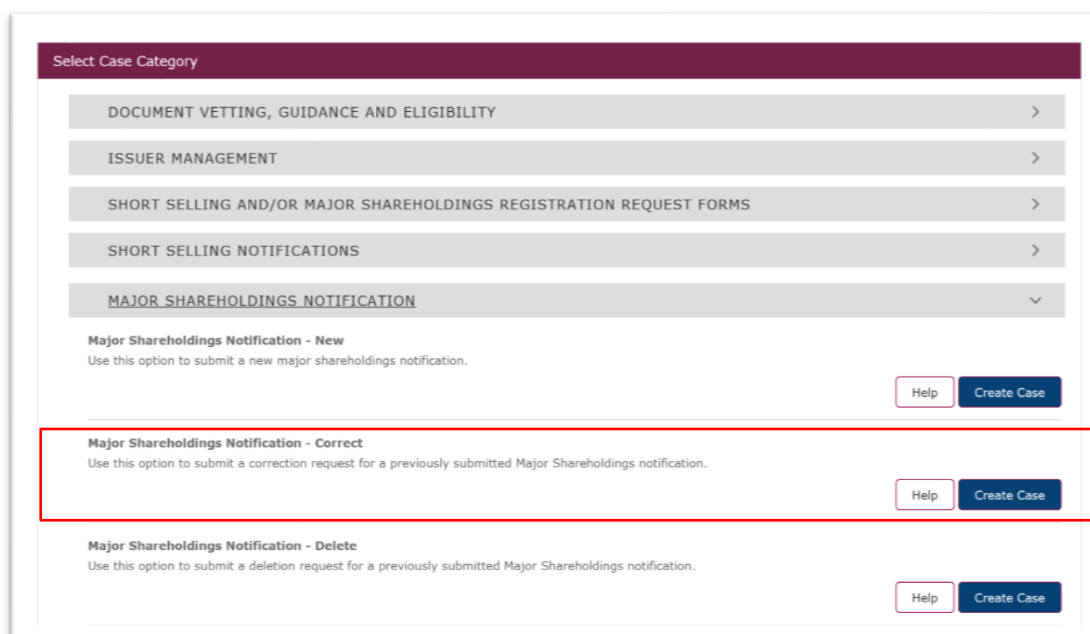
1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, select **Major Shareholdings Notification**.



The screenshot shows the top navigation bar with 'CREATE NEW CASE' highlighted in a red box. Below it is the 'Case Categories' section with a search bar. A list of case categories is shown, with 'MAJOR SHAREHOLDINGS NOTIFICATION' highlighted in a red box.

Case Categories	
Q 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)	>

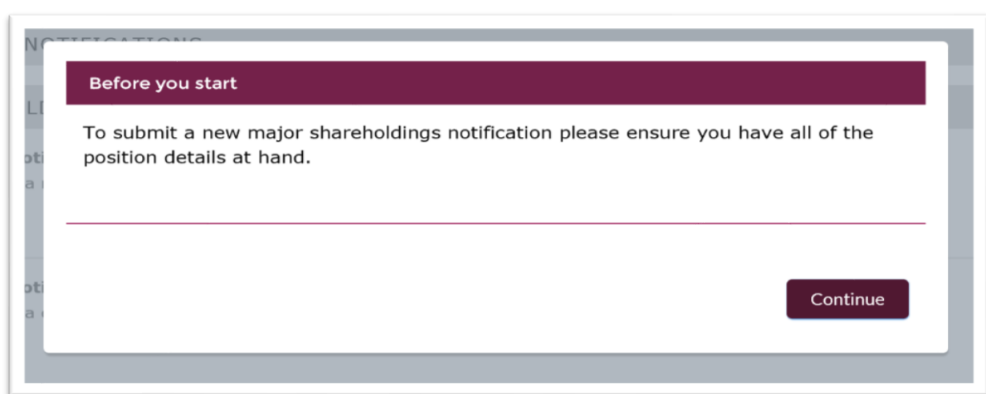
3. The following screen will be displayed. Navigate to the case type **Major Shareholdings Notification – Correct** and select **Create Case**.



The screenshot shows the 'Select Case Category' screen with 'MAJOR SHAREHOLDINGS NOTIFICATION' selected. Below it are three options: 'Major Shareholdings Notification - New', 'Major Shareholdings Notification - Correct' (highlighted in a red box), and 'Major Shareholdings Notification - Delete'. Each option has a 'Help' button and a 'Create Case' button.

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	▼
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	

4. The following pop-up notification will be displayed, select **Continue**.



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

5. To begin the submission process, navigate to '**Notification Details - Correct**' and select **Start**, which will take you to the first part of the form.

Major Shareholdings Notification - Correct

[? Help](#)
[✓ Checklist](#)

Case Reference Number	00370659	Date/Time Opened	Thursday, 04 Mar 21 16:33
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Notification Details - Correct	☐ Not Started	(Yes)	Start
Shareholding and Voting Rights Details - Correct	☐ Not Started	(Yes)	Start
Subsidiary Information and Additional Details - Correct	☐ Not Started	(Yes)	Start

Step 2: Enter the relevant position ID

Once you have clicked **Start** on the '**Notification Details - Correct**' you will need to enter **Position ID** of the notification you wish to amend and Select **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 Cornell

[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

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

How to find the relevant Position ID:

- Go the 'My Organisations' Menu
- Select the relevant position holder name

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

My Organisations 3 items

Show 10 Search in 3 records

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

- Go to 'Major shareholdings'.

+ User and Permissions

+ Net Short Positions - Shares

+ Net Short Positions - UK Sovereign Debt/CDS

+ Major Shareholdings

- You will be directed to a list of all major shareholdings position submitted via ESS for the selected position holder. Look for the relevant position. The position ID is on the first column on the left.

Major Shareholdings								
Position Date:		From	To					
		Select Date	Select Date	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

Step 3. Make the necessary amendments

Once you enter a valid Position ID and select **Save**, the notification to be corrected will be displayed.

Amend the information as required to complete the form. Ensure all three sections of the TR-1 form are reviewed and corrected where necessary

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

An acquisition or disposal of voting rights
An acquisition or disposal of financial instruments
Other

Chosen

An event changing the breakdown of voting

3. Details of person subject to the notification obligation

Please refer to section 6.3.1 of this guide for instructions on how to complete the 13 questions in the TR-1 form.

Select **Save** after reviewing each section.

Step 4: Submit the case

Before submitting, ensure all three sections are marked as 'Ready to Submit'.

Confirm acceptance of the terms and conditions, then select **Submit Case**.

Major Shareholdings Notification - Correct

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

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

FORM	STATUS	REQUIRED	
Notification Details - Correct	Ready to Submit	(Yes)	Edit
Shareholding and Voting Rights Details - Correct	Ready to Submit	(Yes)	Edit
Subsidiary Information and Additional Details - Correct	Ready to Submit	(Yes)	Edit

☐ I agree [terms & conditions](#)

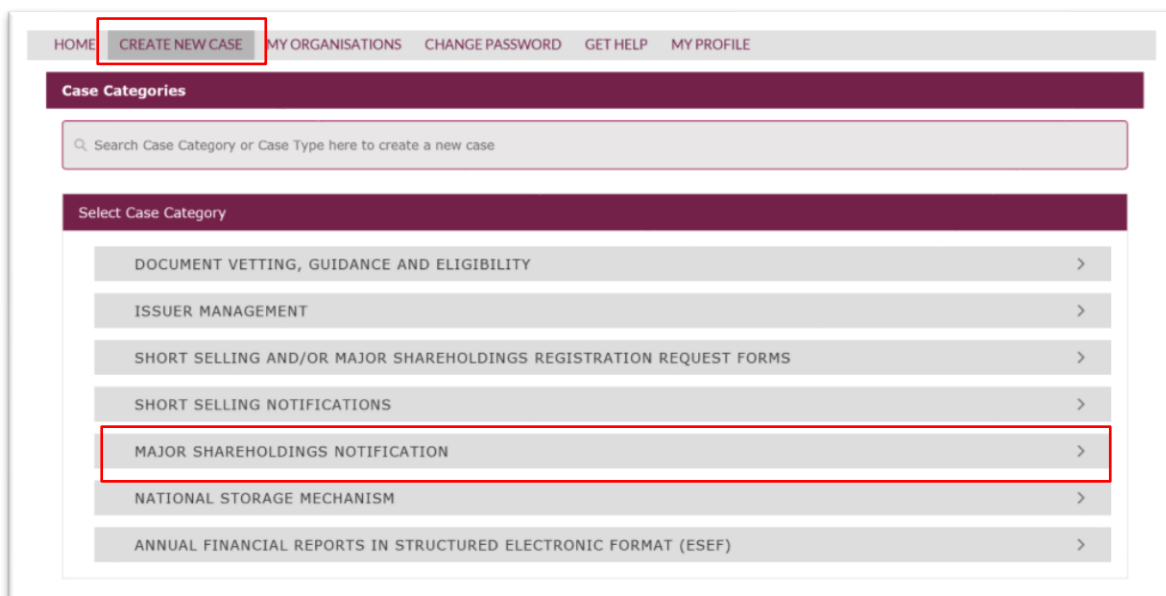
[Submit Case](#)

6.3.3. Delete an existing DTR 5 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.'

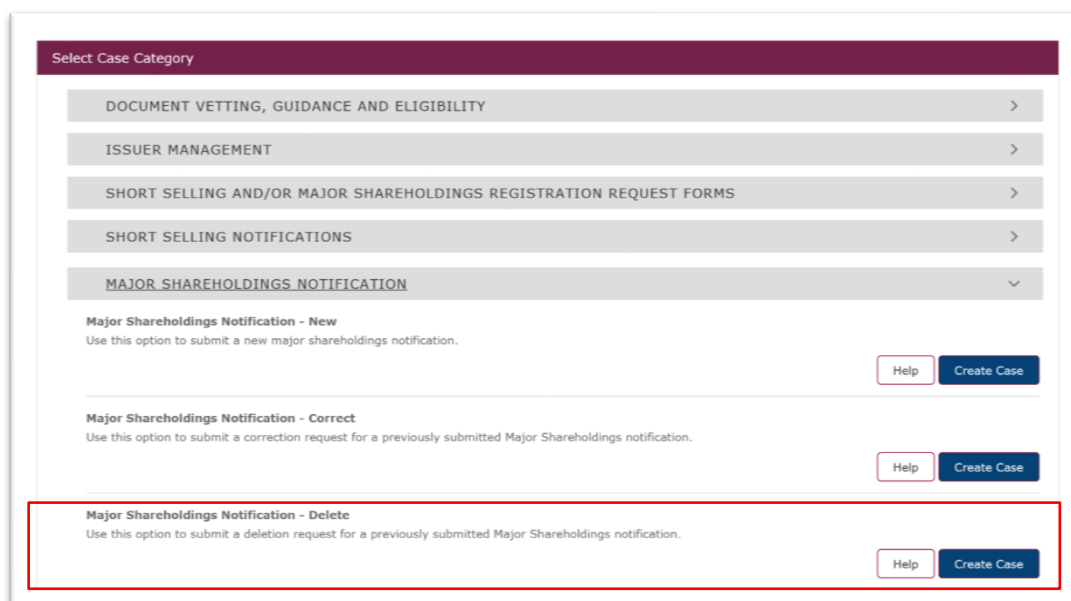
Step 1: Create a Major Shareholdings Notification – Delete case

1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, select **Major Shareholdings Notification**.



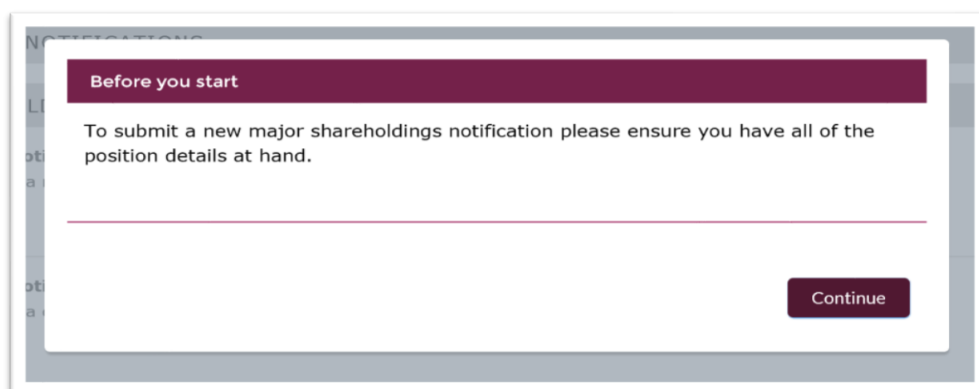
The screenshot shows the 'Case Categories' page. At the top, a navigation bar contains links: HOME, CREATE NEW CASE (highlighted with a red box), MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this is a search bar with the placeholder text 'Search Case Category or Case Type here to create a new case'. Underneath is a section titled 'Select Case Category' containing a list of categories. The category 'MAJOR SHAREHOLDINGS NOTIFICATION' is highlighted with a red box. Other categories include DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY; ISSUER MANAGEMENT; SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS; SHORT SELLING NOTIFICATIONS; NATIONAL STORAGE MECHANISM; and ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF).

3. The following screen will be displayed. Navigate to the case type **Major Shareholdings Notification – Delete** and select **Create Case**.



The screenshot shows the 'Select Case Category' page with the 'MAJOR SHAREHOLDINGS NOTIFICATION' category expanded. It displays three options: 'Major Shareholdings Notification - New', 'Major Shareholdings Notification - Correct', and 'Major Shareholdings Notification - Delete'. Each option has a description and a 'Help' button. The 'Major Shareholdings Notification - Delete' option is highlighted with a red box, and its 'Create Case' button is also highlighted. The 'Create Case' buttons for the other two options are also visible.

4. The following pop-up notification will be displayed, select **Continue**.



The **Major Shareholdings Notification – Delete** 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			
Case Reference Number	00370691	Date/Time Opened	Monday, 08 Mar 21, 13:02
Case Status	Draft	Opened By	Angela Cormell
Closed On		Last Submitted By	
Closed By		Last Submitted On	
FORM	STATUS	REQUIRED	
Notification Details - Delete	☐ Not Started	(Yes)	Start
Shareholding and Voting Rights Details - Delete	☐ Not Started	(Yes)	Start
Subsidiary Information and Additional Details - Delete	☐ Not Started	(Yes)	Start

5. To begin the submission process, navigate to '**Notification Details - Delete**' and select **Start**, which will take you to the first part of the form.

Step 2: Enter the relevant position ID

Once you have clicked **Start** on the '**Notification Details - Delete**' you will need to enter **Position ID** of the notification you wish to delete.

Home > Create a Case > 00370693

Notification Details - Delete

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

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

How to find the relevant Position ID:

- Go the '**My Organisations**' Menu
- Select the relevant position holder name

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

My Organisations
3 Items

Show 10 Search in 3 records

ORGANISATION	ORGANISATION TYPE	POSITION HOLDER ID	LEI	MY PERMISSIONS
KYZ 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

- Go to '**Major shareholdings**'.
- You will be directed to a list of all major shareholdings position submitted via ESS for the selected position holder. Look for the relevant position. The position ID is on the first column on the left.

Major Shareholdings

Position Date: Select Date Select Date 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

Step 3. Review & provide a reason for the deletion

Once you enter a valid Position ID and select Save, the notification to be corrected will be displayed.

Check the details of the forms are correct and provide an explanation for the deletion in the **Comments** box. Then, select **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
PID00208753

* Comments

1. Issuer Details

* ISIN
GB0123456789

Step 4. Submit the Case

Confirm acceptance of the terms and conditions, then select **Submit Case**.

You will be prompted to confirm—select **Submit Case** again to complete the submission.

6.3.4. 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.**

To download the submitted TR-1 Form:

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

The screenshot shows the 'My Cases' page with a navigation bar at the top containing links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below the navigation bar, there is a search bar with a 'Go' button and radio buttons for 'Case Number' (selected) and 'Organisation Name'. The page has three tabs: 'Drafts (44)', 'Submitted (5)', and 'Closed (2)'. The 'Closed (2)' tab is highlighted with a red box. Below the tabs, there is a 'Show' dropdown set to '10' and a search bar labeled 'Search in 44 records'. A table displays the following data:

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00370809		Major Shareholdings Notification - Delete		18/03/2021 16:16
00370808		Major Shareholdings Notification - New		18/03/2021 15:59
00370788	PMU	Registration for New Position Holder Firm		17/03/2021 17:19

This will open the page which shows all the submissions that you have made.

2. Select the case you want to open. This is shown below.

The screenshot shows the 'My Cases' page with the same navigation bar. The 'Closed (2)' tab is selected. Below the tabs, there is a 'Show' dropdown set to '10' and a search bar labeled 'Search in 2 records'. A table displays the following data:

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	STATUS	SUB STATUS	CLOSED DATE
00370670		Major Shareholdings Notification - New	FCA Smoke Test Position Holder	Closed	Approved	08/03/2021 12:33
00370658		Major Shareholdings Notification - New	FCA Smoke Test Position Holder	Closed	Approved	04/03/2021 16:53

At the bottom of the table, there are 'Prev', '1', and 'Next' buttons.

3. The **Major Shareholdings Notification – New** page will be displayed. Click on **Download Form** on the top right as highlighted below.

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

Major Shareholdings Notification - New

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

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

FORM	STATUS	REQUIRED
Notification Details - New	✔ Completed	(Yes) View
Shareholding and Voting Rights Details - New	✔ Completed	(Yes) View
Subsidiary Information and Additional Details - New	✔ Completed	(Yes) View

4. You will see the following disclaimer. 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](#)

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

Major Shareholdings Notification - New

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

Case Reference Number	00370670	Date/Time Opened	Friday, 05 Mar 21 11:12
Case Status	Closed	Opened By	Angela Cormell
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FORM	STATUS	REQUIRED	
Notification Details - New	✓ Completed	(Yes)	View
Shareholding and Voting Rights Details - New	✓ Completed	(Yes)	View
Subsidiary Information and Additional Details - New	✓ Completed	(Yes)	View

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[Accessibility Statement](#)

Do you want to open or save 00370670_TR1_notification.doc from elsu-fcmarketoversight.cs81.force.com?

Open
 Save
 Cancel

6. 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

12. Place of Completion

16-Mar-2021

6.4. SSR/DTR 5 technical and process support Technical system support

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

020 7066 8348 or LTAdmin@fca.org.uk

SSR/DTR 5 registration or notification specific process support

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

Review our [SSR](#) or [Major Shareholdings](#) webpages or email PMU@fca.org.uk.