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

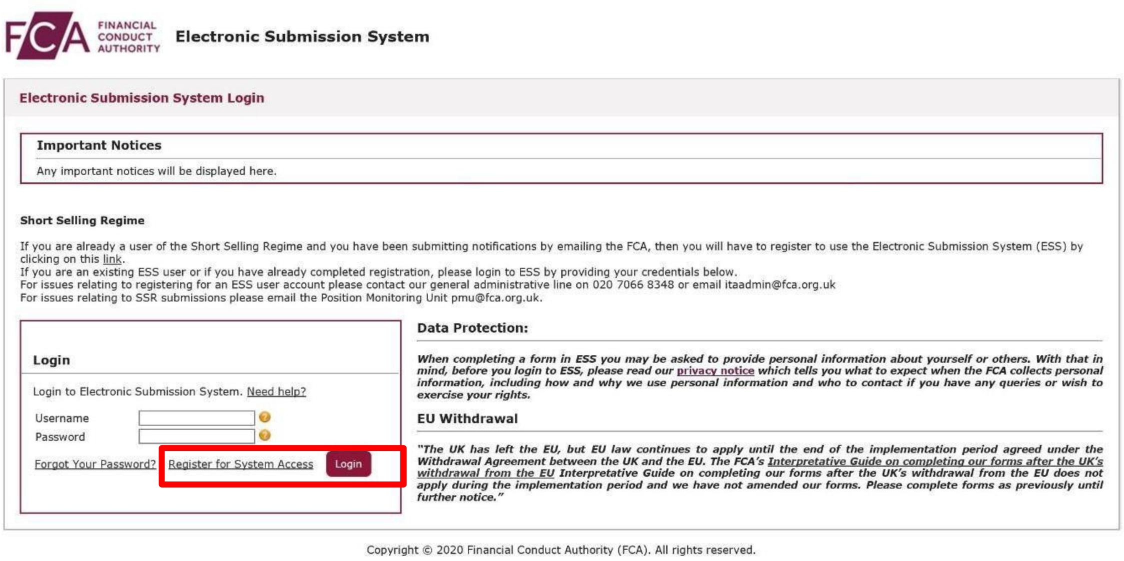
Registering for system access

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.

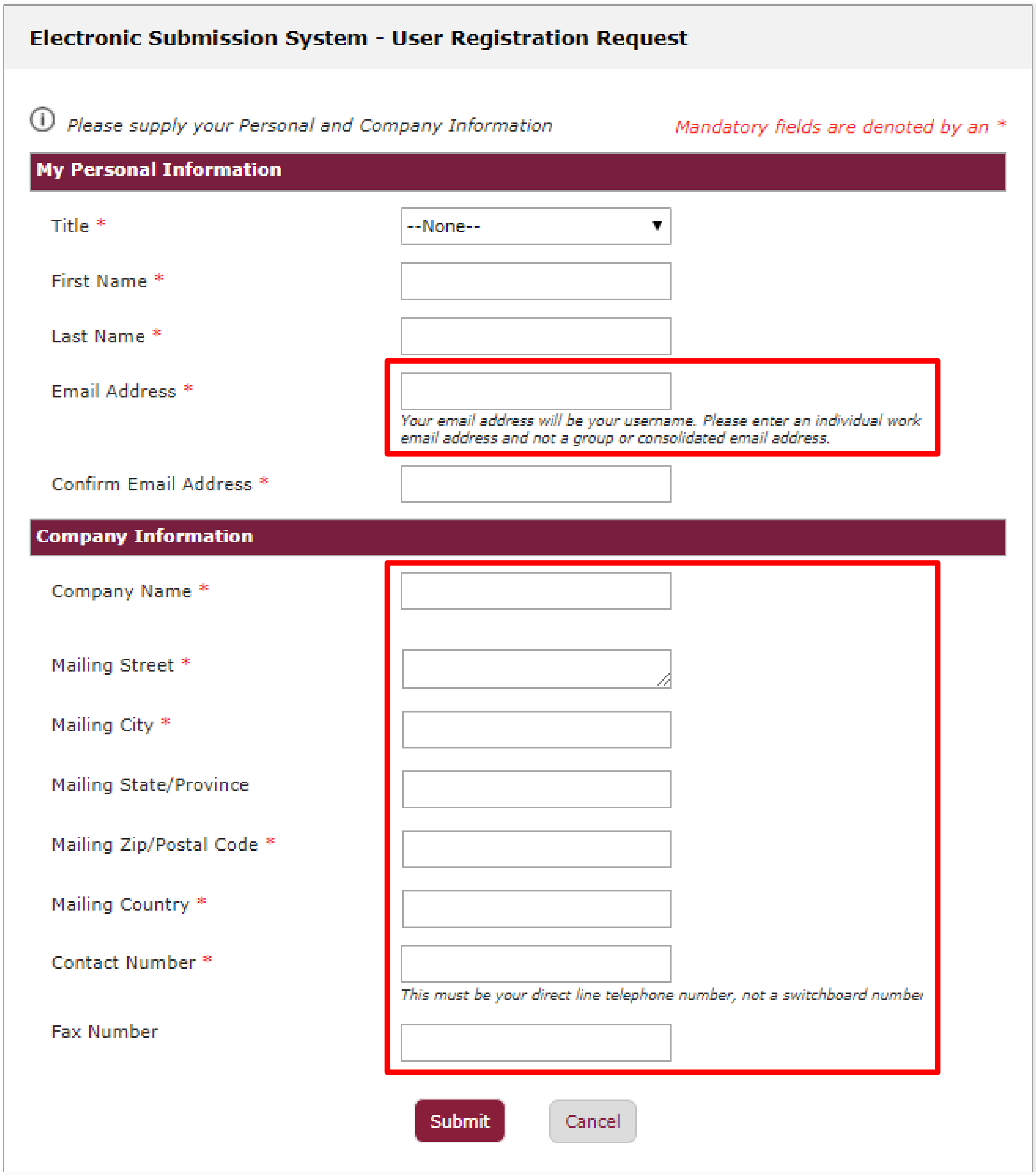
All individuals from your organisation who need to use the system must register individually for access. **Sharing your username and password with other users is strictly prohibited.**

To register for system access, follow these three steps.

Step 1: Go to the ESS login page and click on **Register for System Access**



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 numbei

Fax Number

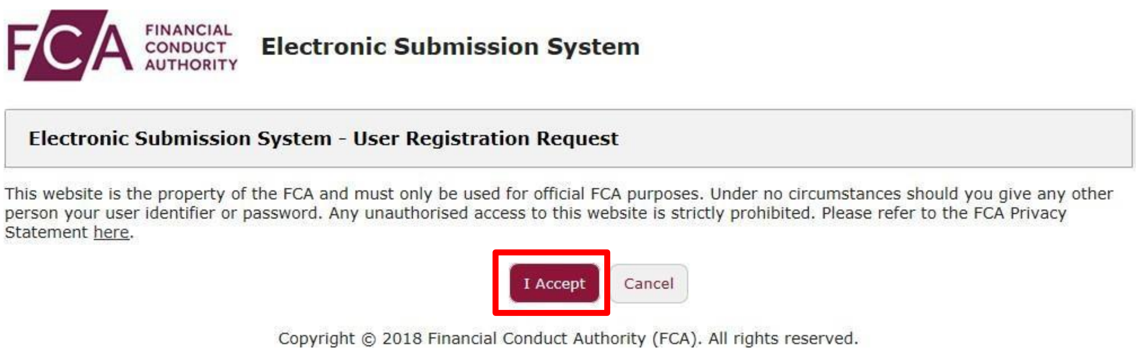
Submit Cancel

When providing your registration details, please note:

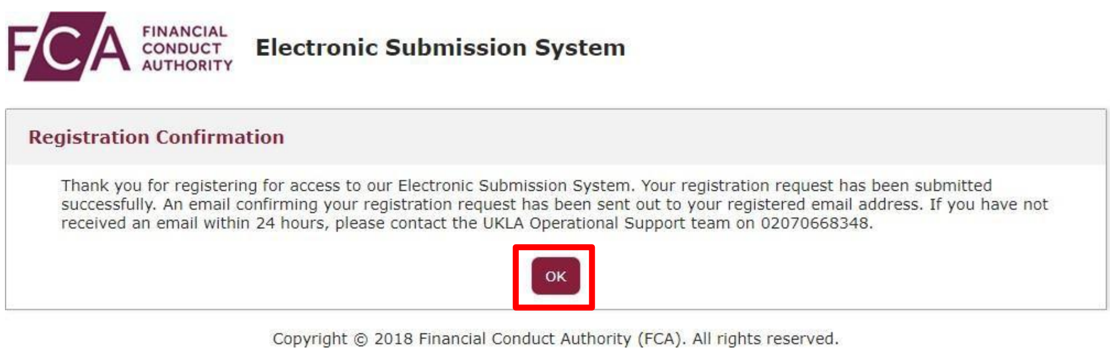
- ***Your email address***:
  - Your email address must be your **work email address**.
  - ***Exception***: Where you are an individual acting in a personal capacity and will only use ESS to submit Short Selling and/or Major Shareholdings notifications, you may use a personal email address (e.g. @hotmail.com 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.

  - 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



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.



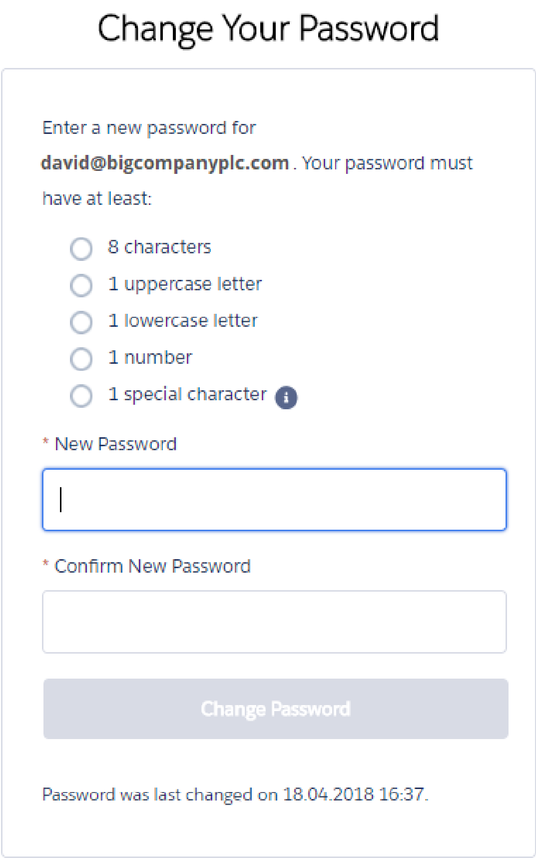
You will be sent an email once the decision is taken. If you encounter any issues at this stage, contact the support team at ltadmin@fca.org.uk.If you encounter any issues at this stage, contact the support team at ltadmin@fca.org.uk ltadmin@fca.org.uk.

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.



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.

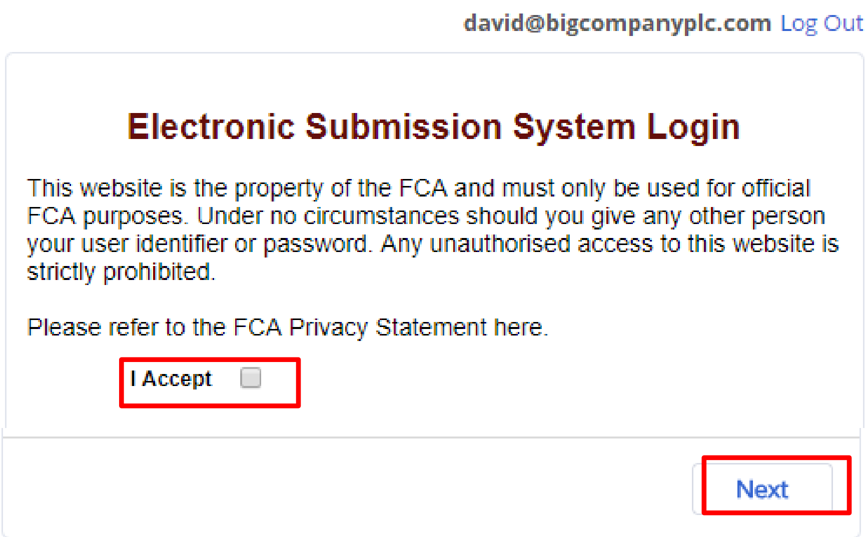
Logging in

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.

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).

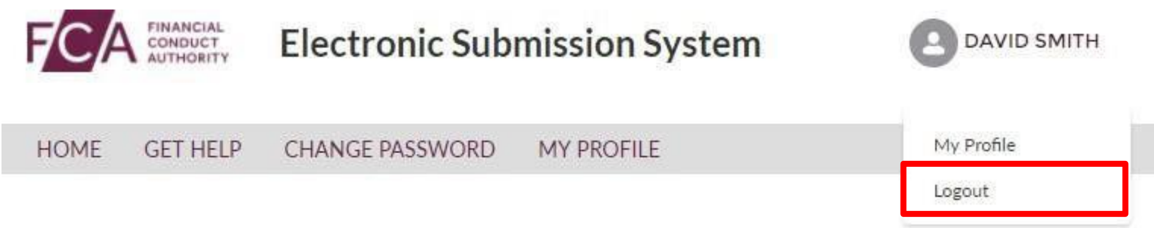
Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.



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.

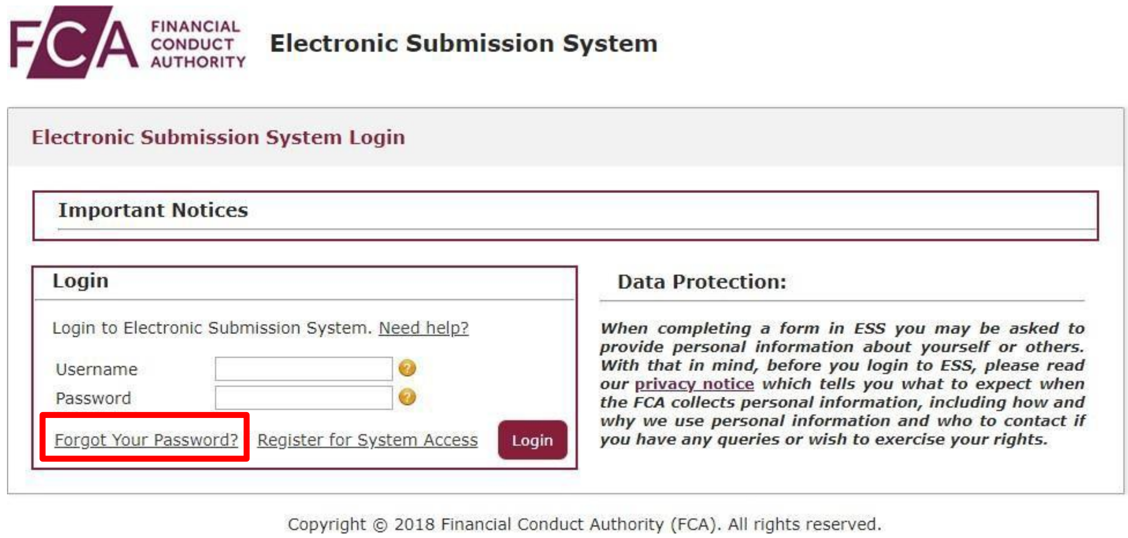


Please ensure you have saved all information you have entered before you log out.

2. Managing your profile and password

If you forget your password

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



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.

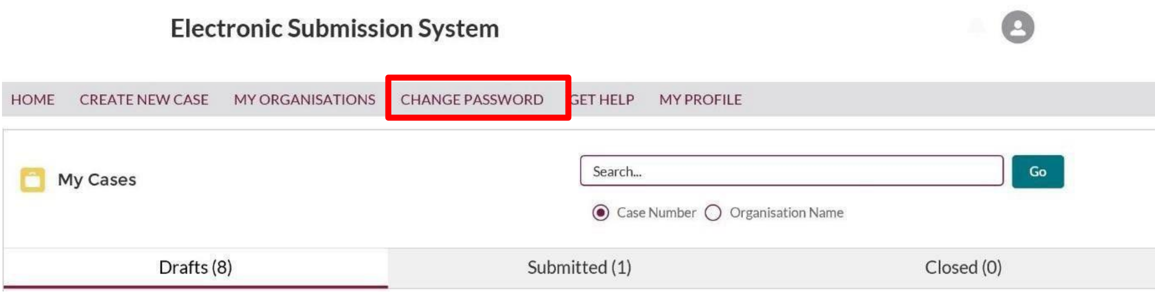
When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- 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

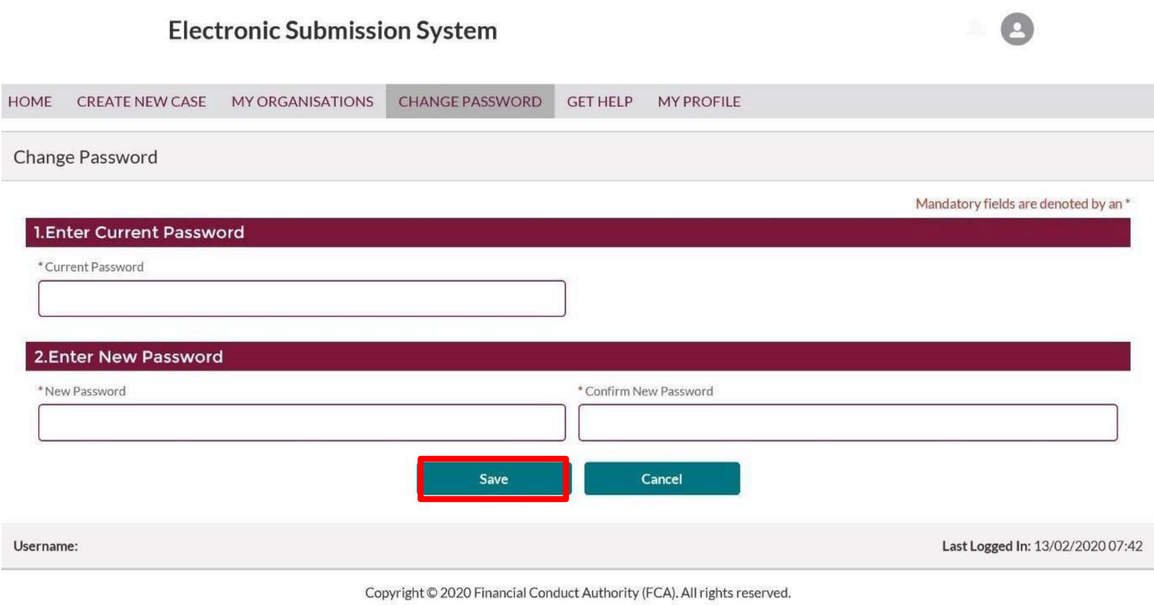
Once you have registered and successfully logged in, you can change your password at any time by choosing **Change Password** on the home page.



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

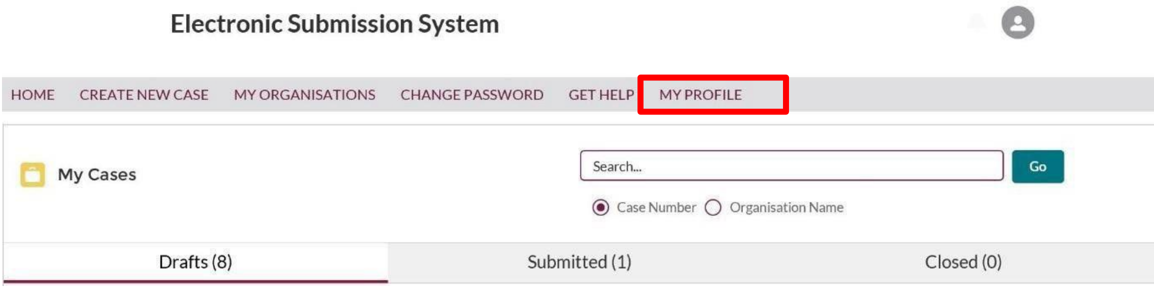
- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#$%-_=+<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

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

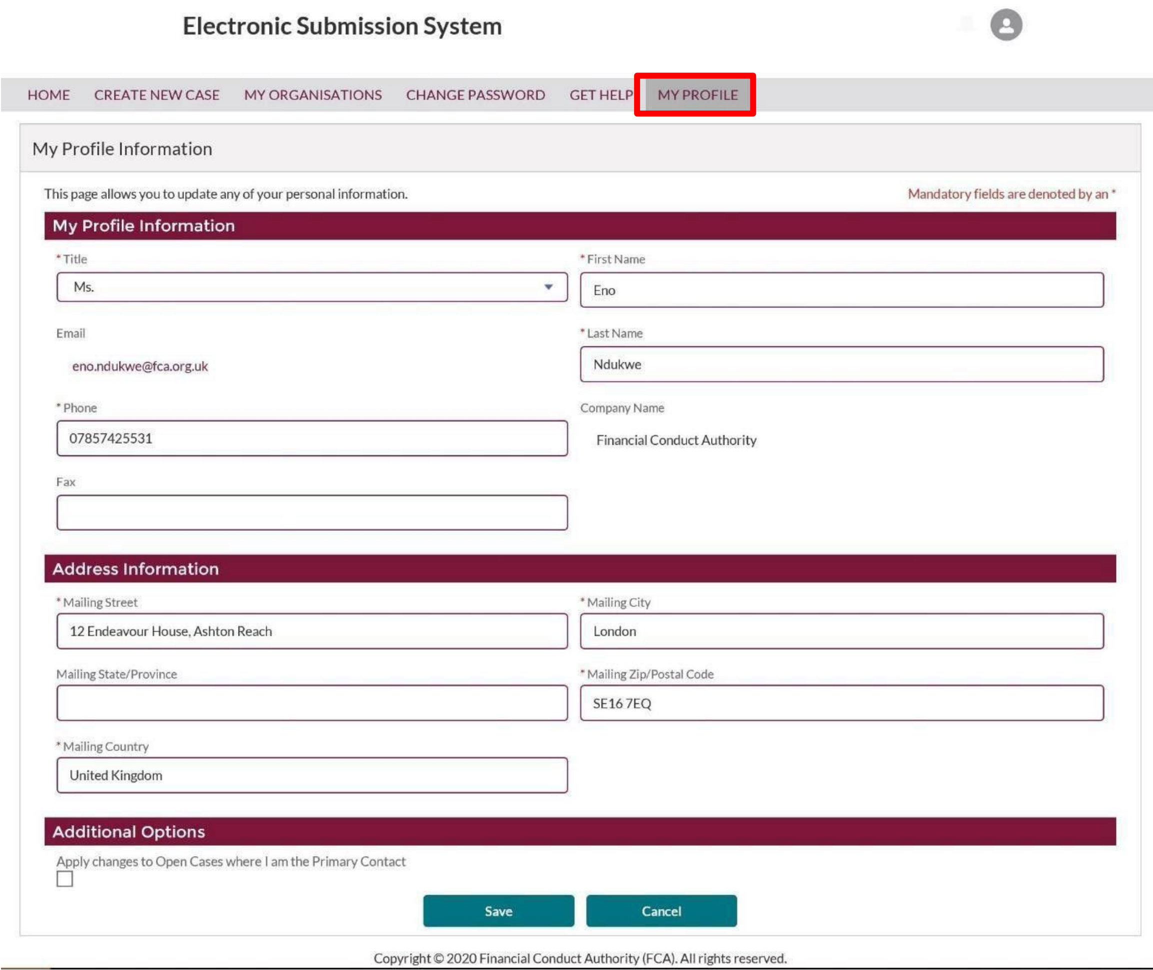


Updating your profile

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.



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



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.

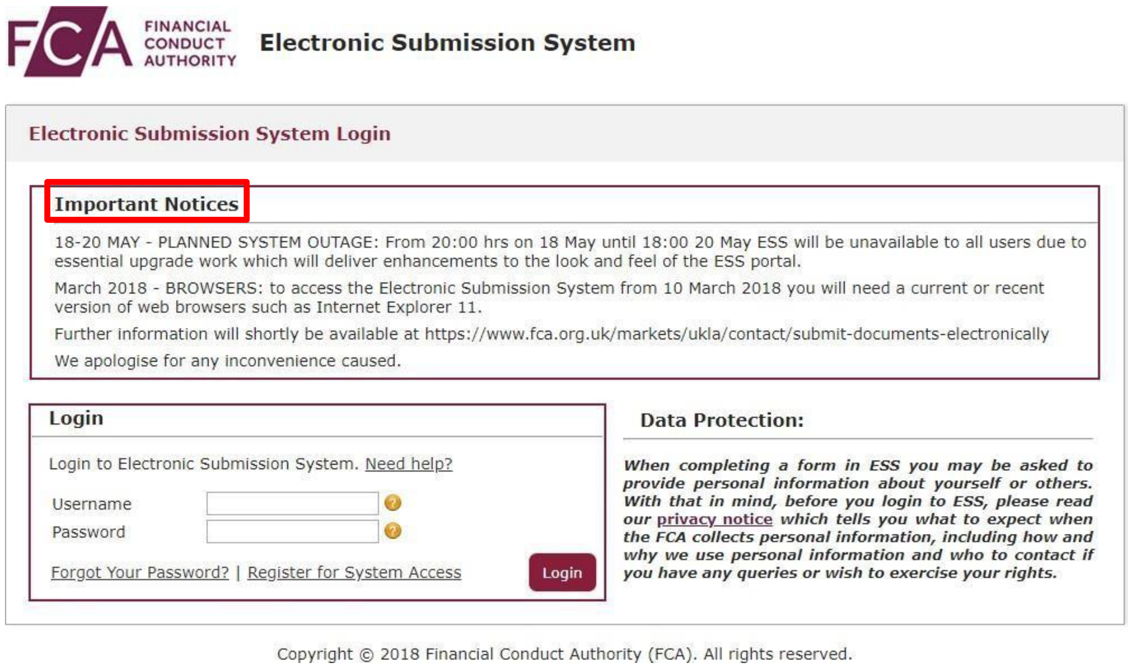
Once you have made all the changes required, you can choose to update the contact details on all the cases where you are the named Primary Contact. This can be done by selecting the option to **Apply changes to Open Cases where I am the Primary Contact** in the **Additional Options** section.

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

3. Understanding the user interface

Important notices

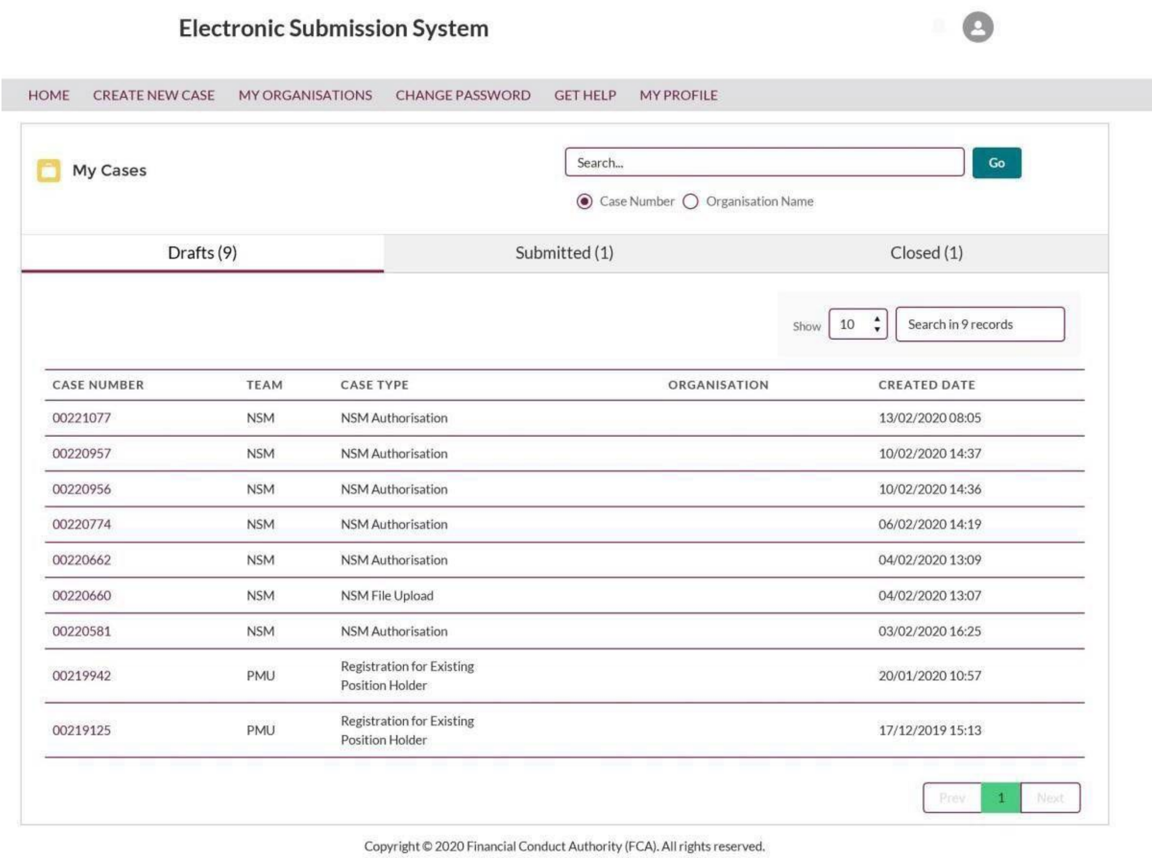
On the login page, you will see a section for **Important Notices**. We update this section regularly to keep you informed about news such as system unavailability or recent changes.



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.



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.

Changes to position holder details

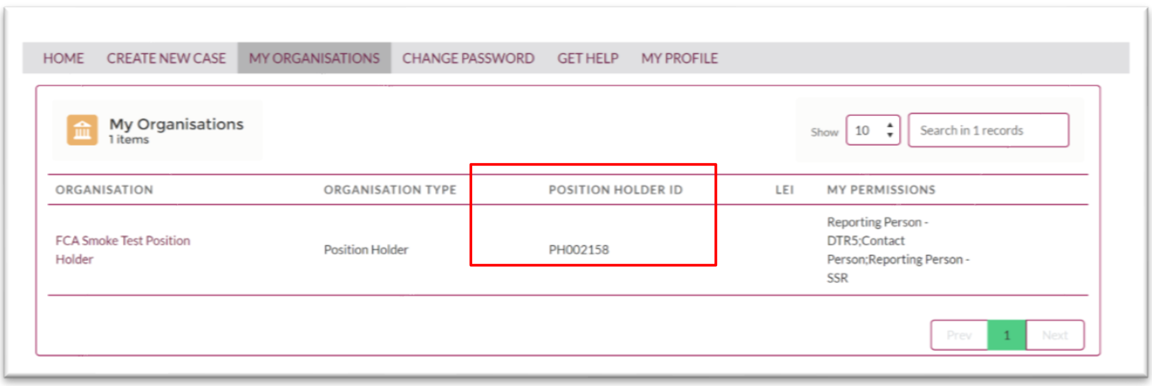
- If you need to change the name or address of a position holder you are registered to submit for, please email PMU@fca.org.uk with the appropriate supporting evidence (for example, proof of address or a change of name certificate).

- To request the deletion or merging of position holders, please contact PMU@fca.org.uk.

How to find the Position Holder ID

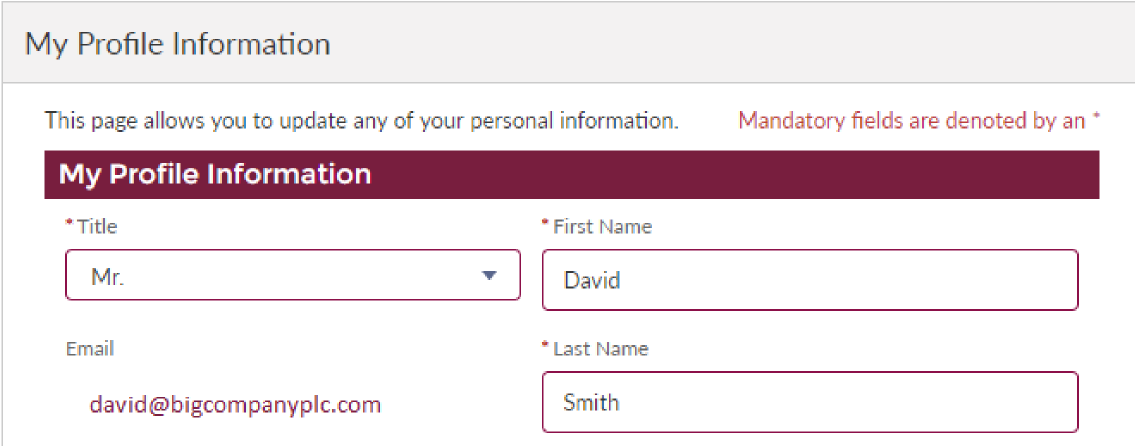
To find the Position Holder ID of the organisations you are registered to report for:

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



Mandatory fields

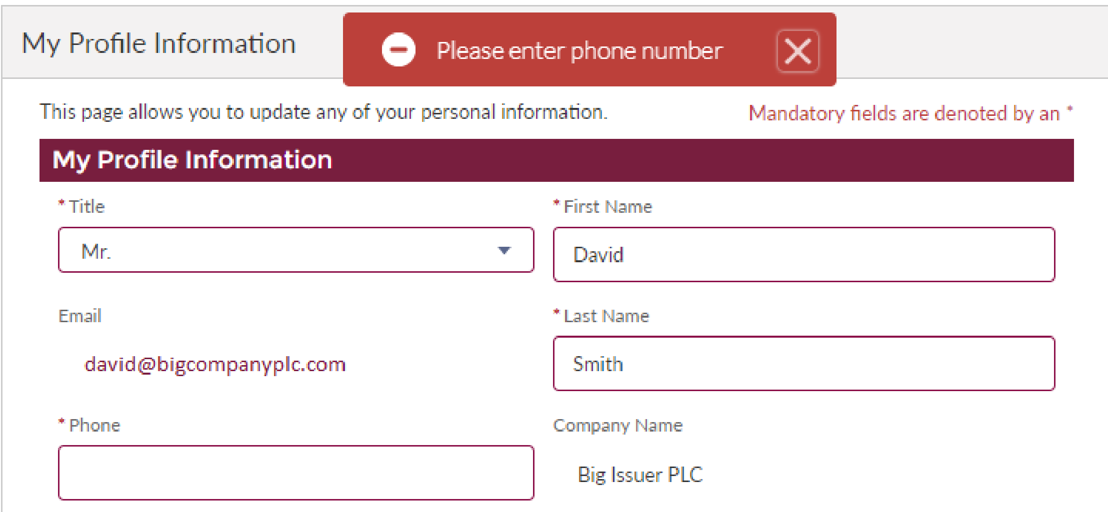
Mandatory fields are marked with a red asterisk (*). You must enter a value in these fields before you proceed to Save or Submit.



Error messages

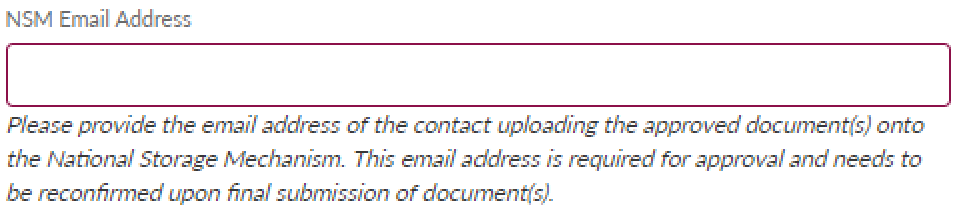
When you click Save or Submit, an error message will be displayed if you have not entered mandatory values or if the data you have entered is invalid.

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.

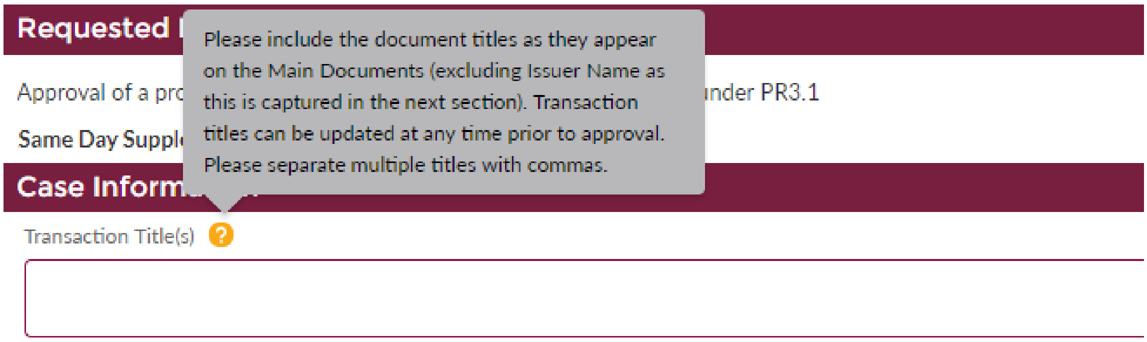


Help text

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



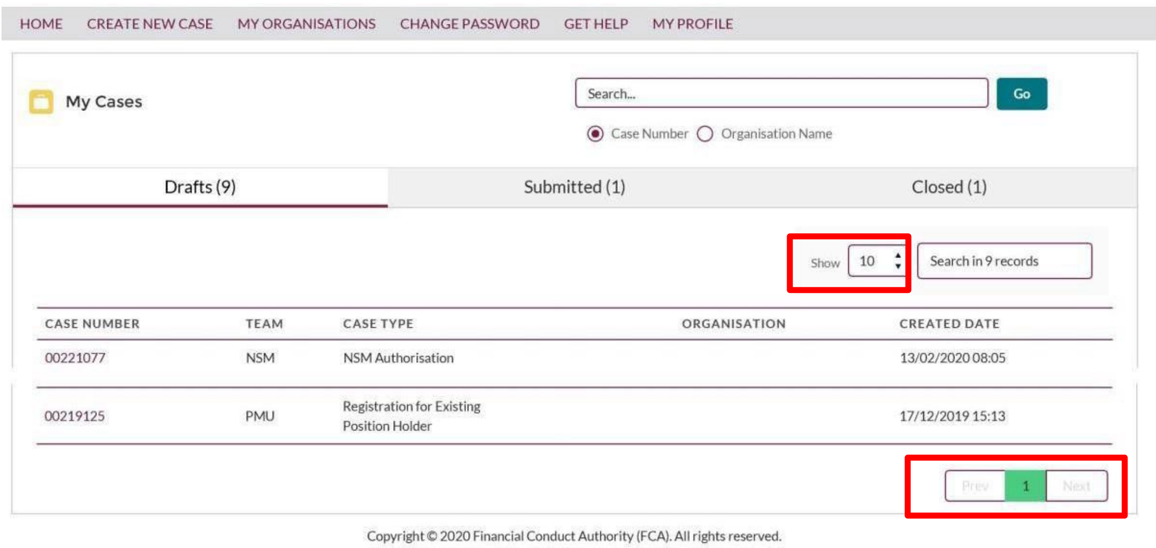
Help text can also be viewed by clicking on the icon next to a field.



Case pagination

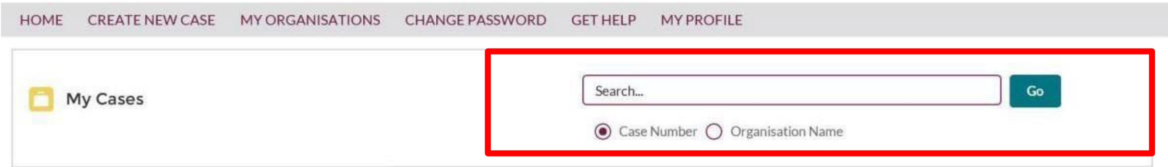
By default, the system will display 10 cases at a time, but you can increase the number of cases shown on each page to 25, 50 or 100 using the dropdown list next to the **Show** button.

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.

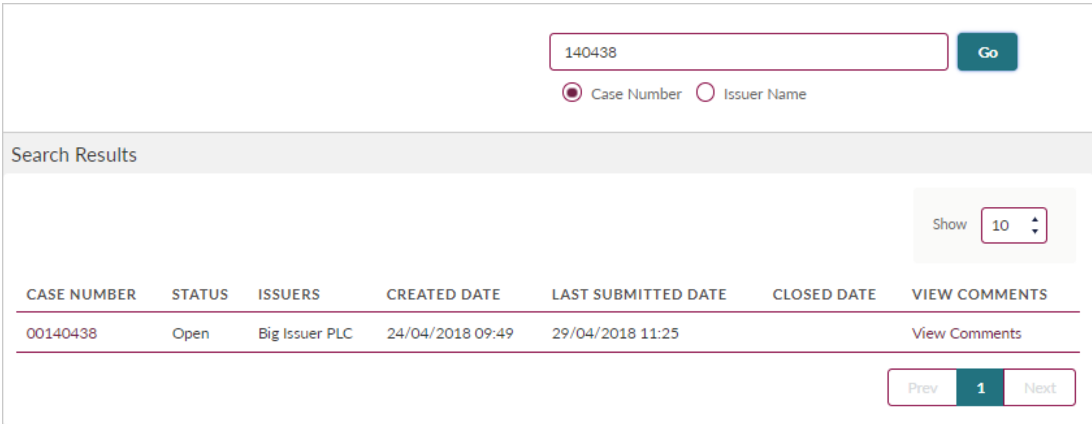


Search

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



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.



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)

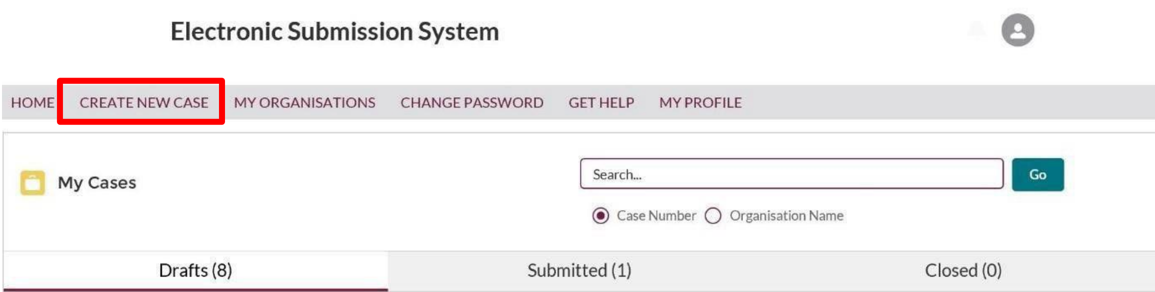
Creating a new Transactional Review case

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

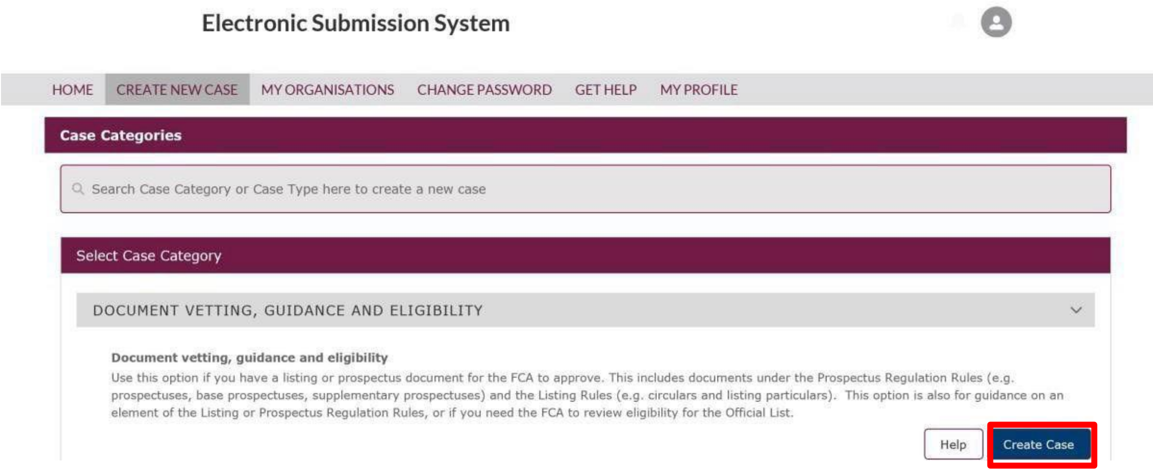
Let’s work through the process for creating a new case and submitting documents.

Step 1: Creating a new case

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



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

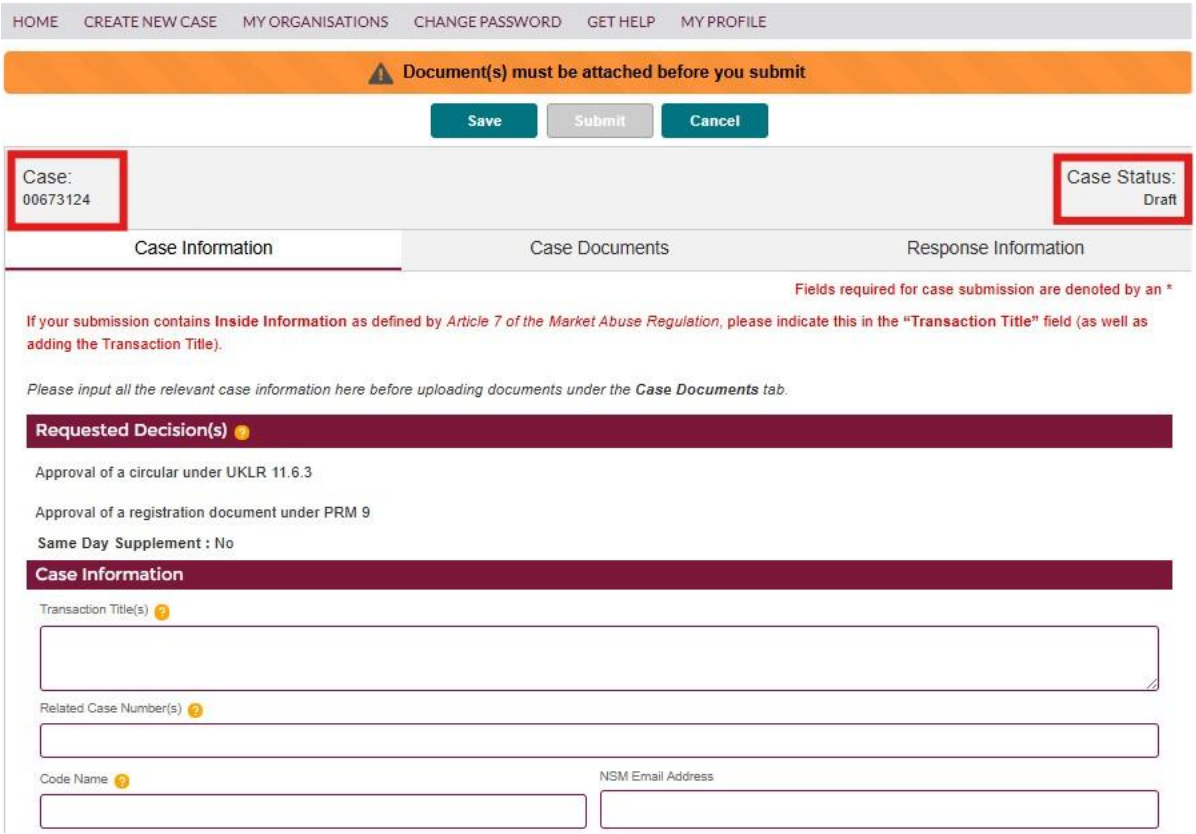
Please be aware, you will not be able to change the decision(s) sought once you have clicked on Save & Continue. If you need to change the decision(s) sought, please contact the UKLA helpdesk on 02070668348.

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.



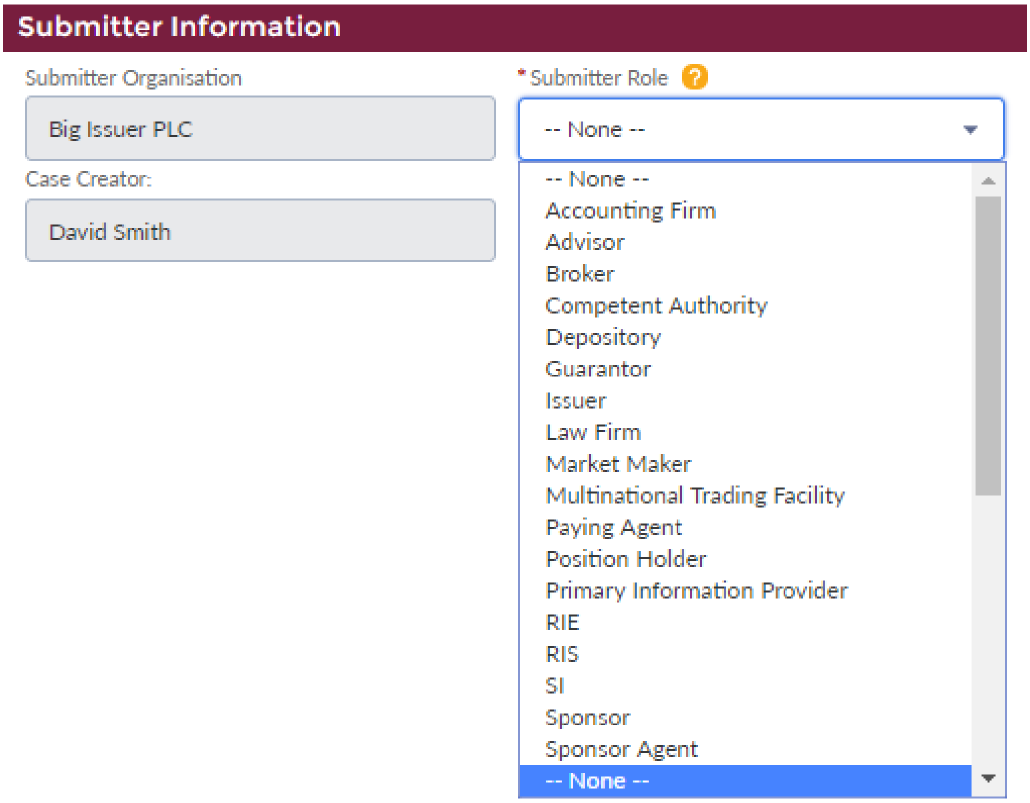
You must fill in all case information and upload documents before you submit the case to us.

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.

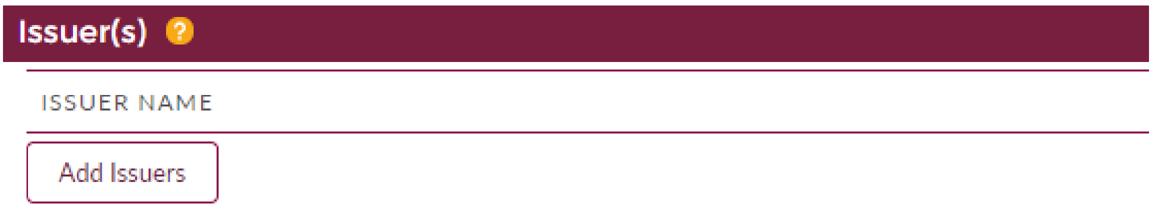
We do not progress a case unless the case is submitted. Please ensure that you click on **Submit** (step 9) once you have filled in all required information and uploaded all documents you want us to review.

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

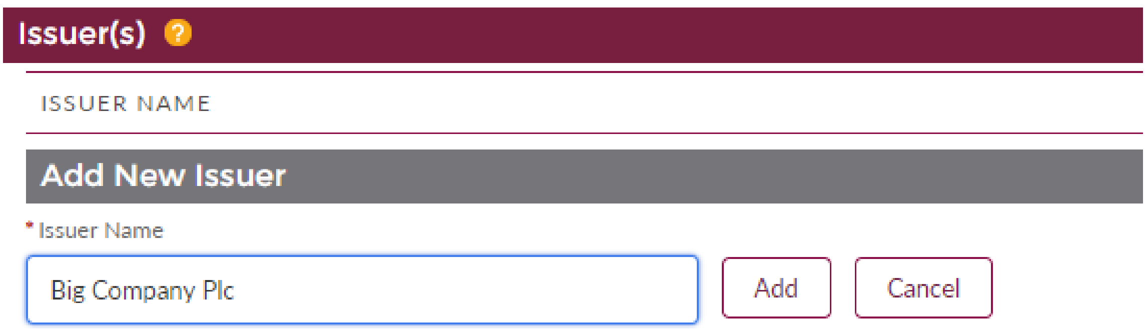


Step 5: Adding issuers

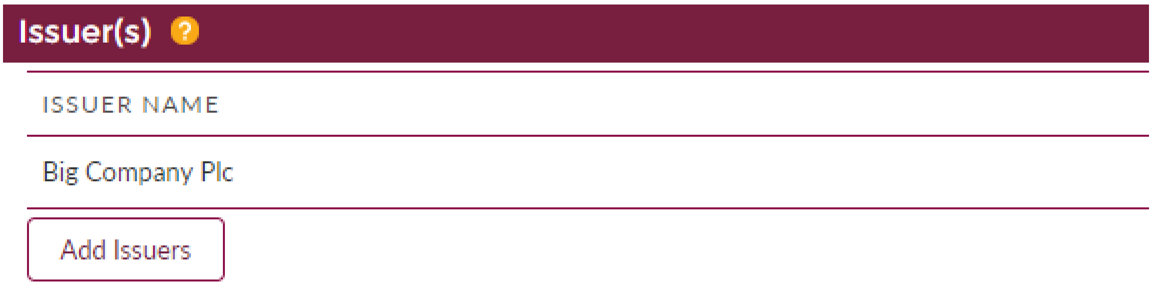
You can add multiple issuers on a case by choosing **Add Issuers** on the case view.



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



The issuer will be added to the list:



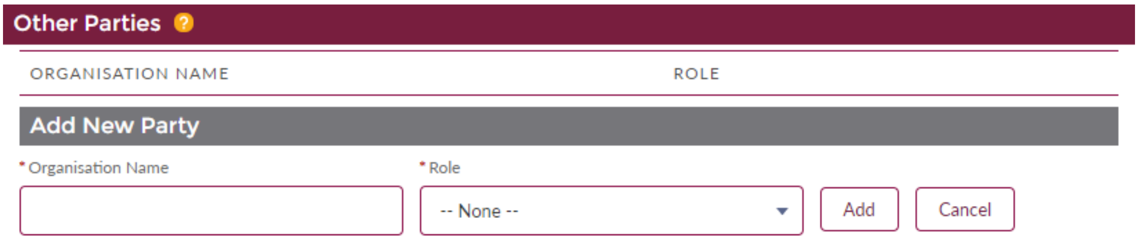
You can add multiple issuers to a case. If you want to add new issuer details, this can be done at any point in the case lifecycle until the case is closed.

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.

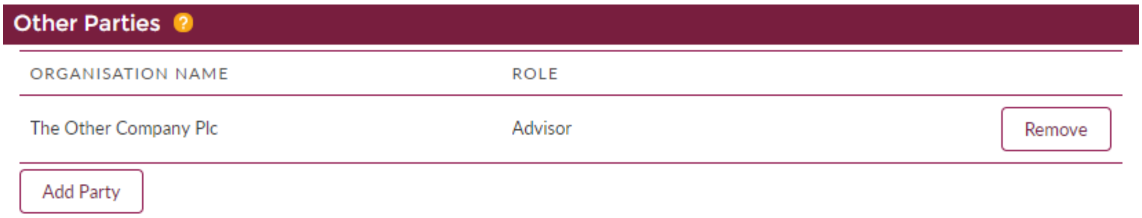
Step 6: Adding other parties

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.

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



The organisation will be added to the list:



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	Remove

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	Remove

Add New Case User

* Title	* First Name	* Last Name	* Email		
Mr.	Sam	Hill	sam.hilll@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

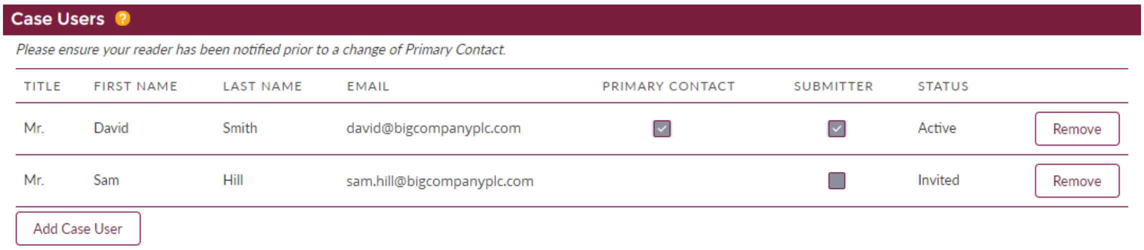
Select **OK** to agree to the terms and conditions in this message.

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.



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.

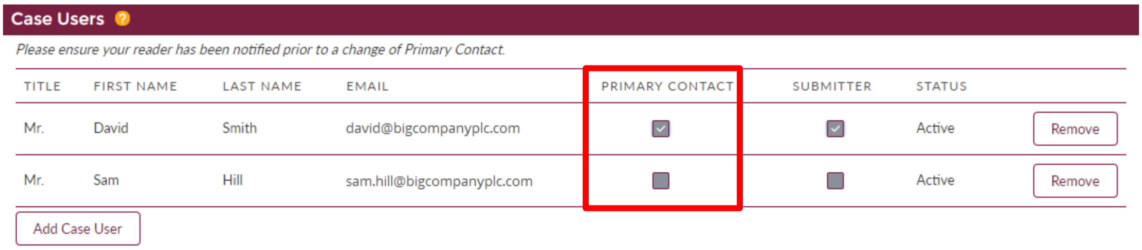
To prevent unauthorised access of the system, for all open cases we recommend you remove users who have left your organisation or no longer need access to an open case by using the **Remove** option.

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

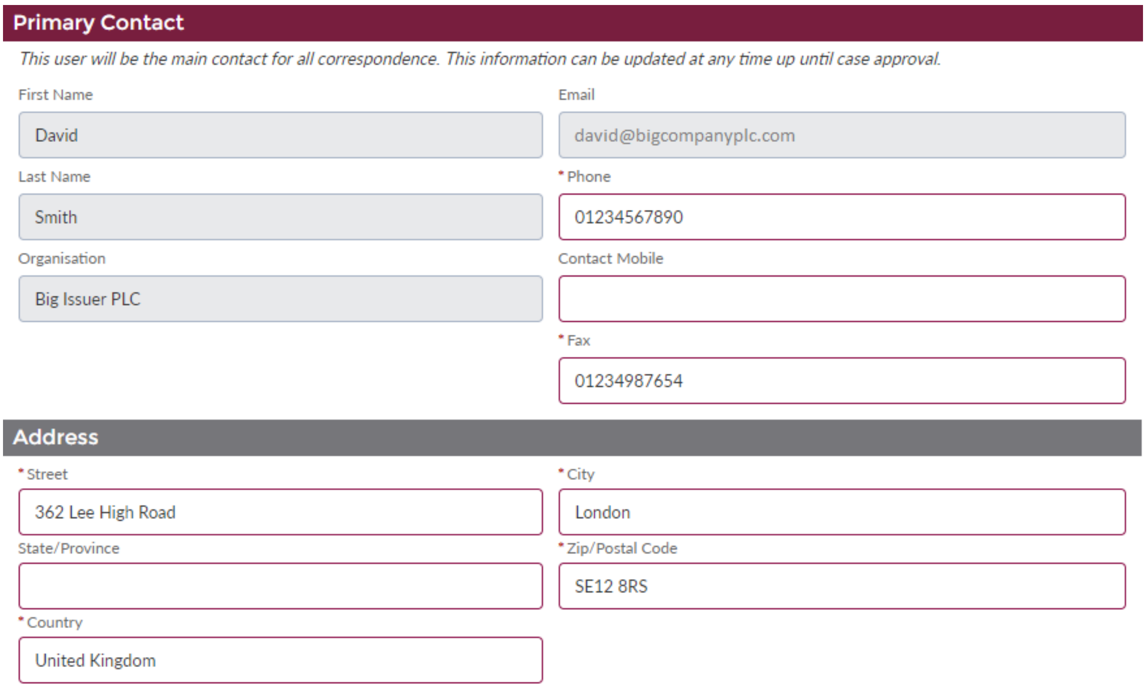
Each case must have a **Primary contact** – this is the individual with whom we will liaise for correspondence related to the case. You can choose one of the **case users** as Primary contact.

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.



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**.



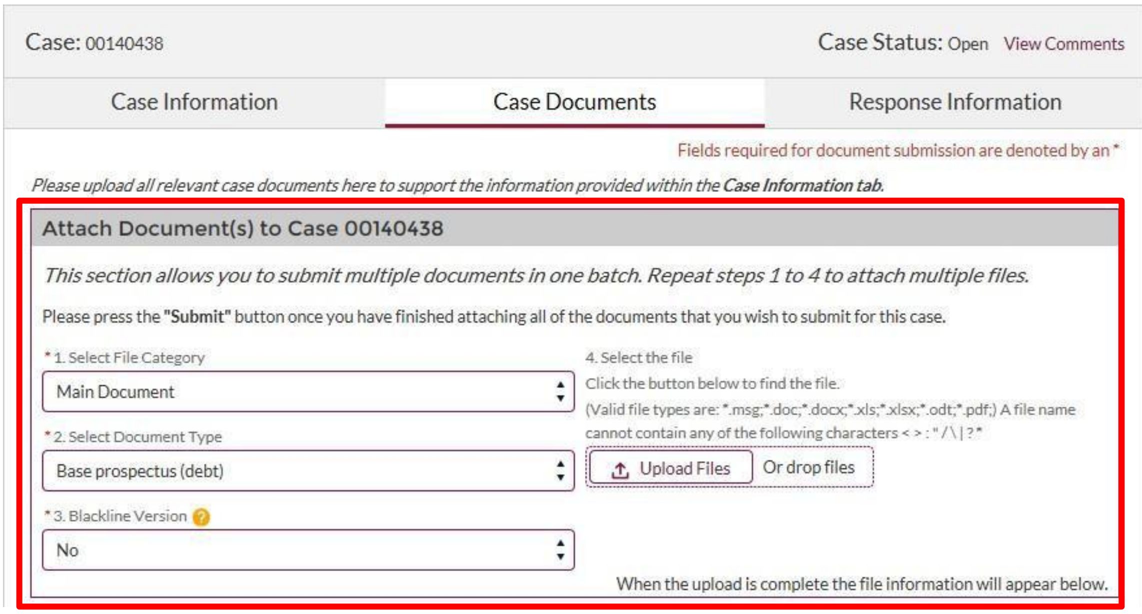
Any address changes made here will apply only to this case and will not be applied to be updated back on the user's profile.

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.



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

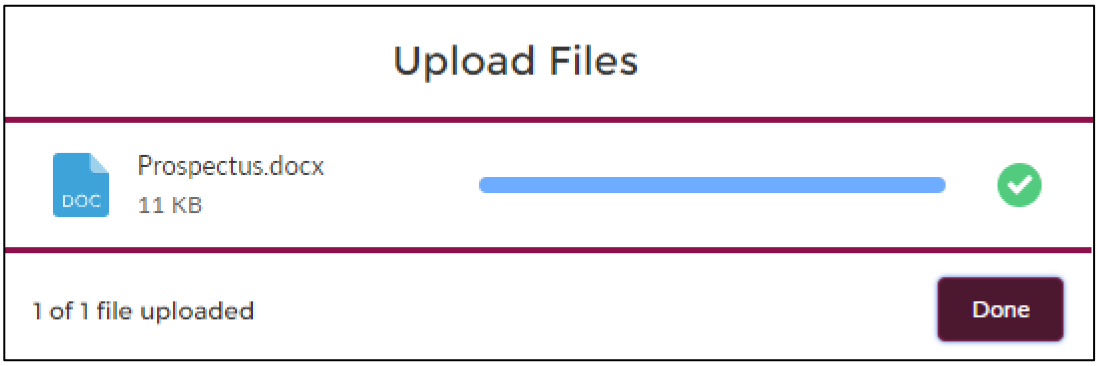
1. **Select File Category**: Choose the Document Category you are attaching (Main Document, Supplementary Document or Checklist).

2. **Select Document Type**: Depending on the Category you have chosen, you will see a list of document types under that category. Select the appropriate document type.

3. **Blackline Version**: If the document you are attaching is a backline version of the document, choose **Yes** otherwise choose **No**.

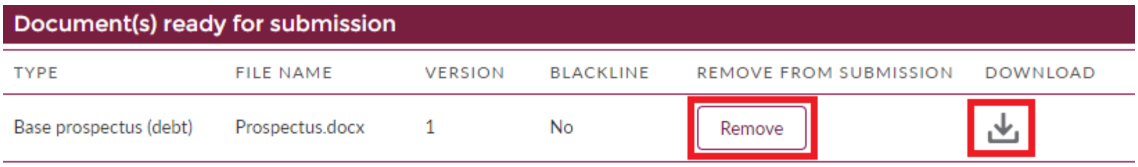
4. **Select the file**: You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

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



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

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



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

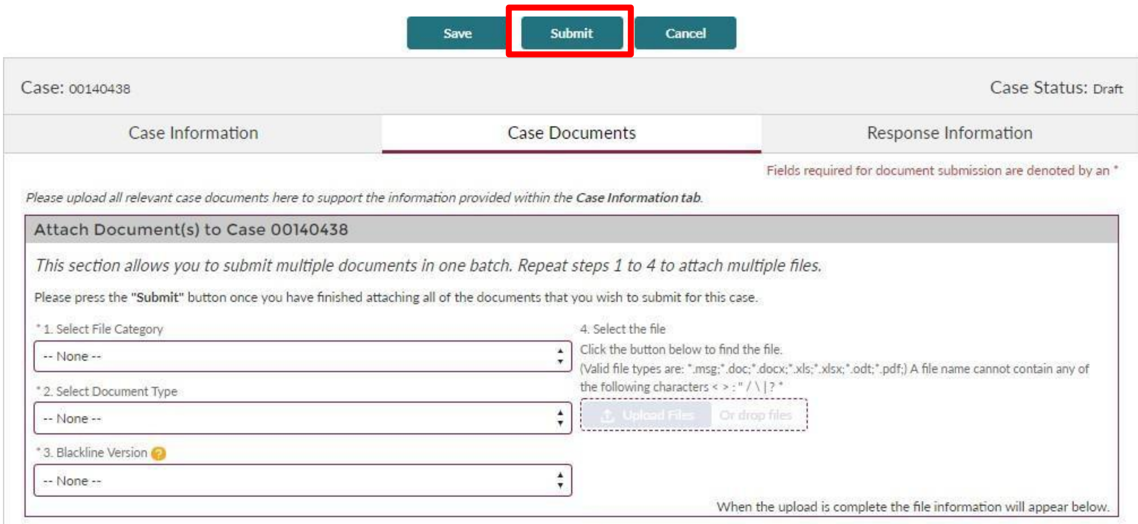
You will not be able to remove documents once a case has been submitted.

Step 10: Submit the case

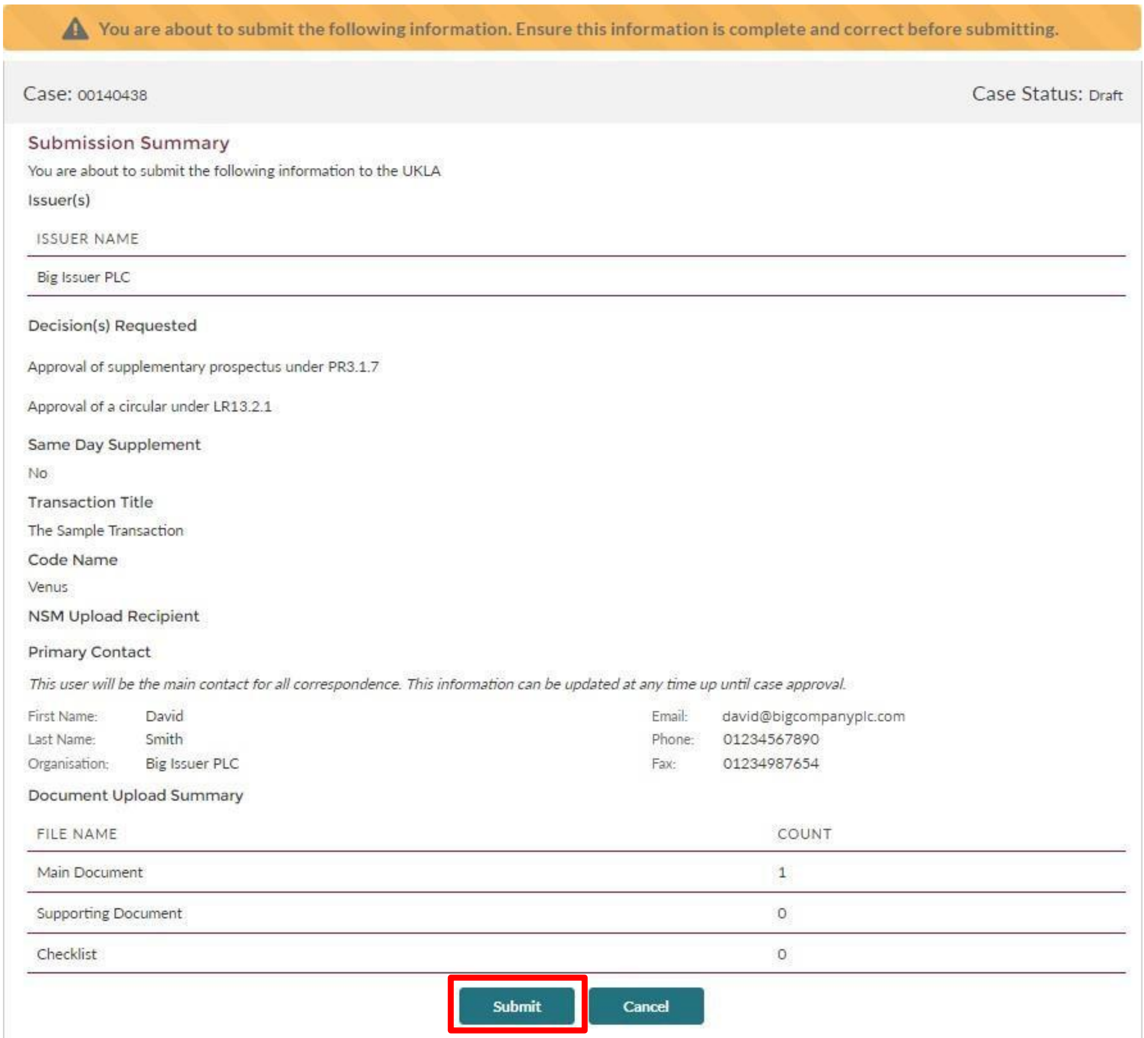
Once you have entered all relevant information and attached all documents that support the decisions you have requested from us, the final step is to submit the case.

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

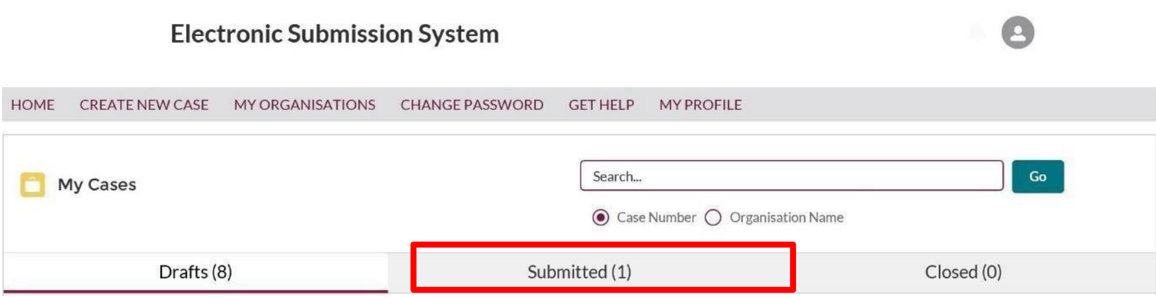
To submit the case, select the **Submit** button.



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.

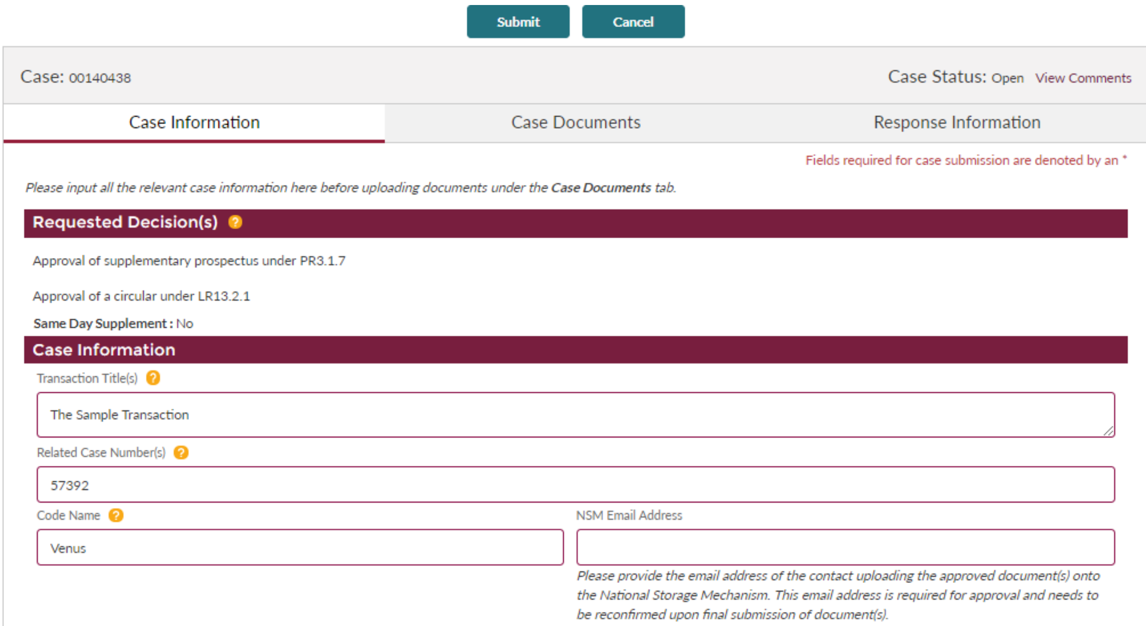


Once a case is submitted, the status of the case moves from Draft to Open. The case will now be listed on the **Submitted** tab of the **My Cases** page.



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.

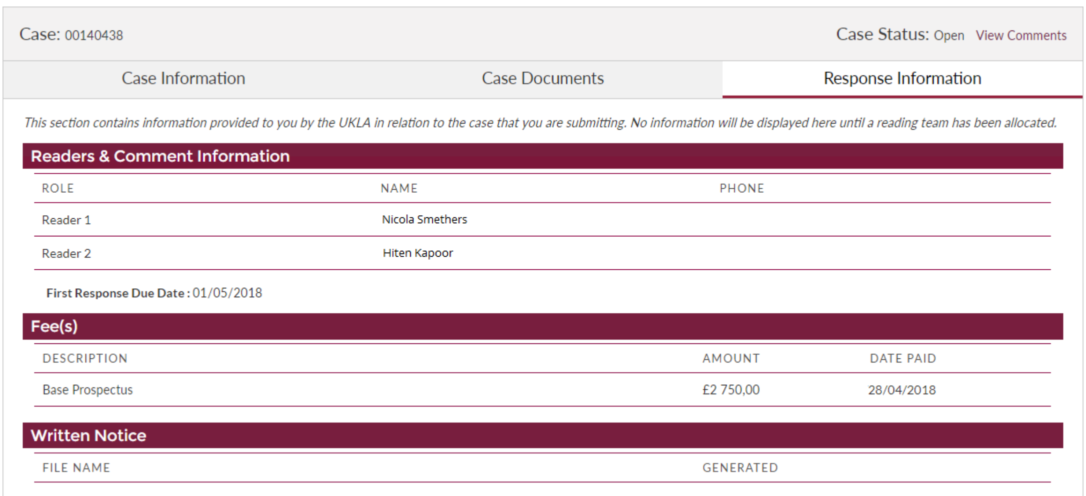


Case response information

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.

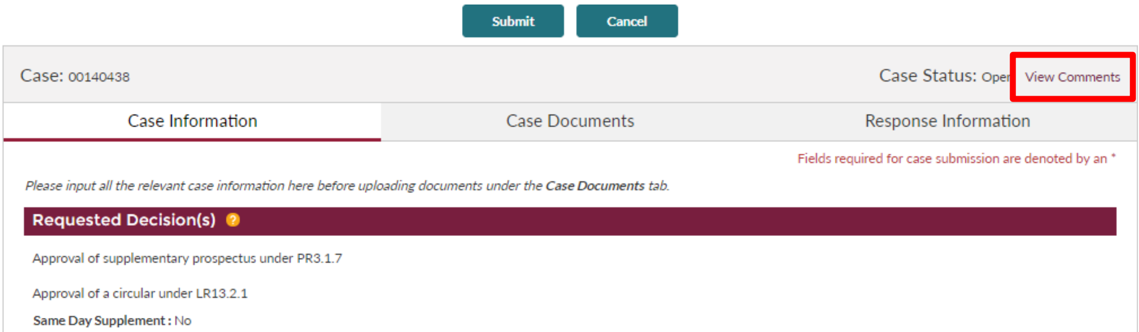
This information will be sent by email to the Primary Contact.

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.

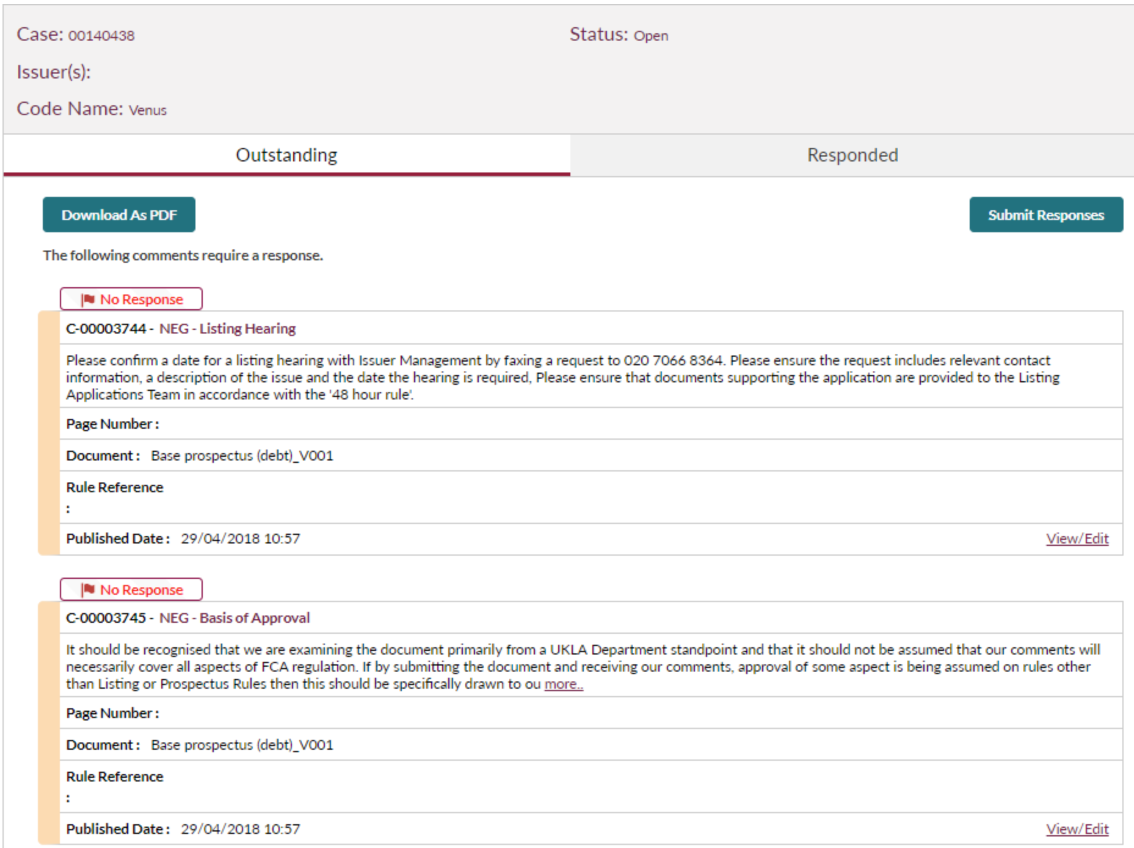


Responding to comments on a case

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).

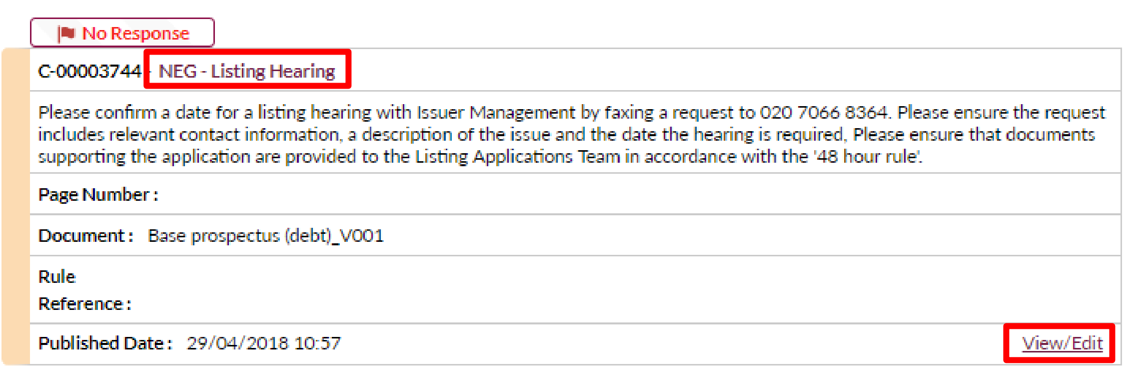


The comments are listed on the **Outstanding** tab. A **No Response** flag indicates that no response has yet been provided to a comment.

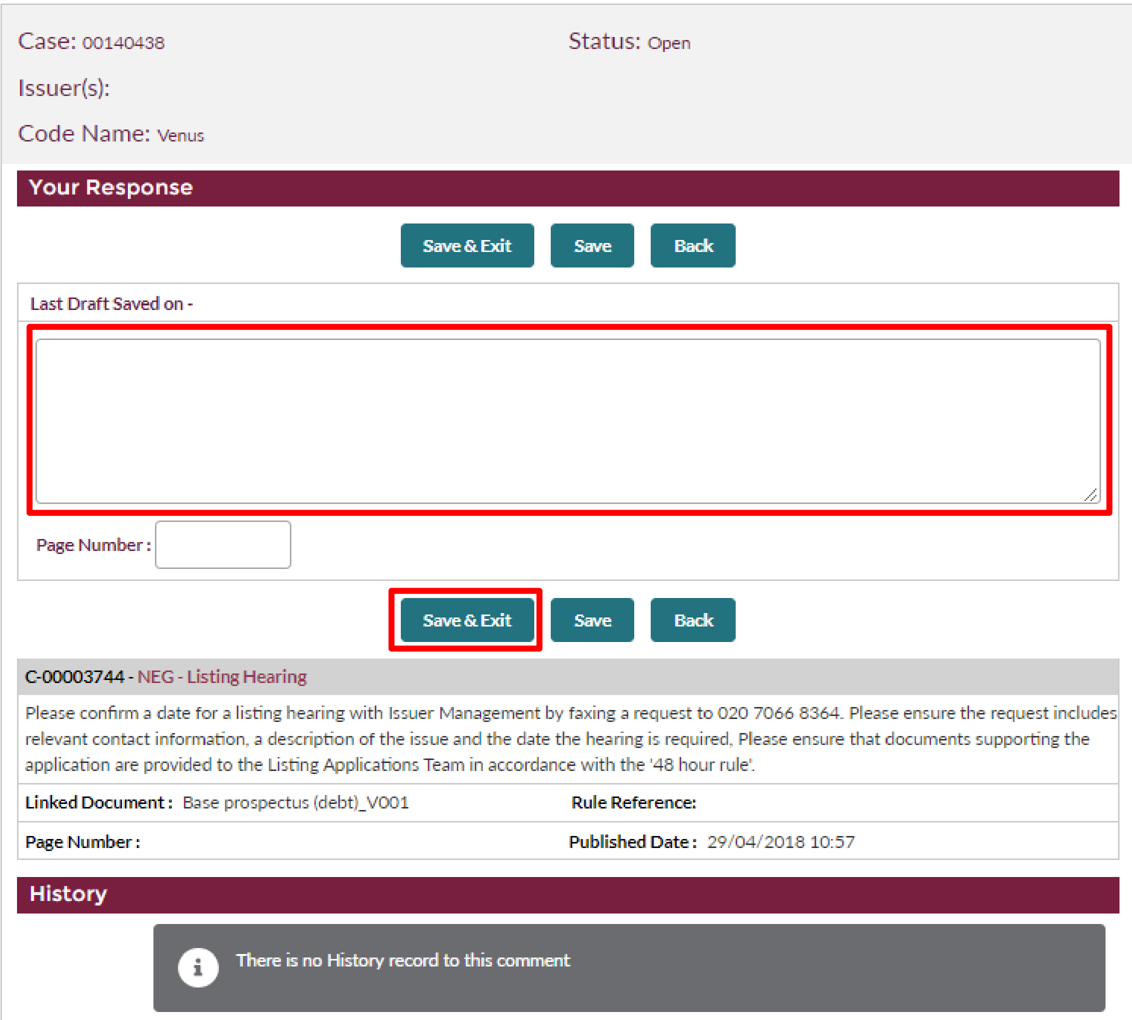


You will need to provide an individual response to each comment. When you have provided responses to all the comments, you will then be able to submit your responses to the UKLA reading team.

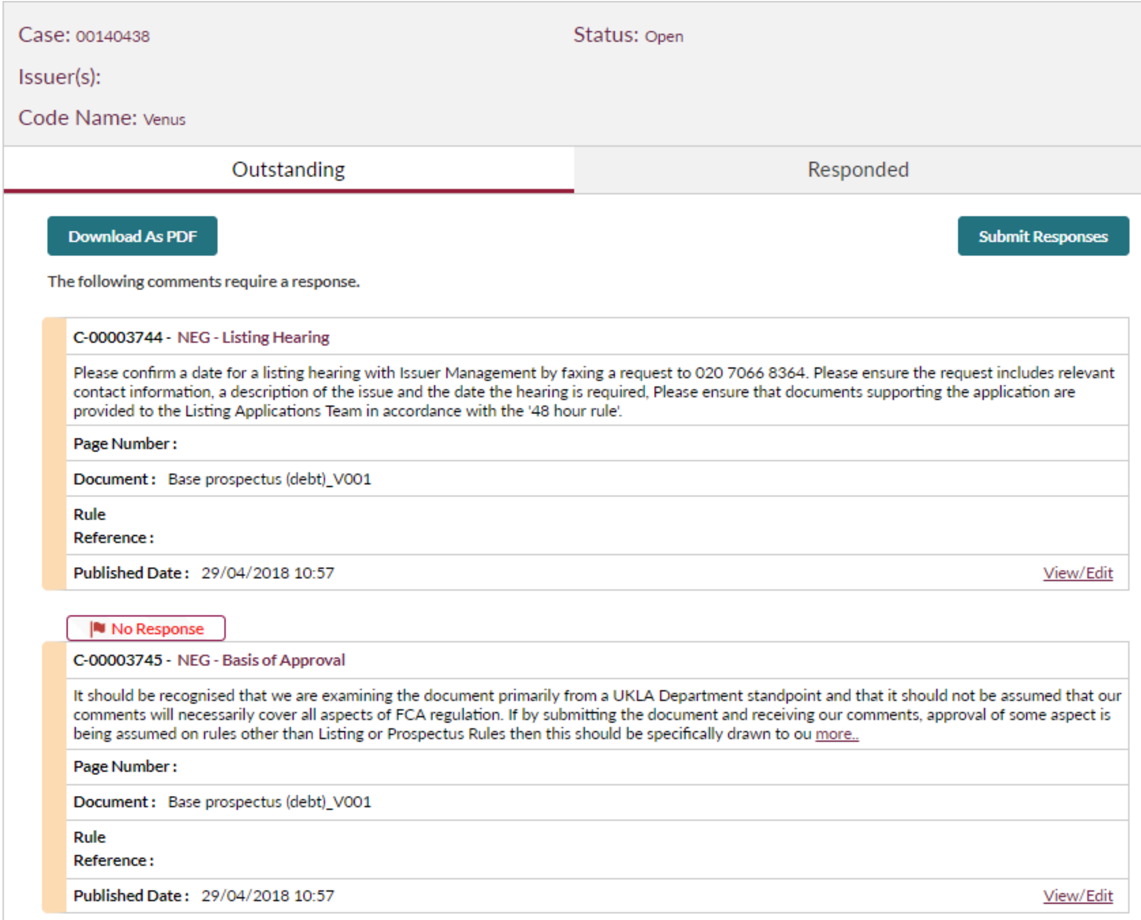
To view a comment and provide a response, click on the title of the comment, or the **View/Edit** link.



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

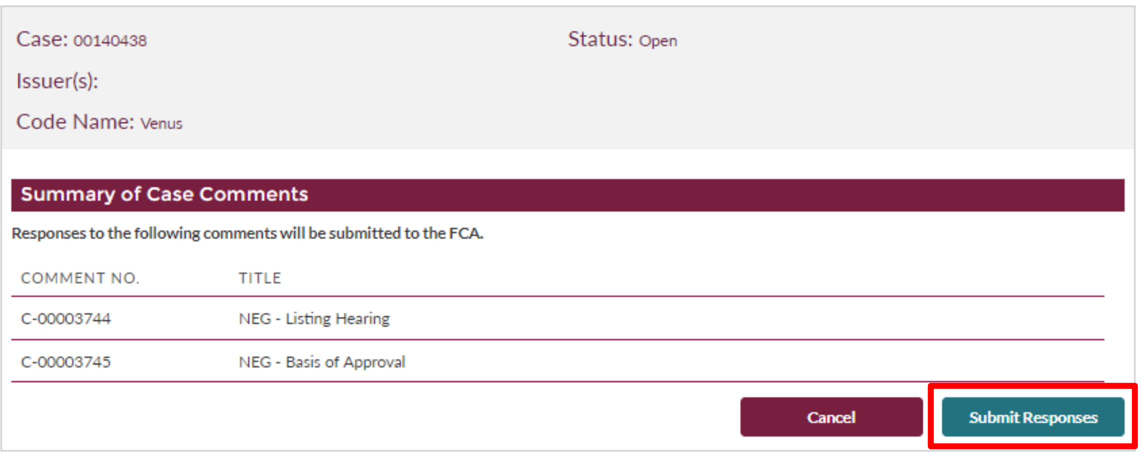


When you have entered and saved your response to a comment, the **No Response** flag will no longer be displayed.

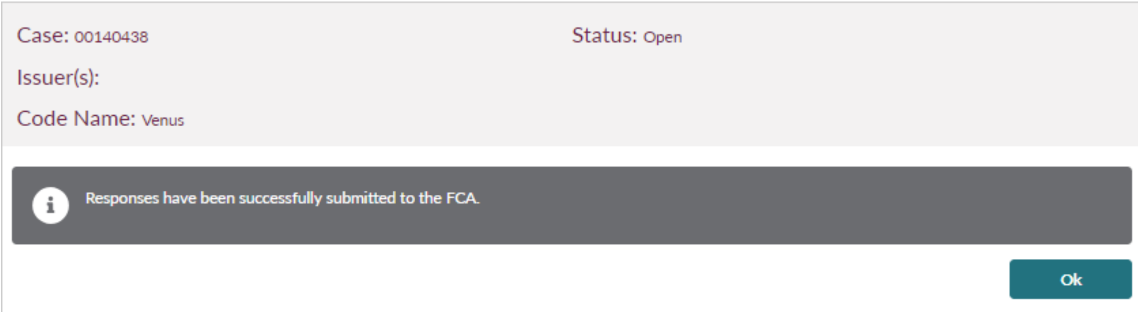


When you have provided responses to all comments, you can submit these to the reading team by selecting **Submit Responses**.

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

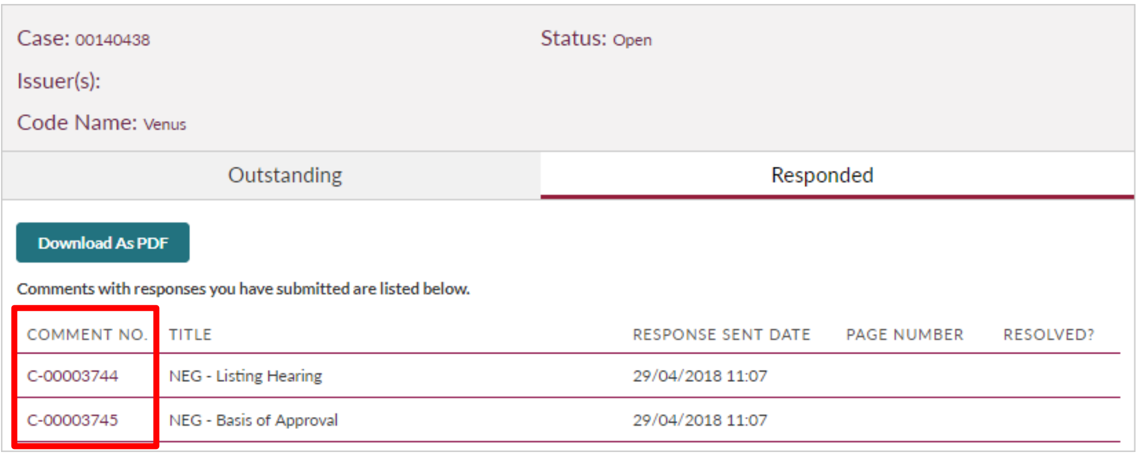


A confirmation of the submitted responses will then be displayed:



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.



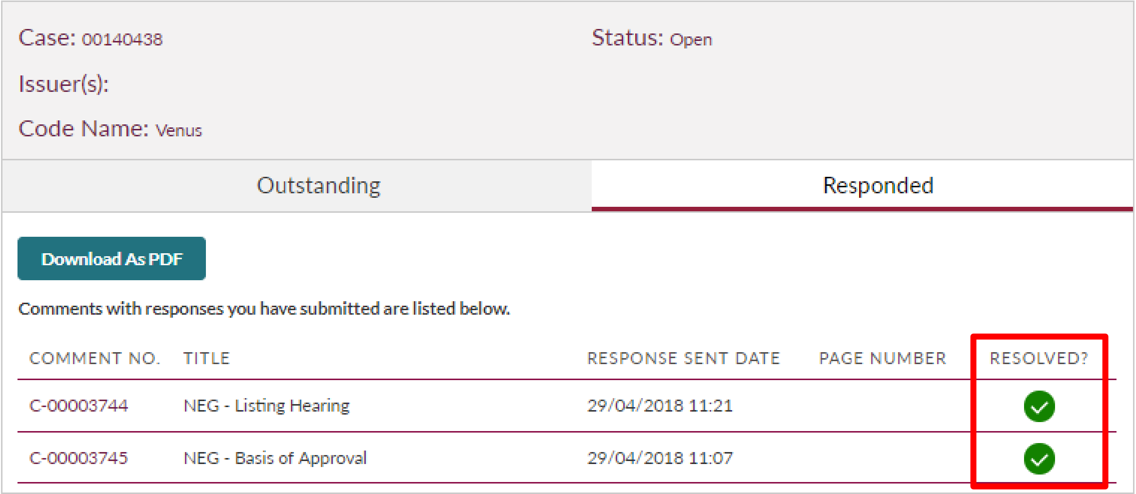
You cannot edit a response once it has been submitted.

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.

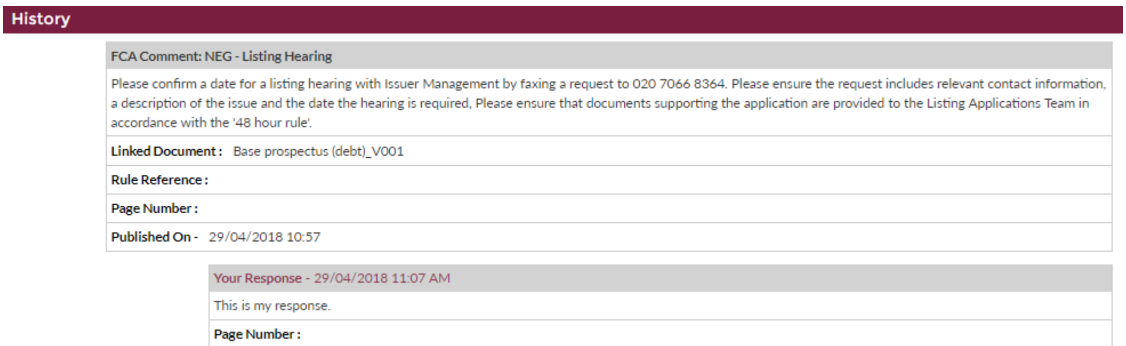
Any comments that have been resolved will remain on the **Responded** tab with a tick in the **Resolved?** column.



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.



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.

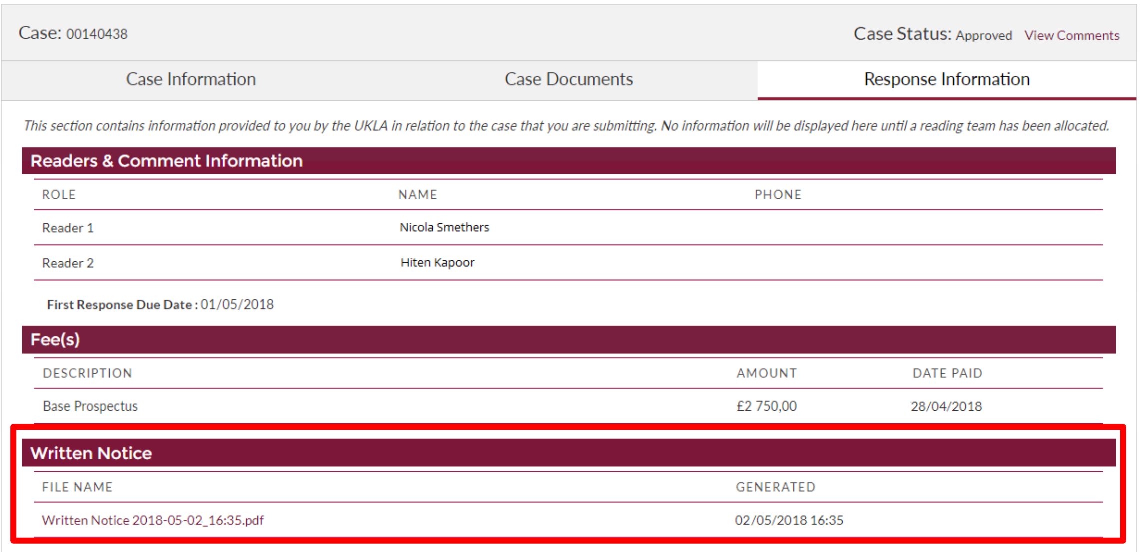
Once a case is closed, you cannot change any details on the case.

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.



5. Issuer Management cases

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

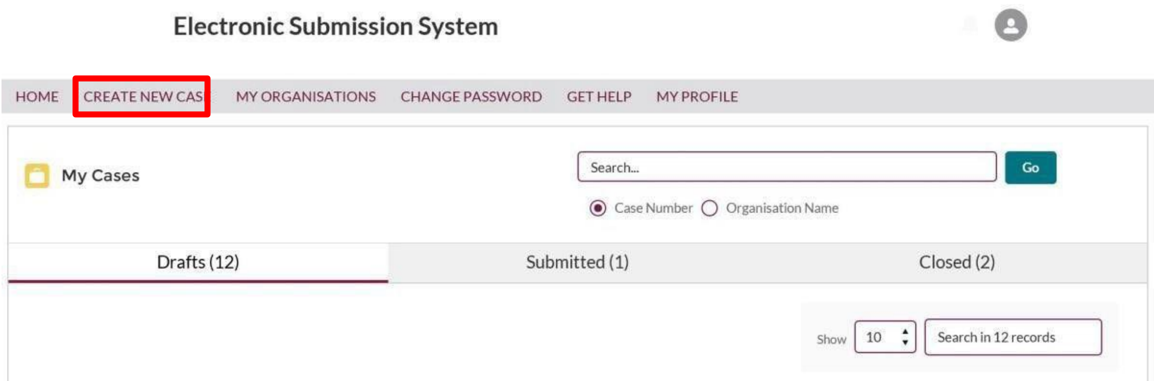
- Admission to the Official List
- Amendments of Existing Securities
- Create and Update Programme (post-vetting)
- Suspension of Securities
- Removal of Securities
- Restoration of Securities

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.

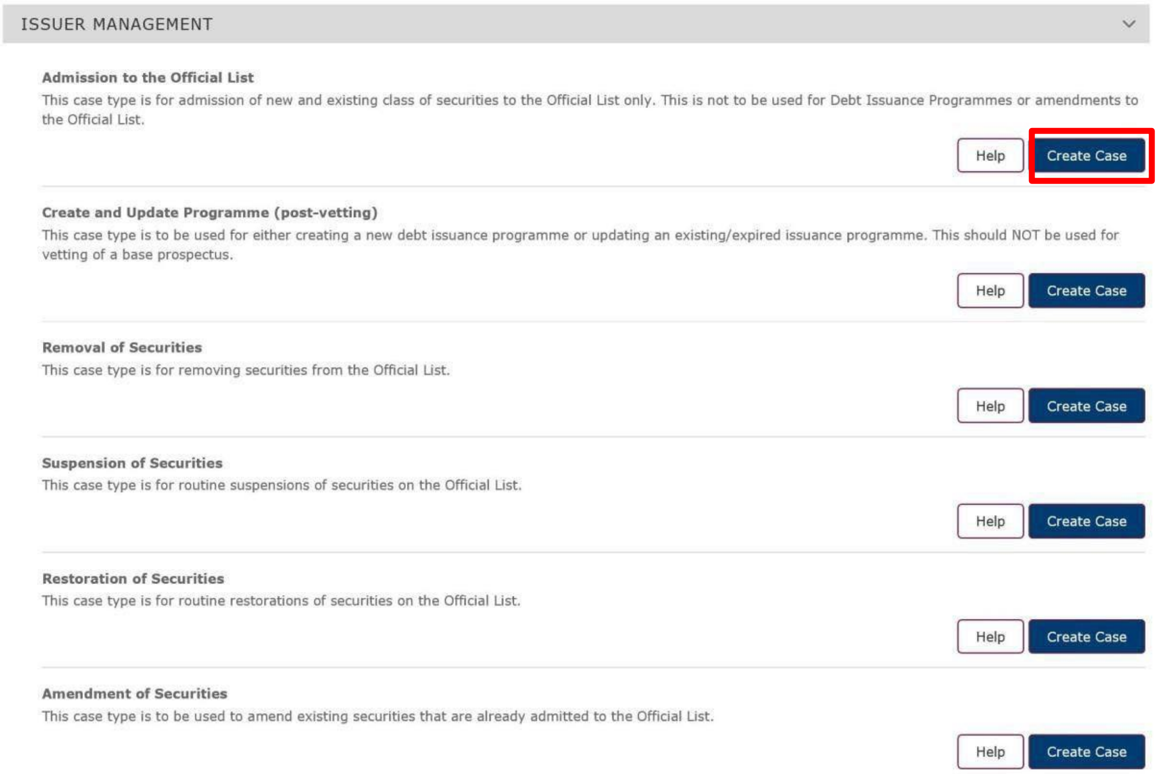


Step 2: Clicking the arrow on the Issuer Management tab

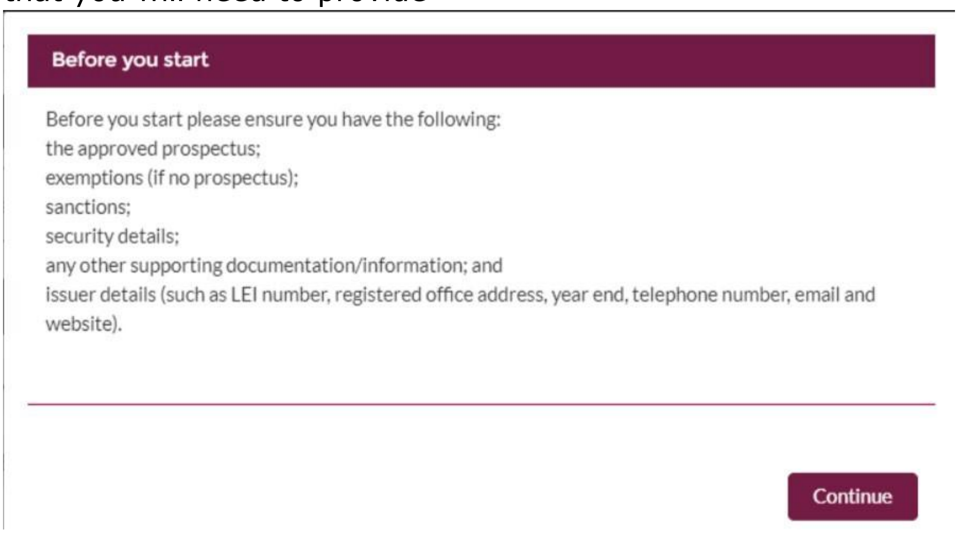
Step 3: Selecting the case type

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**.

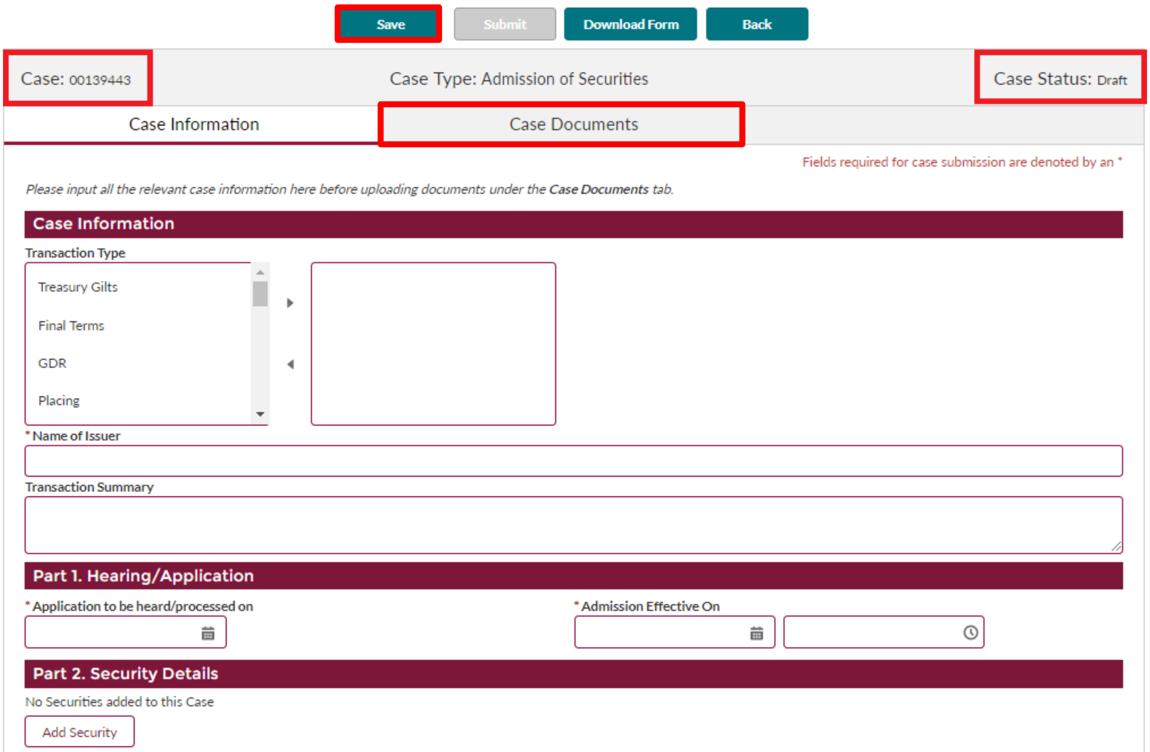


Step 4: Click the 'Continue' button on the pop-up reminder of information that you will need to provide



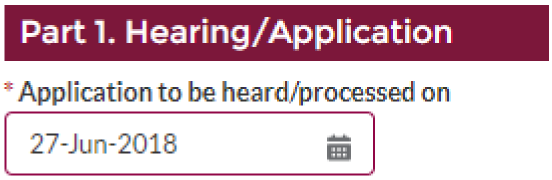
Step 5: Entering case details

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.



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:



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.

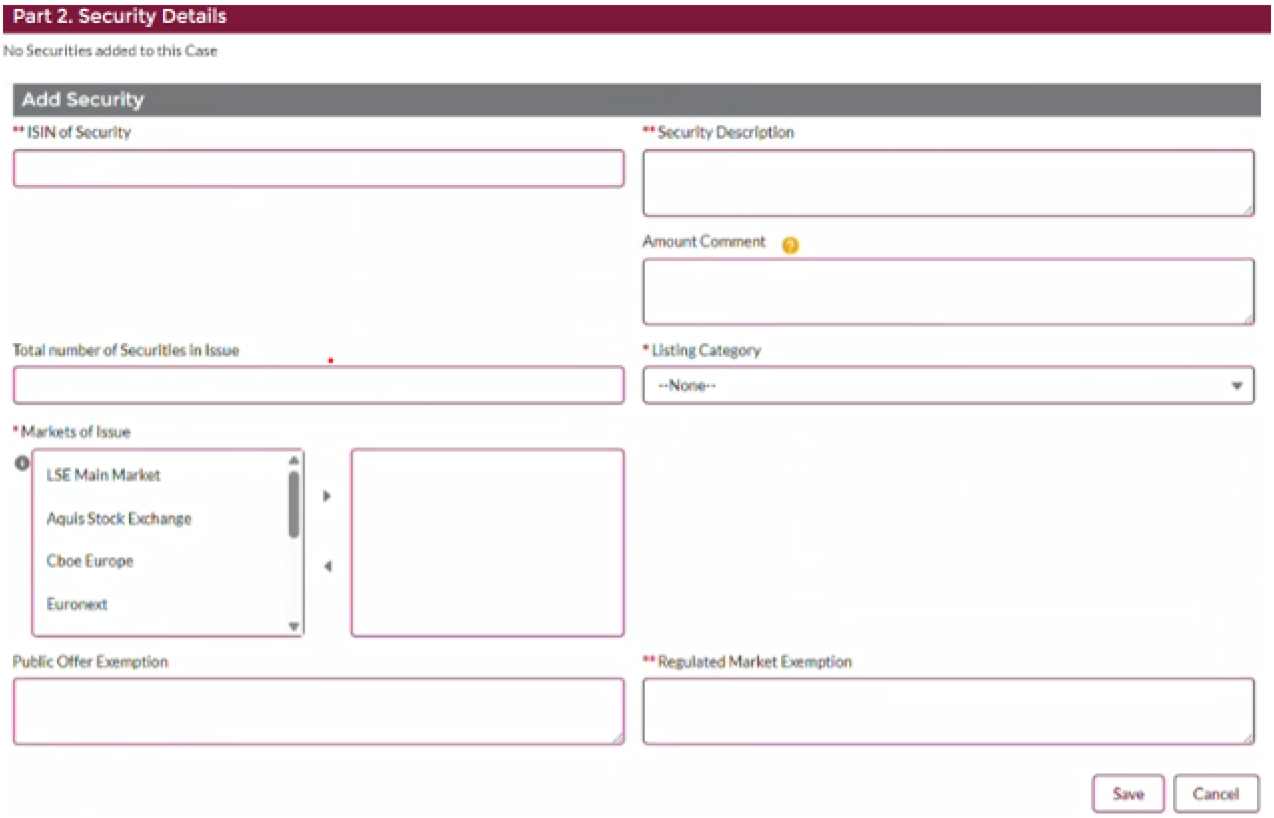
We do not progress a case unless the case is submitted. Please ensure that you click on **Submit** (step 8) once you have filled in all required information and uploaded all necessary documents.

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.

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



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	Edit	Remove

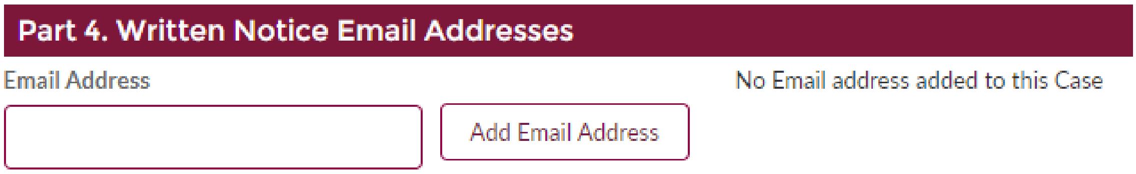
Add Securities (By keying in all information manually)

Add Security

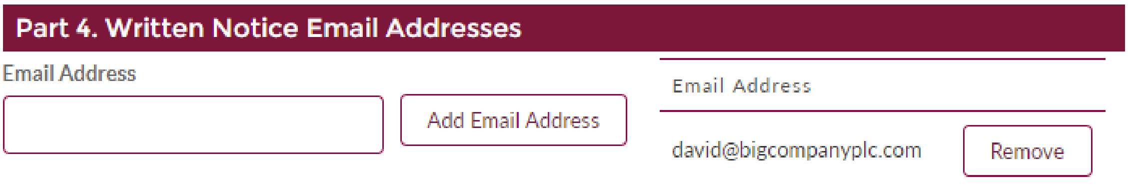
Step 7: Adding email addresses for the written notice

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

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

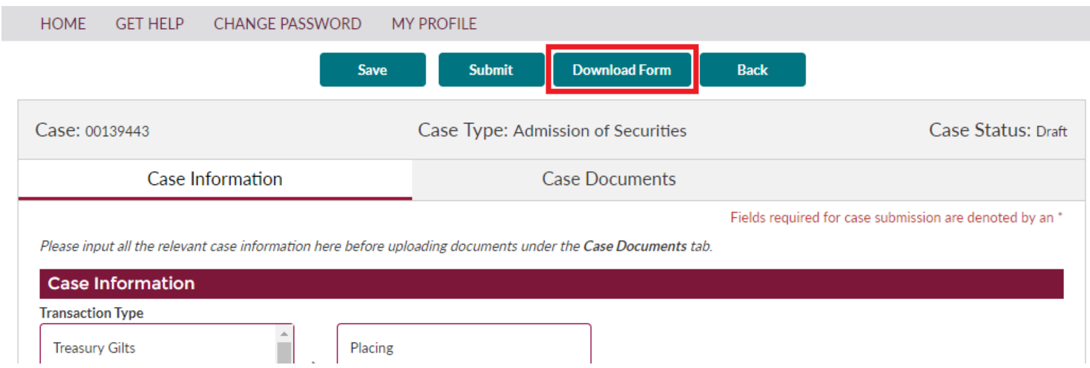


Once an email address has been added, it will be shown in the **Case Information**, along with a **Remove** button.



Step 8: Downloading the submission details

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



The downloaded form is an editable Microsoft Word document.

The picture can't be displayed.

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.

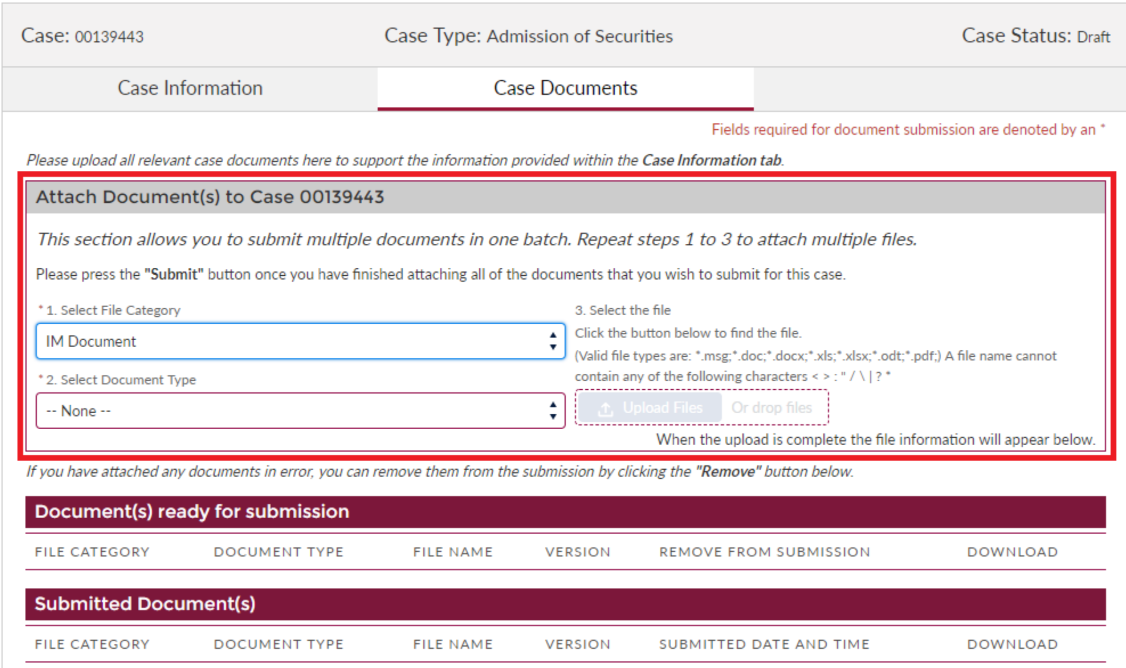
We recommend that you download the form and use this to check the information carefully before submitting the case.

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.



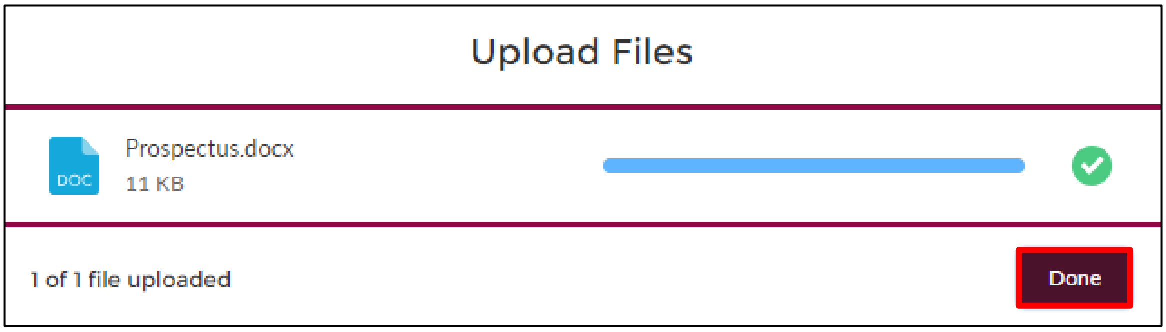
The top section of this page explains the three steps to upload a document:

1. **Select File Category**: This is automatically set to **IM Document**.

2. **Select Document Type**: Select the appropriate document type from the dropdown list.

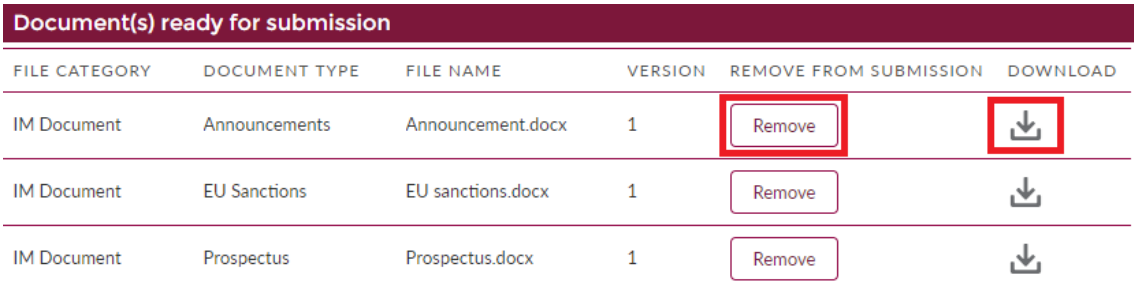
3. **Select the file**: You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

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



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

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



Document(s) ready for submission

FILE CATEGORY	DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
IM Document	Announcements	Announcement.docx	1	Remove	
IM Document	EU Sanctions	EU sanctions.docx	1	Remove	
IM Document	Prospectus	Prospectus.docx	1	Remove	

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

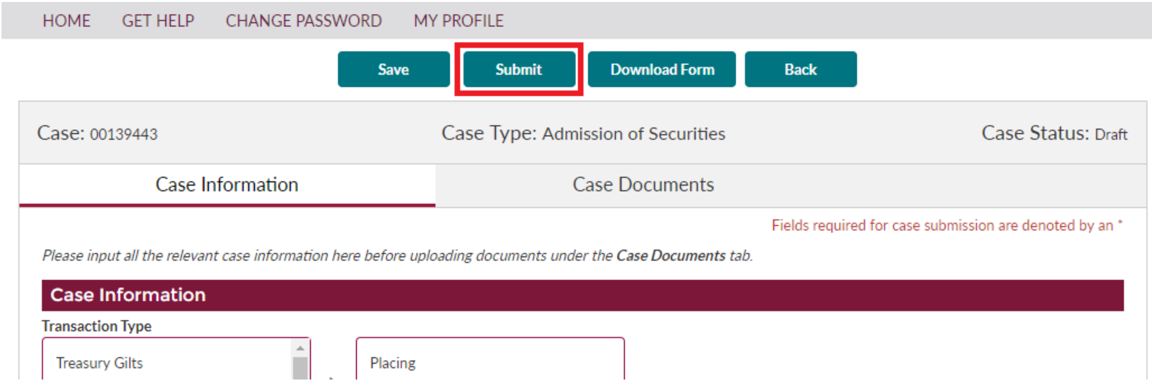
You will not be able to remove documents once a case has been submitted.

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

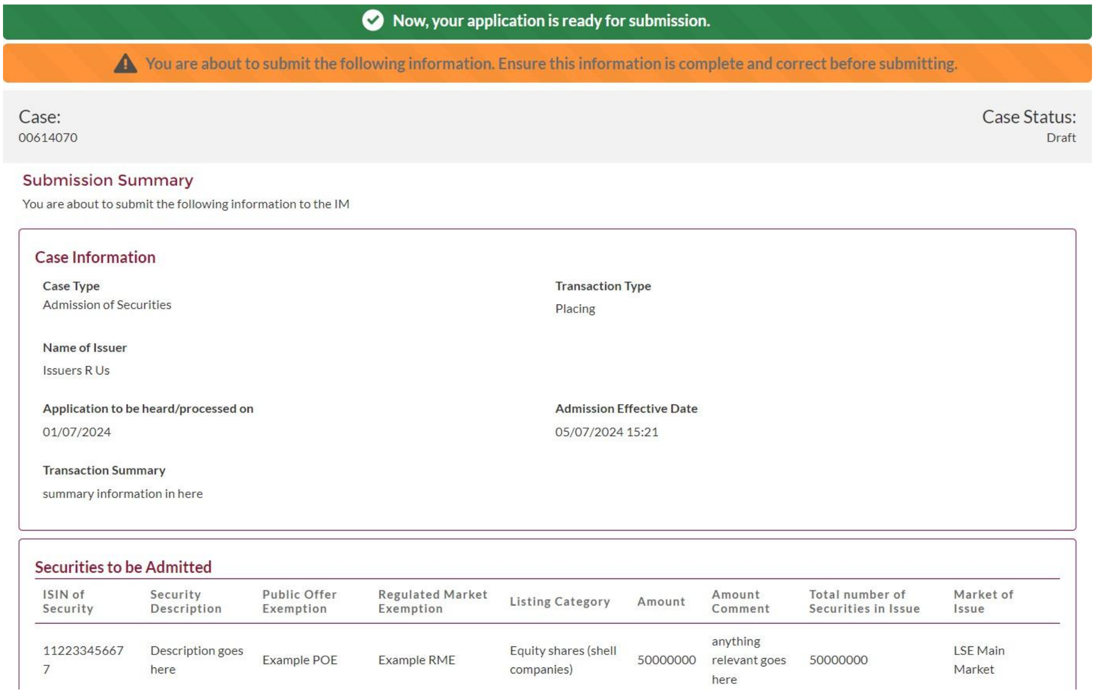
Step 10: Submit the case

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

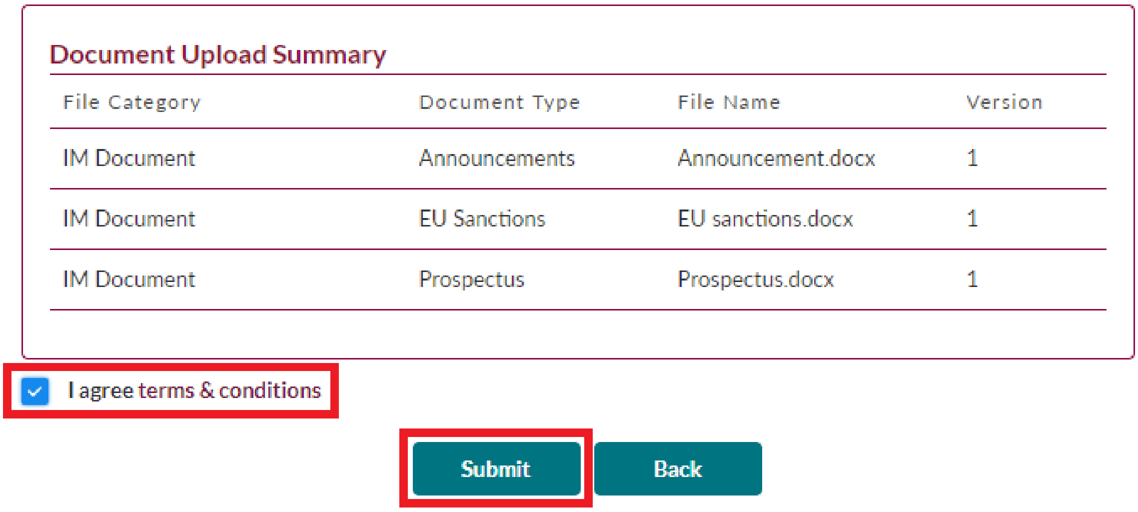
To submit the case, select the **Submit** button.



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



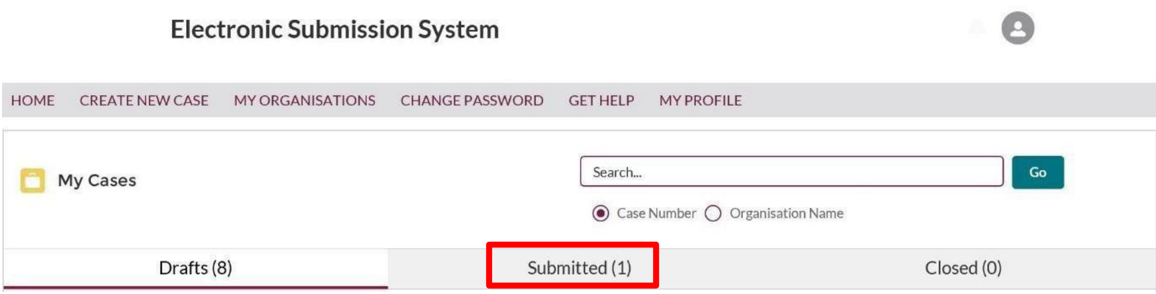
To submit the case, tick the **I agree terms & conditions** box at the foot of the page, then **Submit**.



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.



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:

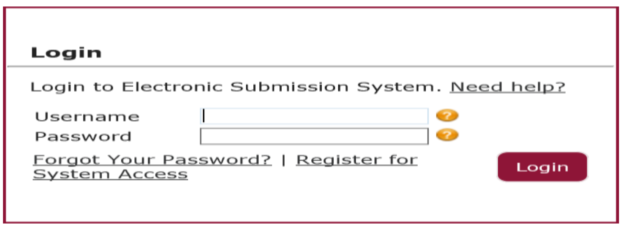
- have individual access to the ESS (as explained in part 1 of this guide); and
- be registered to submit notifications on behalf of the position holder.

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.

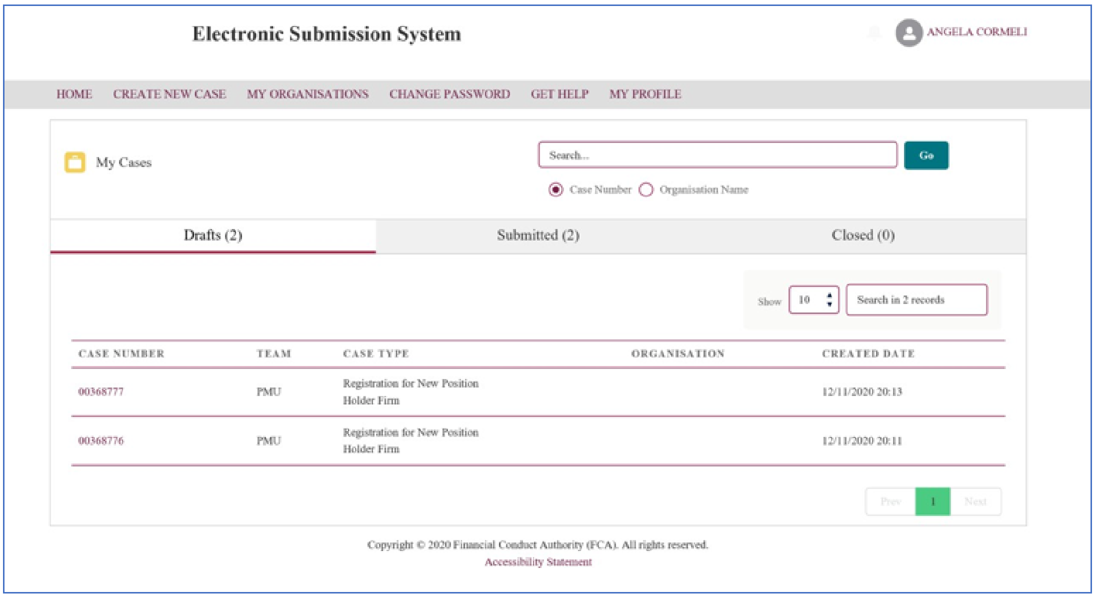
> If you are not already authorised to submit SSR/DTR 5 notifications, you will not see the options titled 'Short Selling Notifications' or 'Major Shareholdings Notifications.

Step 1: Accessing the ESS system

To begin the registration process you will need to log into ESS.

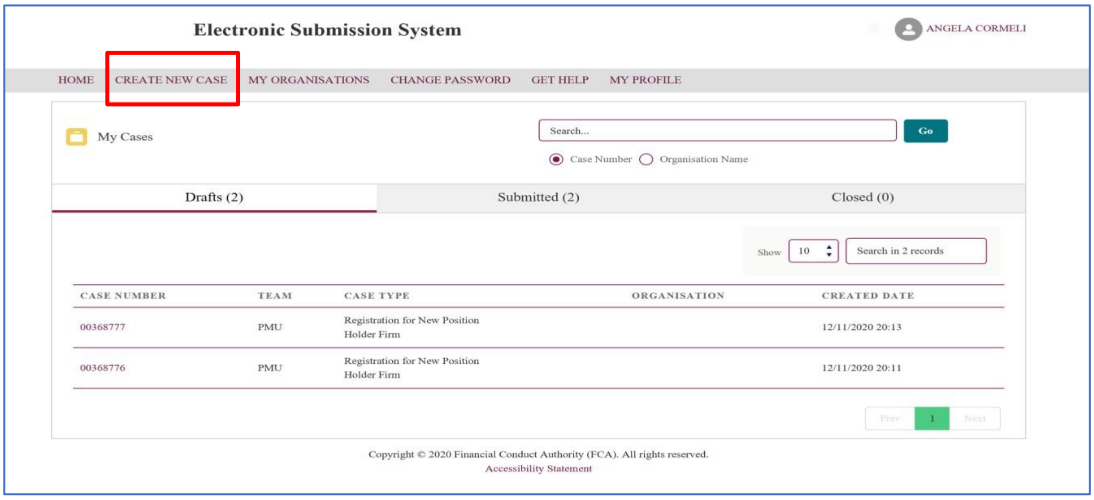


you will be taken to your ESS User Interface Page shown below.

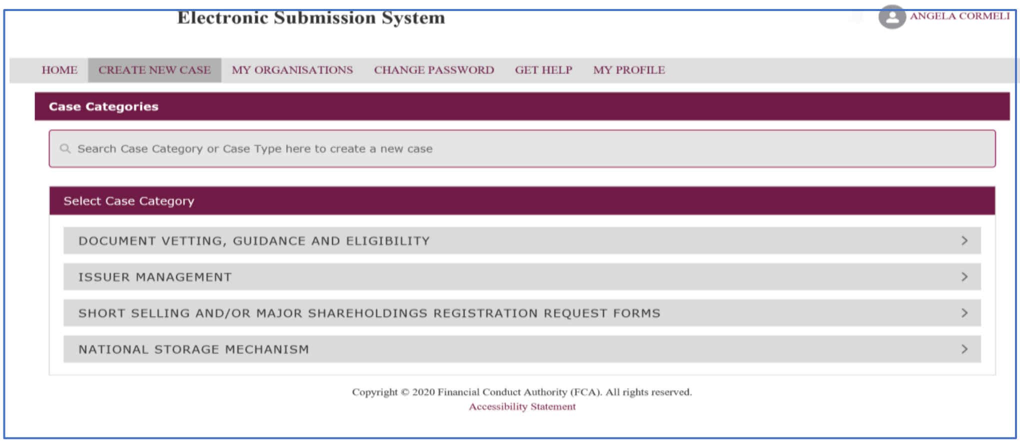


Step 2: Selecting the registration type

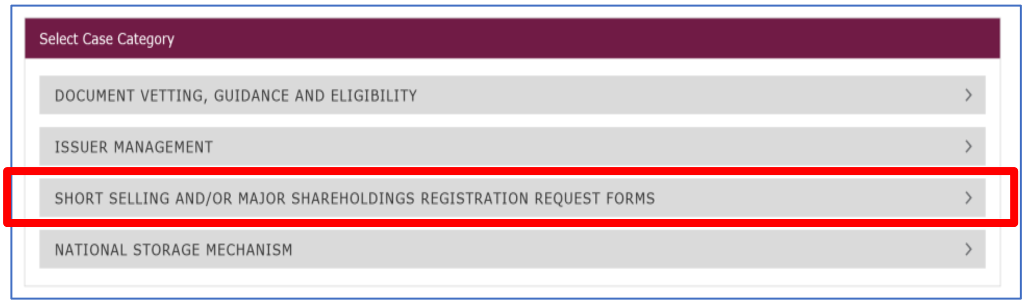
1. Select **Create New Case** from the menu at the top of the User Interface Page.



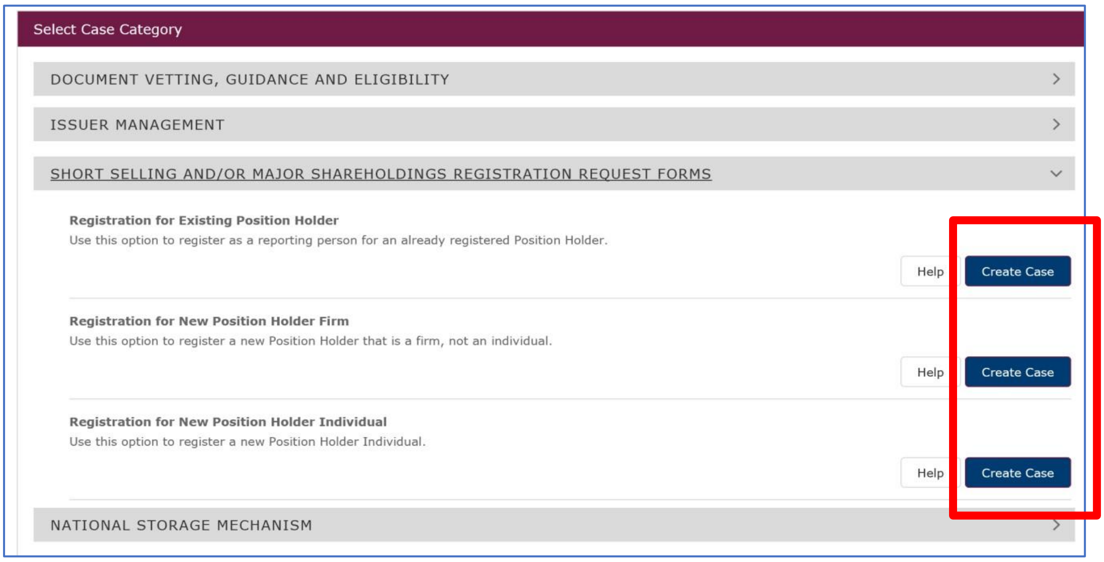
This will take you to the case categories page shown below



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.

<u>The registration types</u>:

(a) *<u>Registration for Existing Position Holder</u>*: 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) *<u>Registration for New Position Holder Firm</u>*: 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) *<u>Registration for New Position Holder Individual</u>*: **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:

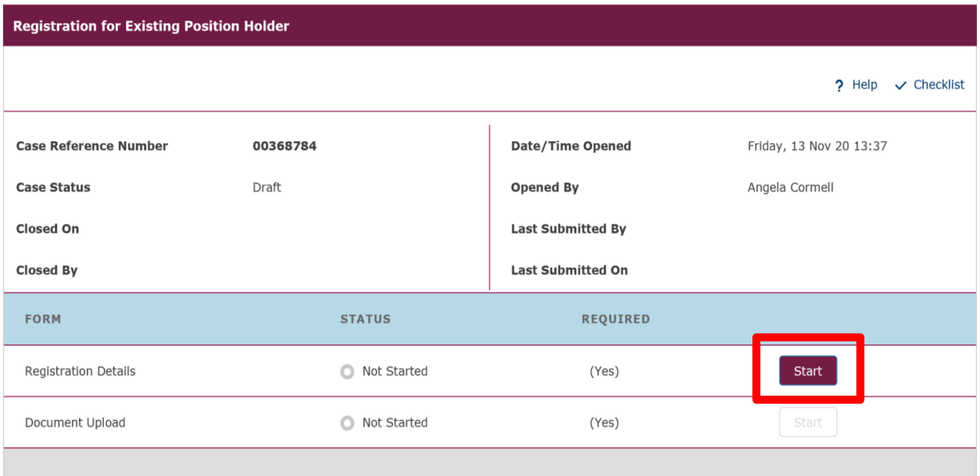
- **'Registration Details'** – complete Position Holder, Contact Person and Reporting Person data fields in this section.
- **'Document upload'** – upload supporting documents in this section.

> 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.

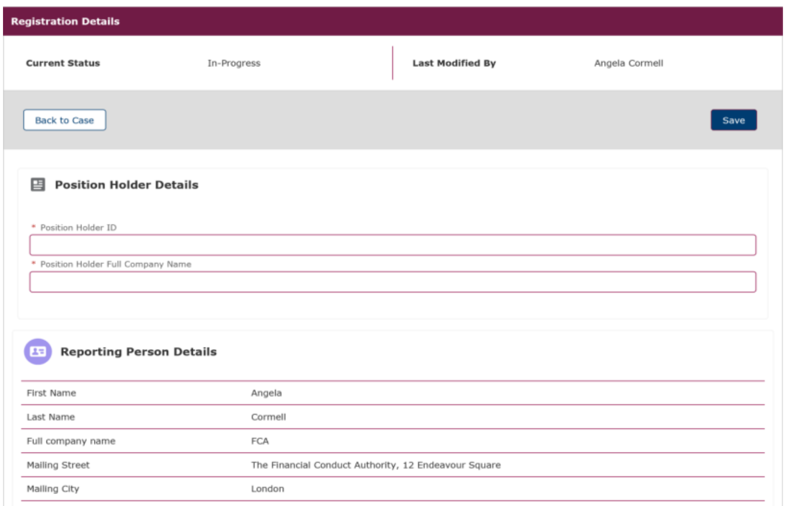
Option 1 - Registration for Existing Position Holder

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.



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***.

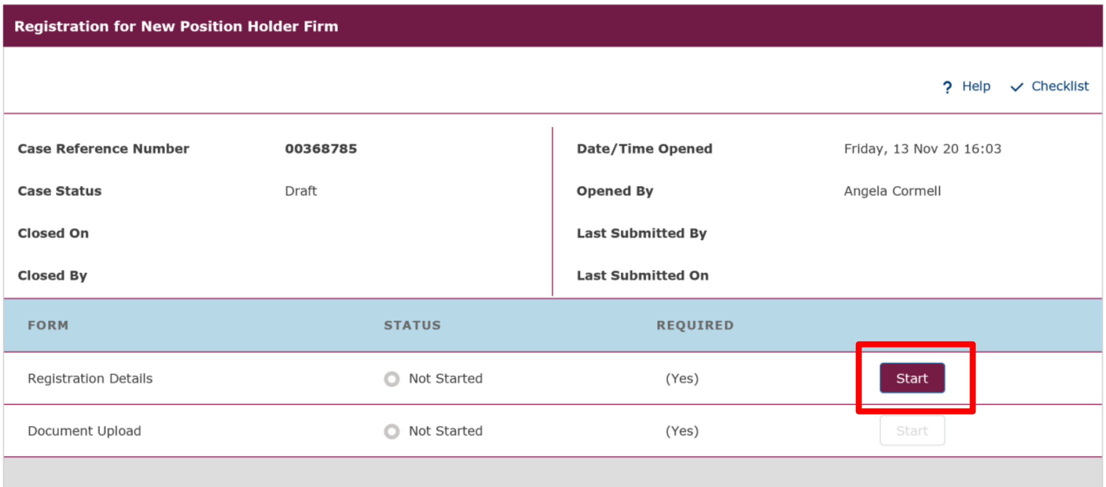


3. Once completed, select **Save**. A confirmation will appear and you will return to the Registration Overview page, where the registration details status will be **Ready to Submit**. Continue to step 4.

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.

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



2. 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

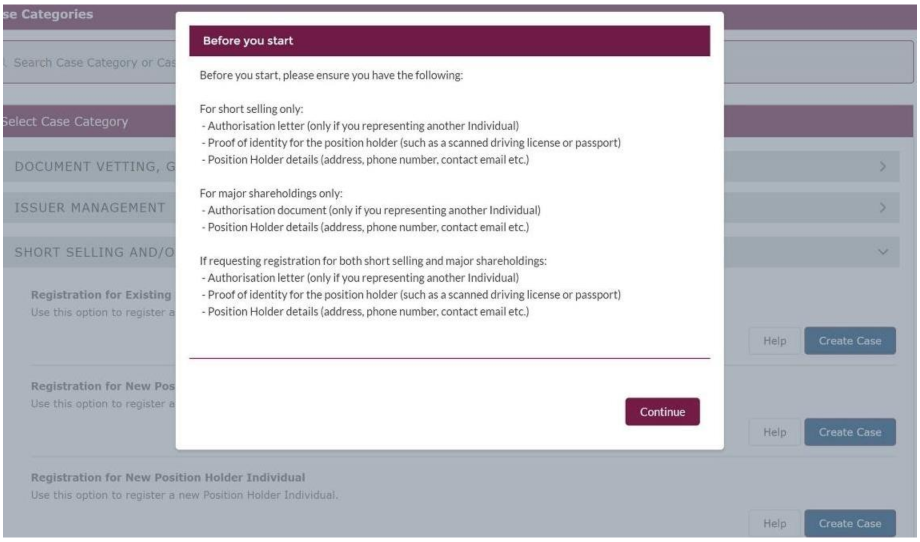
3. Once completed, select **Save**. A confirmation will appear and you will return to the Registration Overview page, where the registration details

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

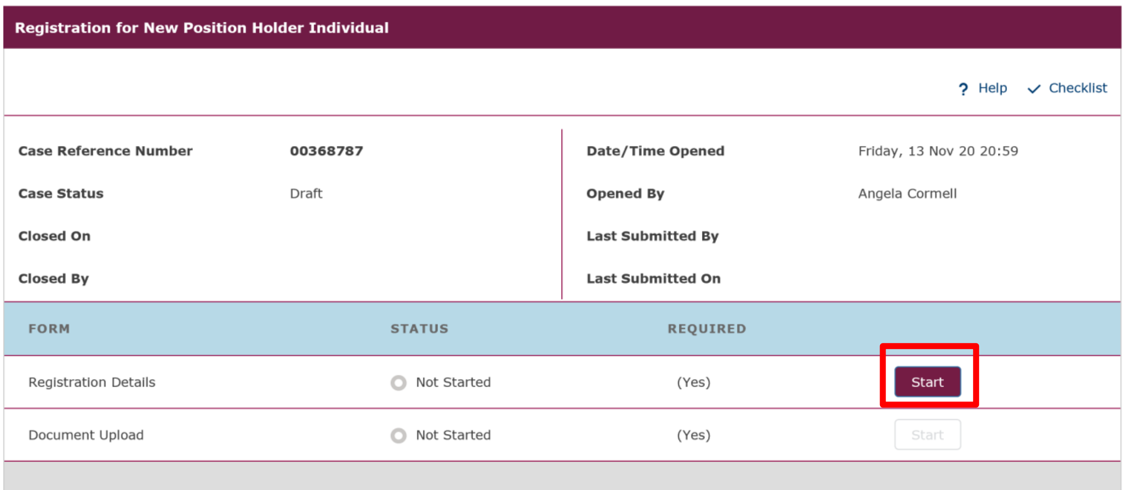
Option 3: Registration for New Position Holder Individual

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.



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



2. Complete the Registration Details screen:

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

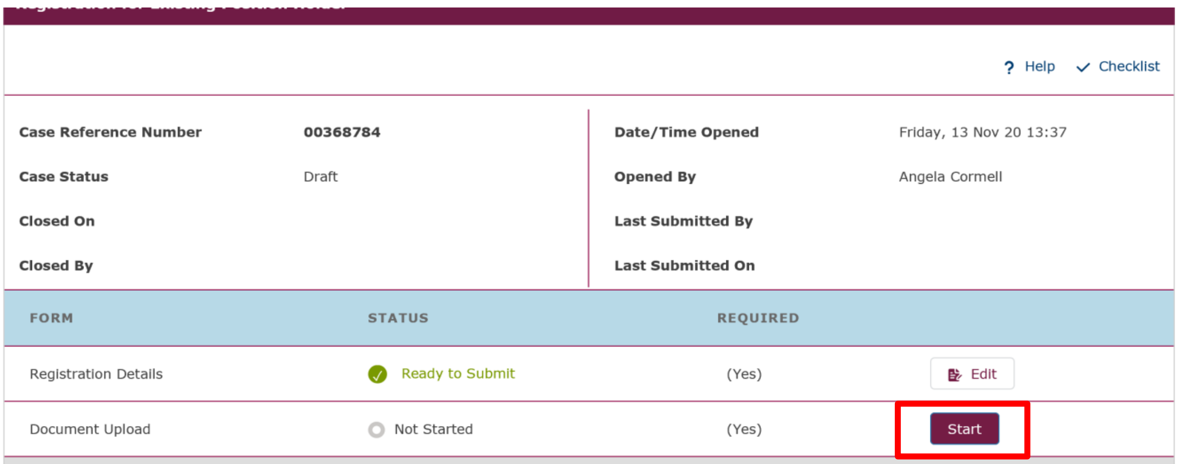
     Note: Although the form asks for the company's details, individuals should enter their personal details in the full company name and address boxes

- ***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

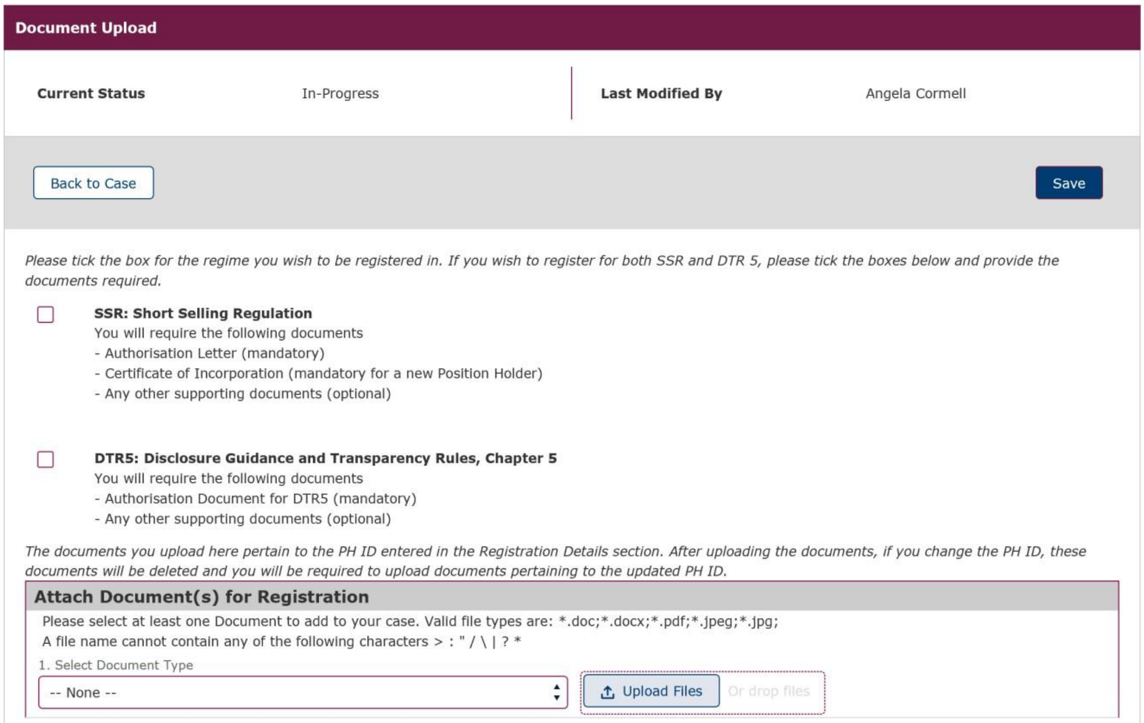
Once you have returned to the Registration Overview page, select '**Start**' button in the '**Document Upload**' row.



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



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

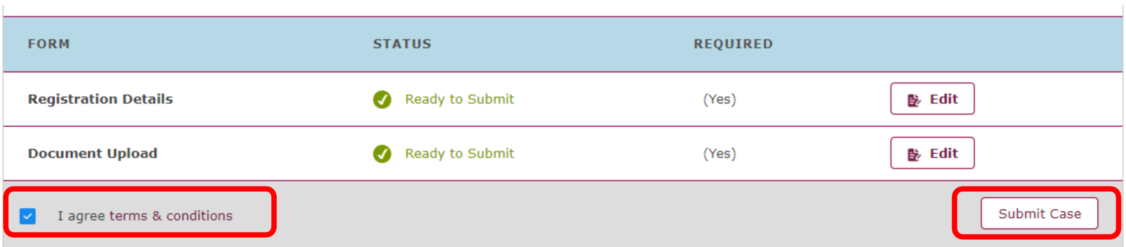
For DTR 5, do not upload TR-1 forms as part of your registration. These must be submitted separately via a Major Shareholdings notification.

3. 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.

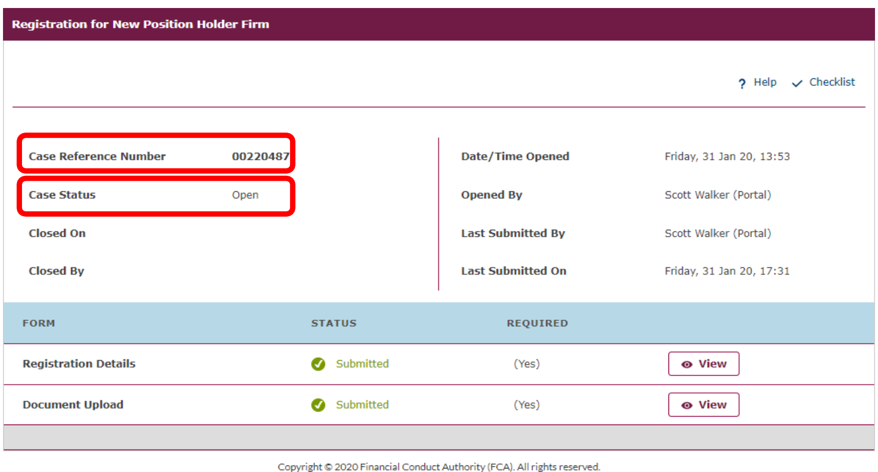
Once all required information is completed, the **Submit Case** button will be enabled. Select '**Submit Case**' to send the case for review.



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	00220487	Date/Time Opened	Friday, 31 Jan 20, 13:53
Case Status	Open	Opened By	Scott Walker (Portal)
Closed On		Last Submitted By	Scott Walker (Portal)
Closed By		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.

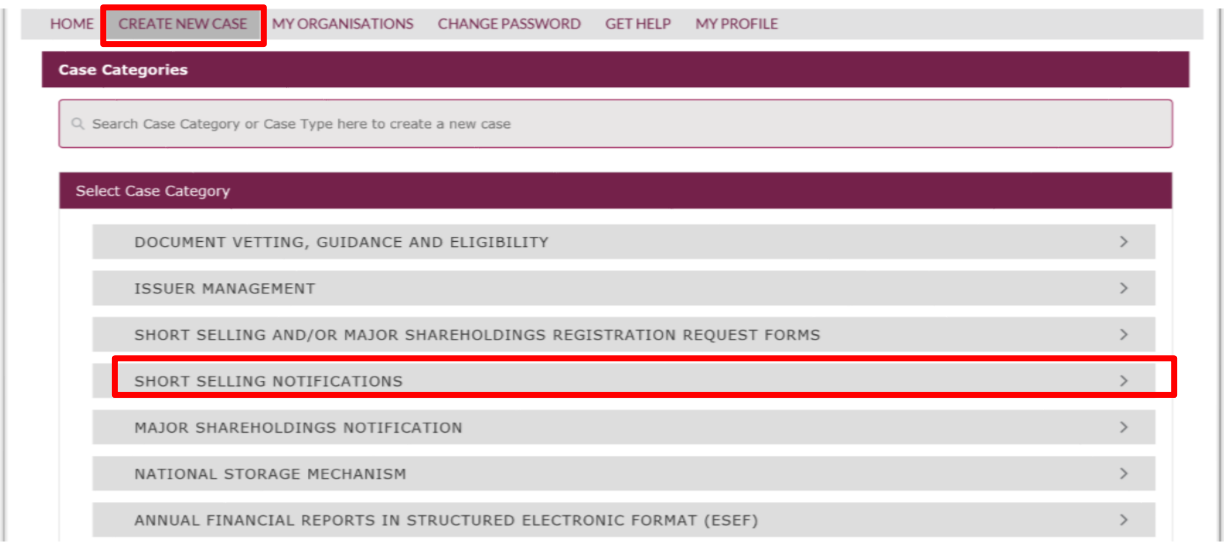
- This section explains how to:
- submit a new short selling notification;
- correct an existing notification; and
- delete a notification submitted in error.

6.2.1. Submit a new SSR Notification

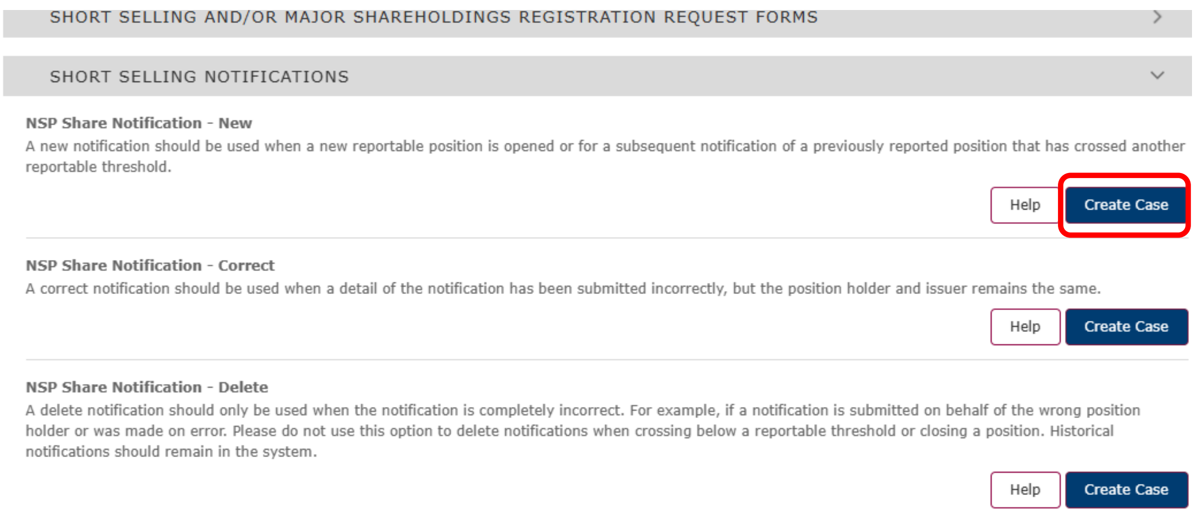
To notify us of a new share position, you must complete the necessary fields within the '**NSP Share Notification – New**' online form.

Step 1: Create a new SSR case.

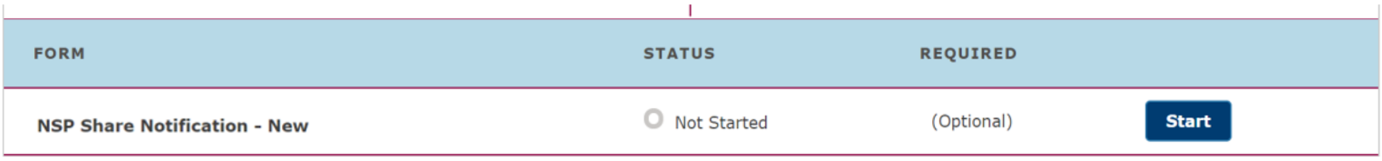
1. Select **Create New Case** from the Menu**.**
2. From **Select Case Category**, choose **Short Selling Notifications**.



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



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



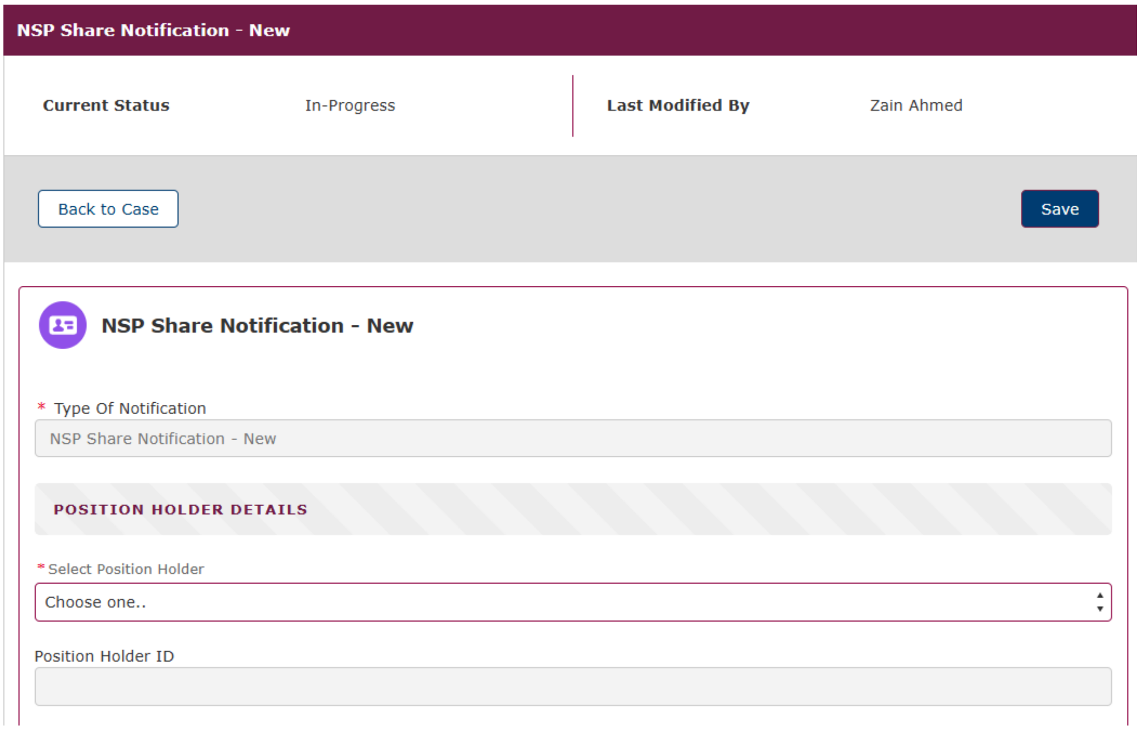
Step 2: Select the position holder.

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.

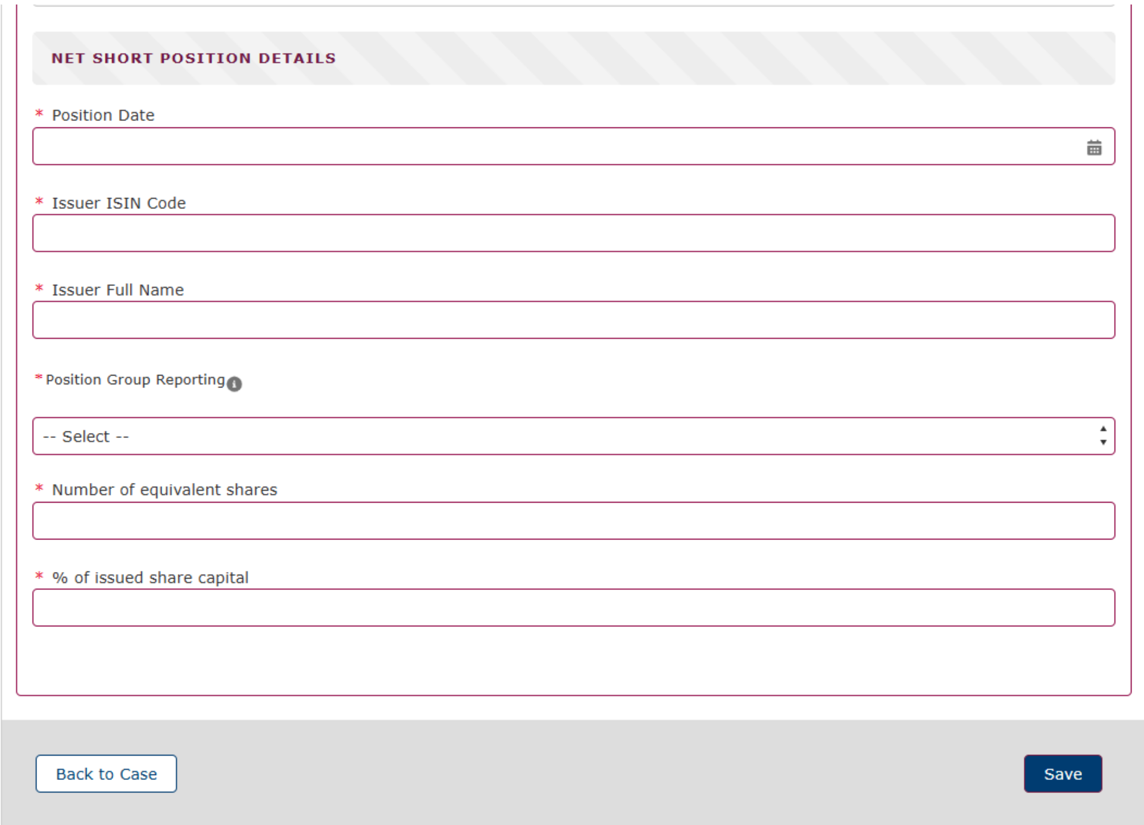


Step 3: Complete the net short position details

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.



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 is 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.*

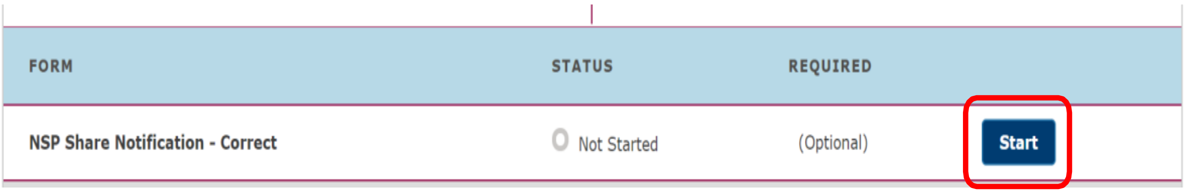
We will update the ESS user guide on 30 September to explain the bulk reporting changes.

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.

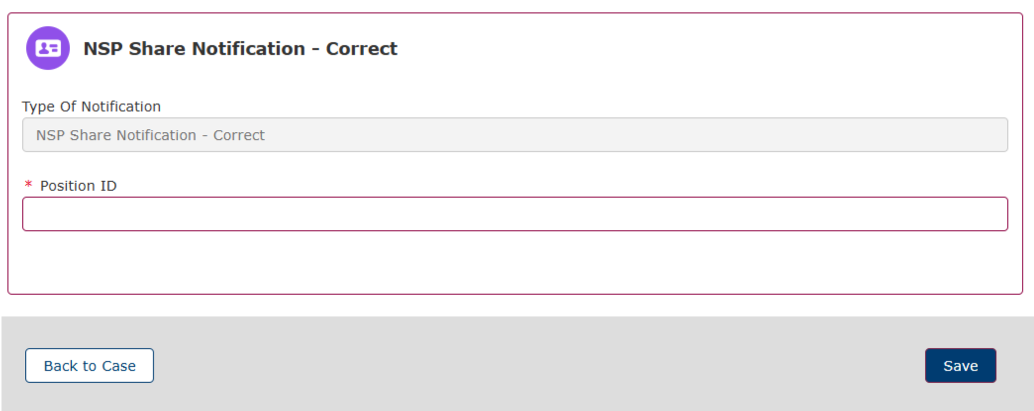
Step 1: Create a new SSR case.

1. Select 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.



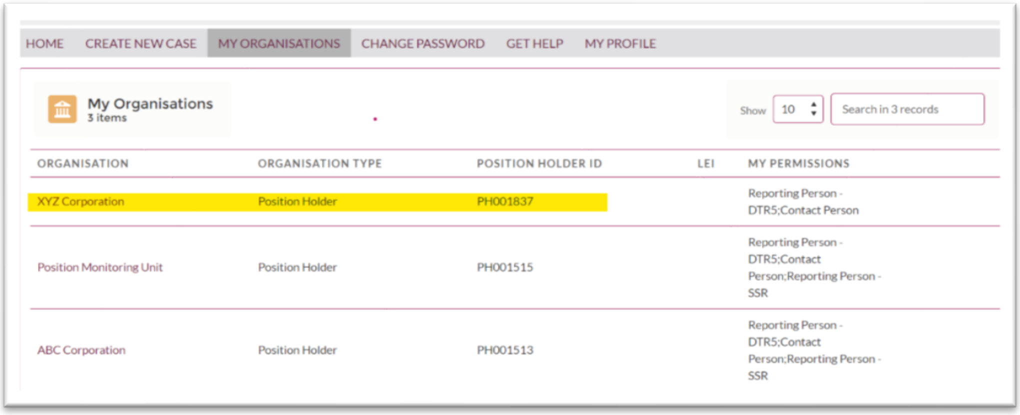
Step 2: Enter the relevant 'Position ID'

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



How to find the position ID:

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



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

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

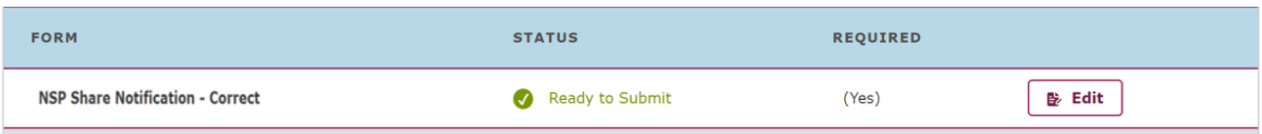
Once you enter a valid Position ID, the notification to be corrected will be displayed.

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**.



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.

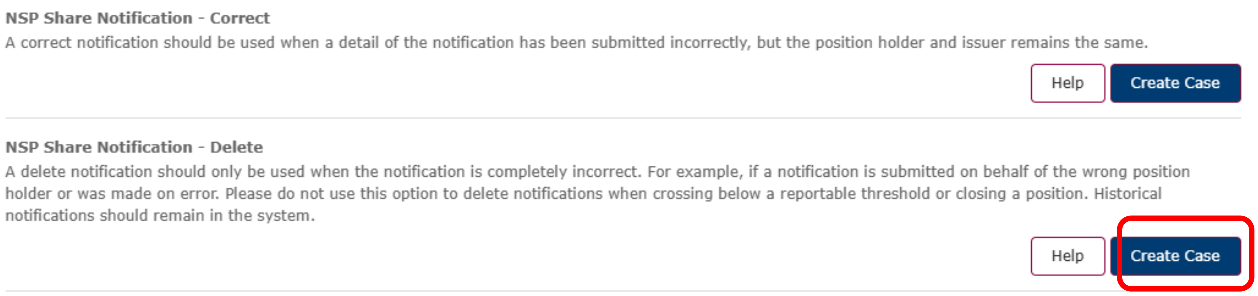
All **NSP share notification - correct** cases will be reviewed by the FCA. Once approved or rejected your notification will now move to the **Closed** section of **My Cases**.

6.2.4. Delete an existing NSP notification

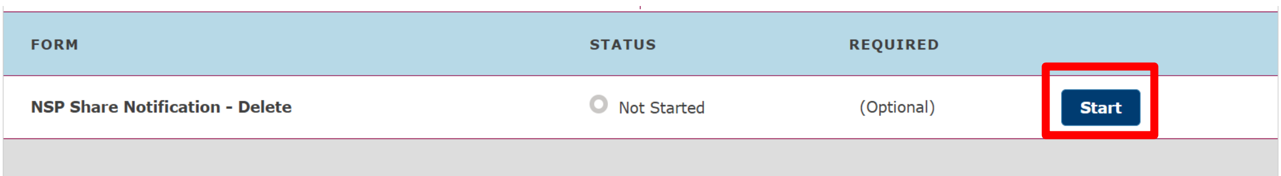
If you have submitted an SSR notification to us in error and you wish to withdraw the notification, you must notify us by completing and submitting a **'NSP Share Notification – Delete'** case type.

Step 1: Create a new SSR case.

1. Select 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.



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



Step 2: Enter the relevant 'Position ID'

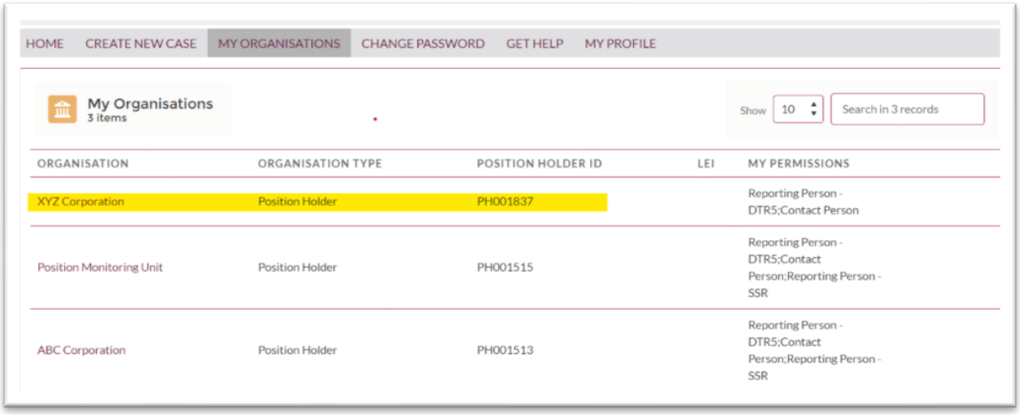
1. Enter the **Position ID** of the notification you wish to delete.

2. Select **Save**.

How to find the position ID:

To find the relevant Position ID:

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



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

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

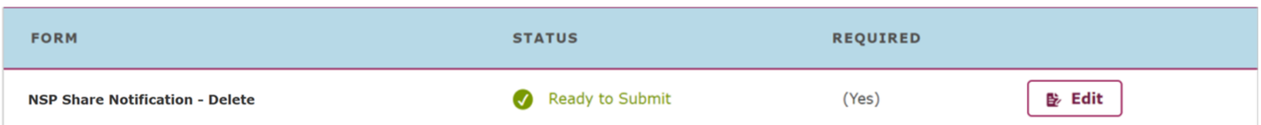
Once you enter a valid Position ID, you will be redirected to the case form showing the details of the relevant position notification.

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**.



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.**

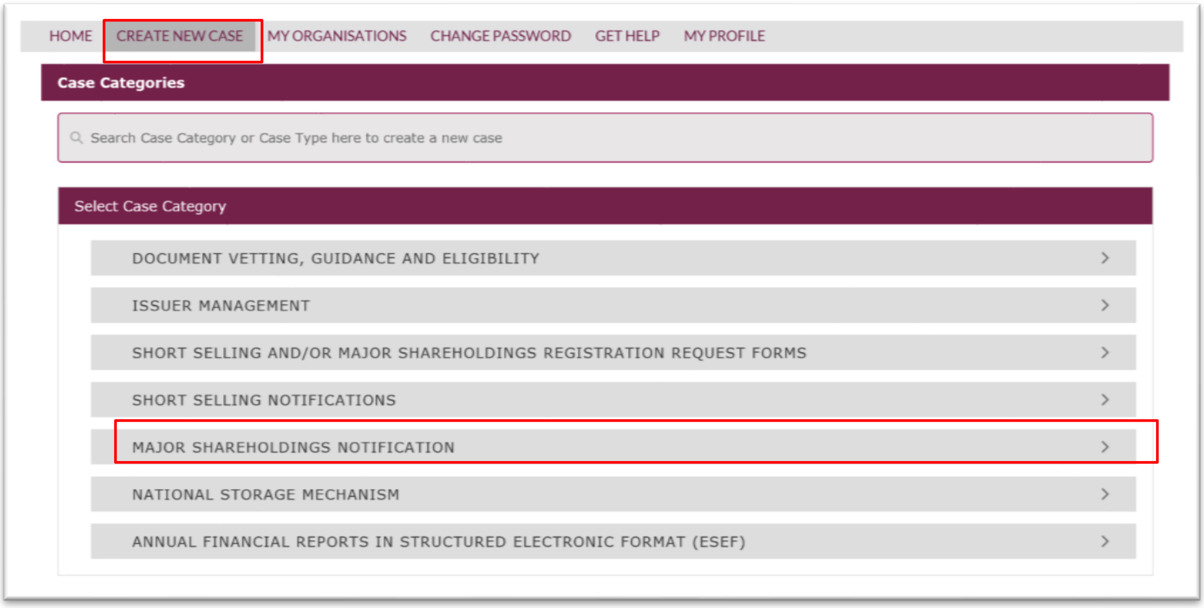
6.3. DTR 5 notifications

6.3.1. Submitting a new DTR 5 notification

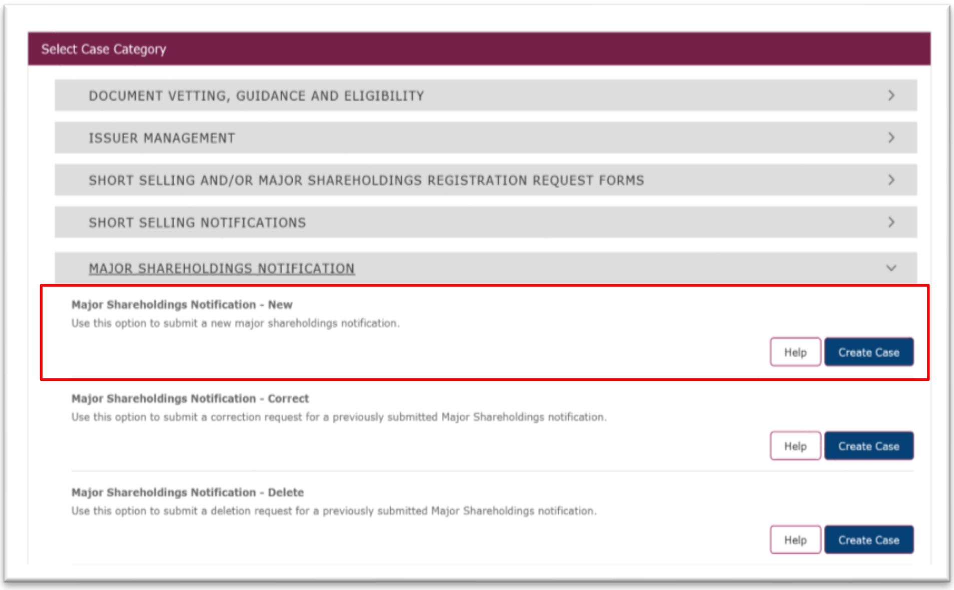
To notify us of a new share position, you must complete the necessary fields within the '**NSP Share Notification – New**' online form.

Step 1: Create a Major Shareholdings Notification – New case

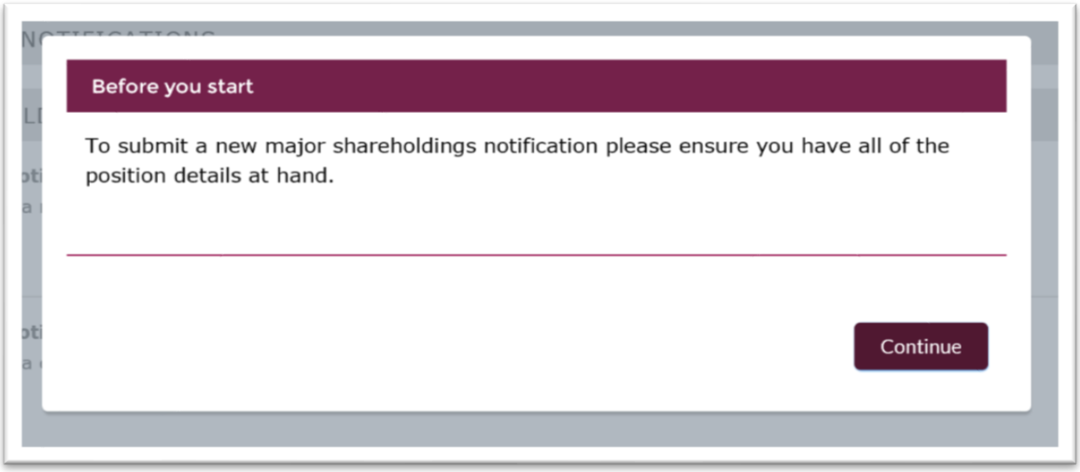
1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, choose **Major Shareholdings Notification**.



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



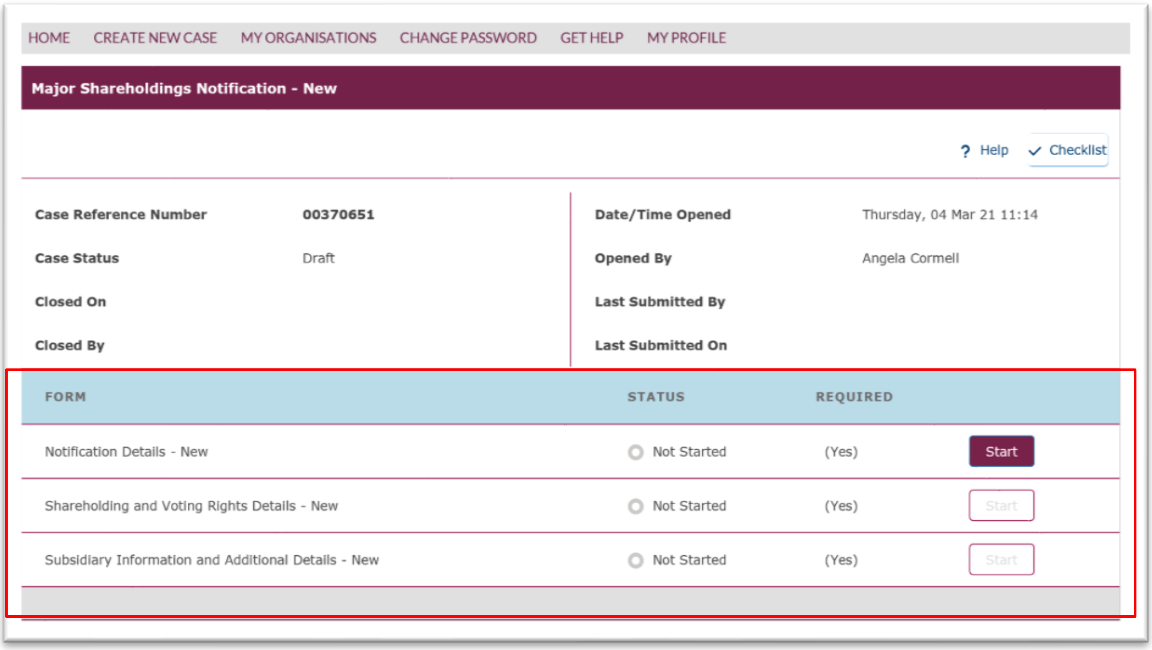
4. The following pop-up notification will be displayed, select **Continue** to close the pop-up box.



The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form 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.



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

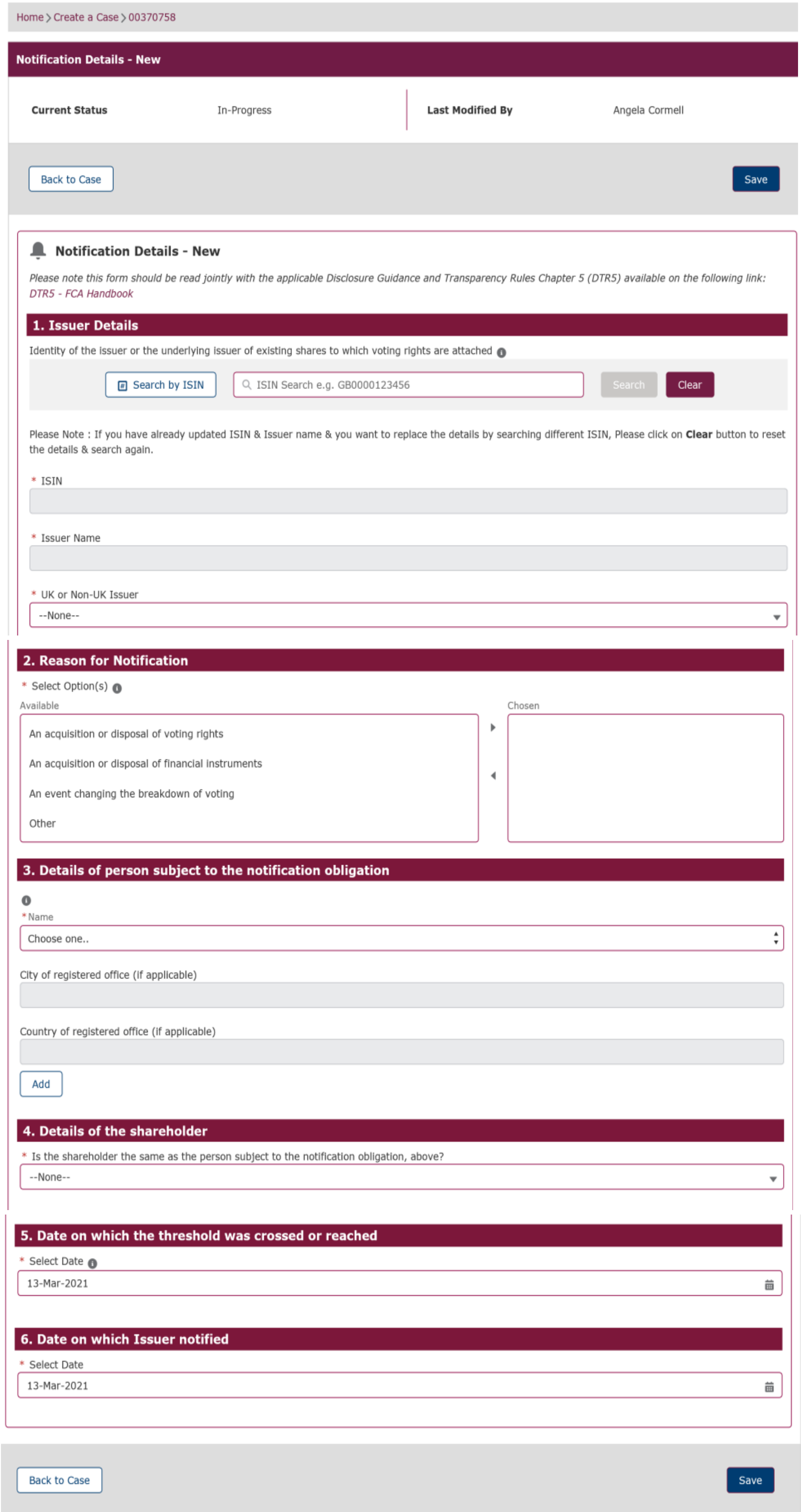
This section requires the completion of 6 questions:

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:

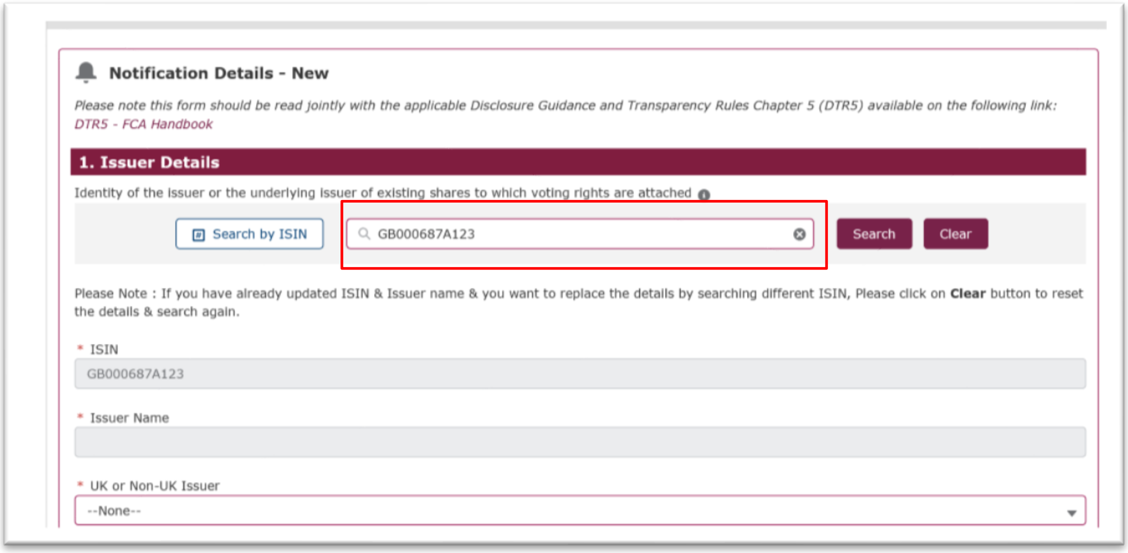
- Shareholding and Voting Rights Details – New
- Subsidiary Information and Additional Details - New

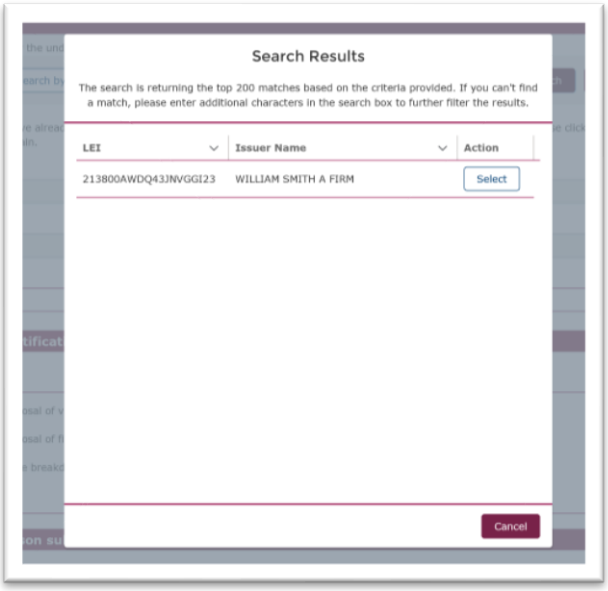


Guidance on completion of these 6 questions is shown below. Please note additional guidance on the information which needs to be input to this electronic TR-1 form can be found in the Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available via this link:DTR5 - FCA Handbook.

QUESTION 1 - Issuer Details

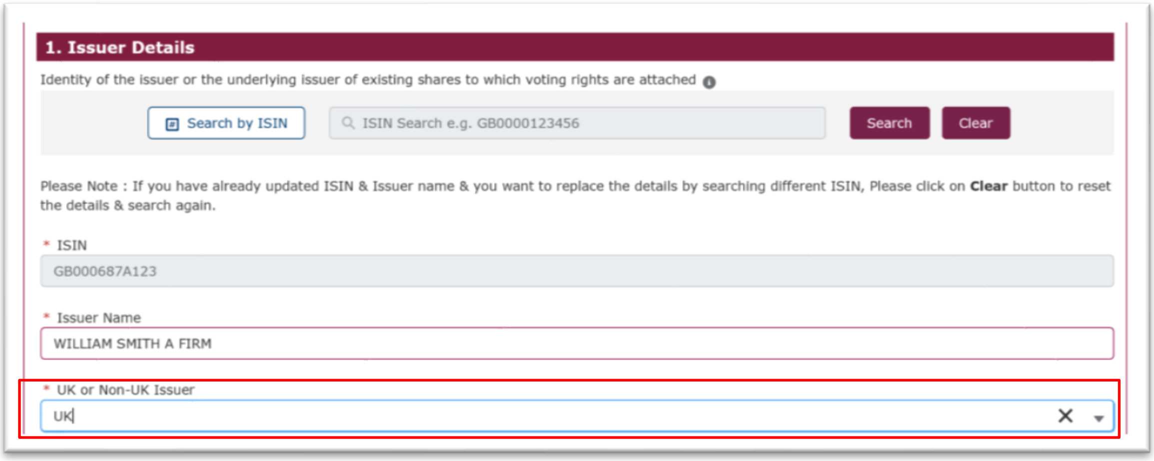
You will need to enter the ISIN for the security as shown below and then press search.





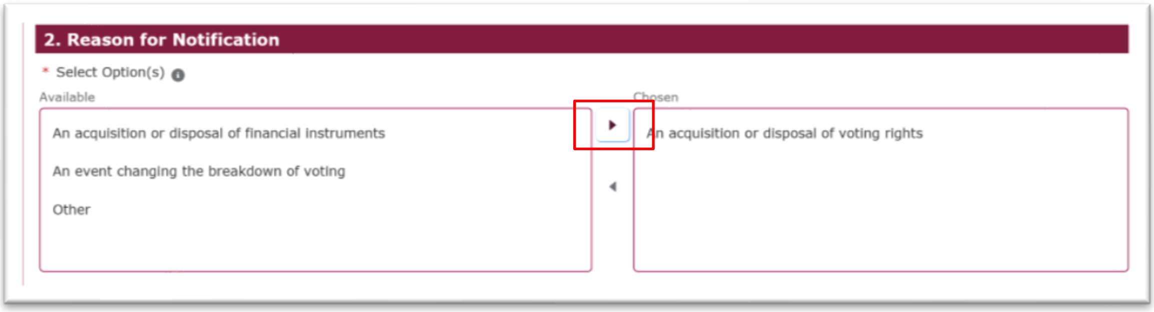
The search will **return** the details of securities, you will need to select the appropriate security from the search results.

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.



QUESTION 2 - Reason for Notification

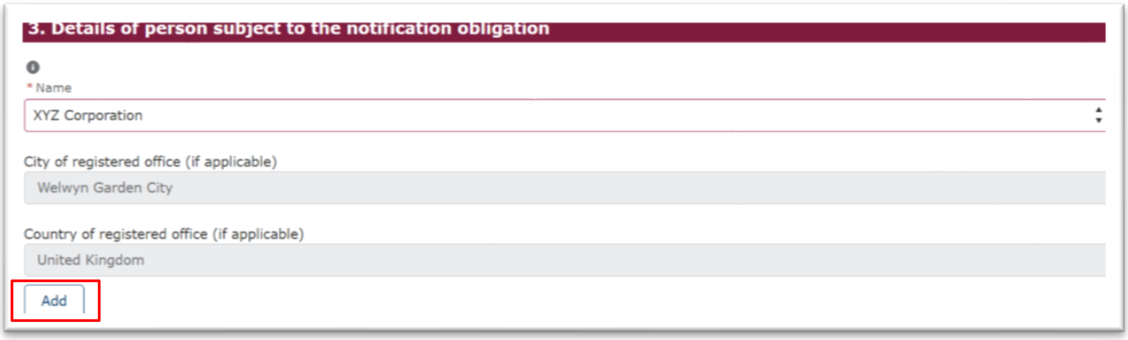
Select the reason for notifications from the **Available** (left hand box) and move this to the **Chosen** (right hand box) by clicking on the arrow icon.



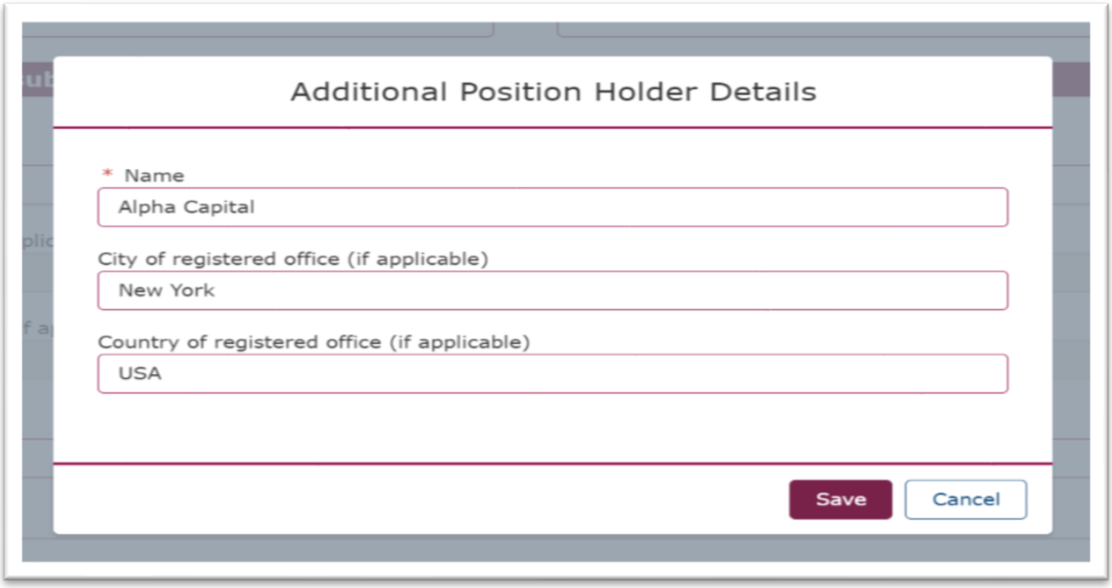
By selecting **Other** a comment box will appear, and you will need to provide a comment.

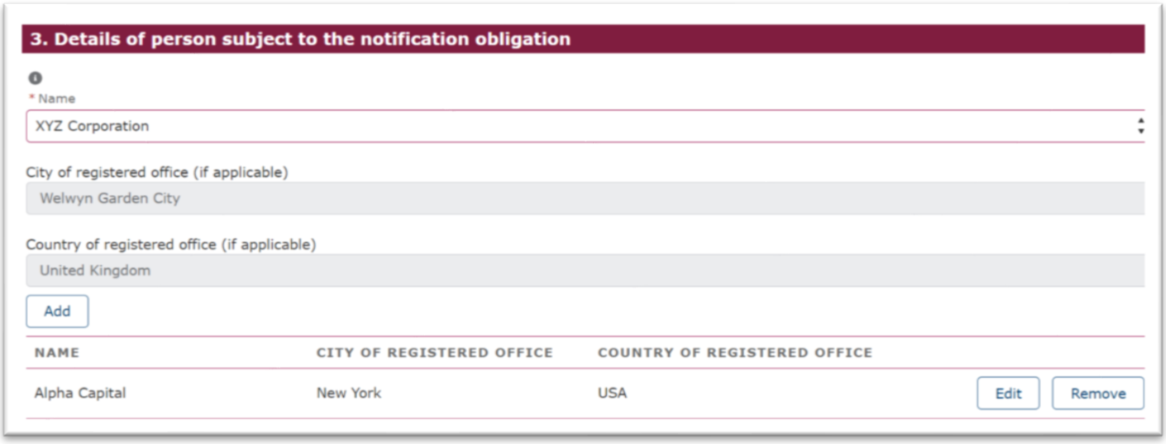
QUESTION 3 - Details of person subject to the notification obligation

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.

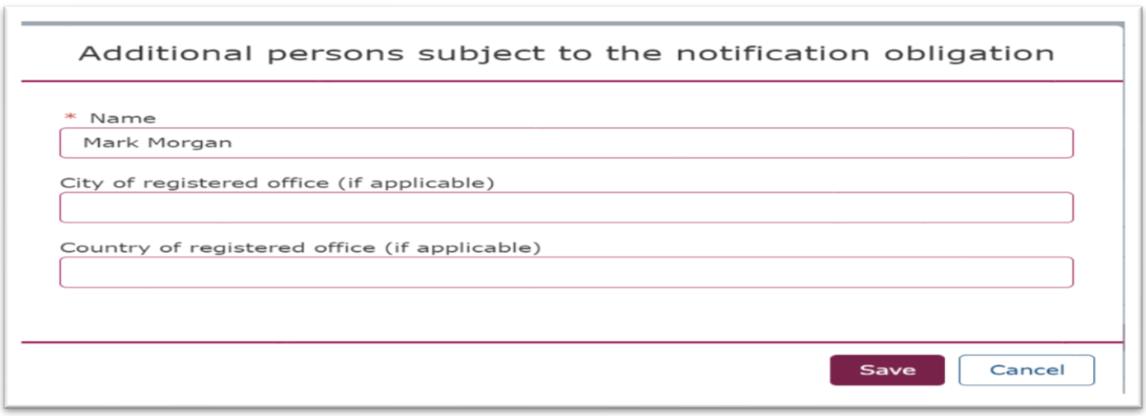


If you need to add the details of an additional person who is subject to the notification you will need to enter their details by selecting the **Add** button. An example is shown below.





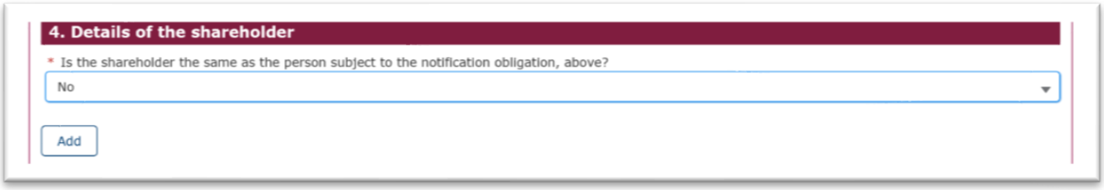
If the position holder is an individual, you do not need to complete the City and Country of registered office. See the below example:

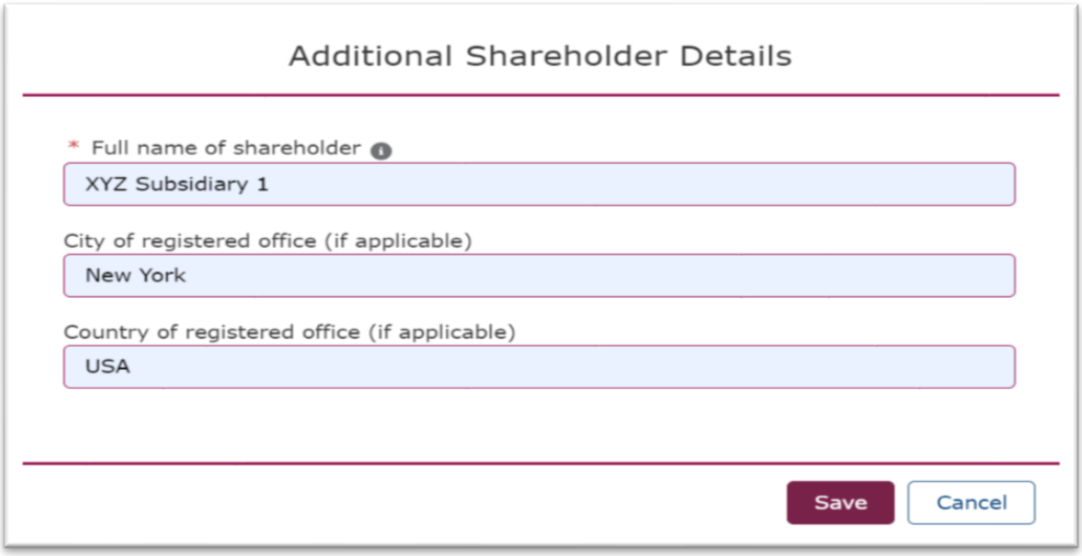


QUESTION 4 - Details of the shareholder

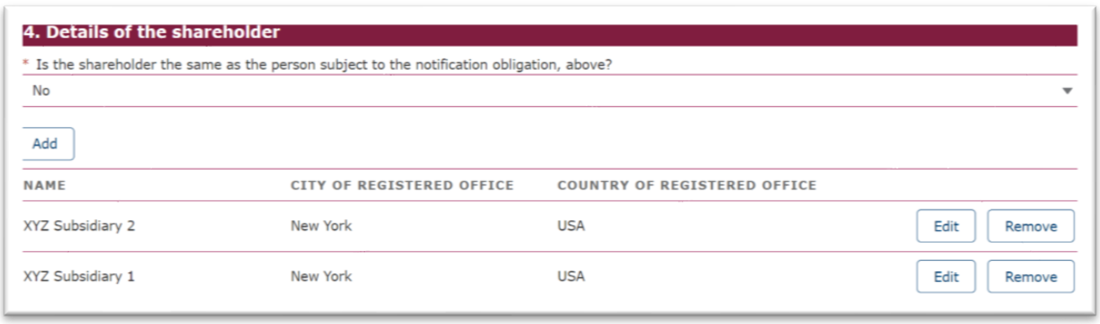
You need to advise if the shareholder is the same person, as the person stated in the notification obligation, Question 3.

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





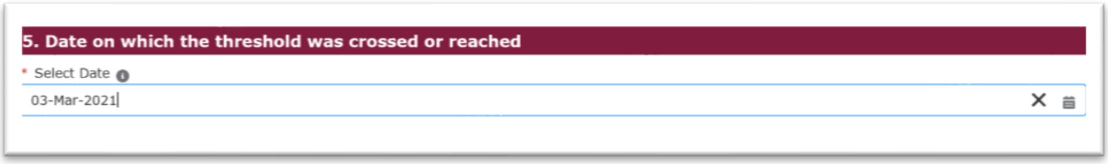
You can add as many shareholder firms or individuals as you need. If the shareholder is an individual, you do not need to complete the City and Country of registered office. See the below example:



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

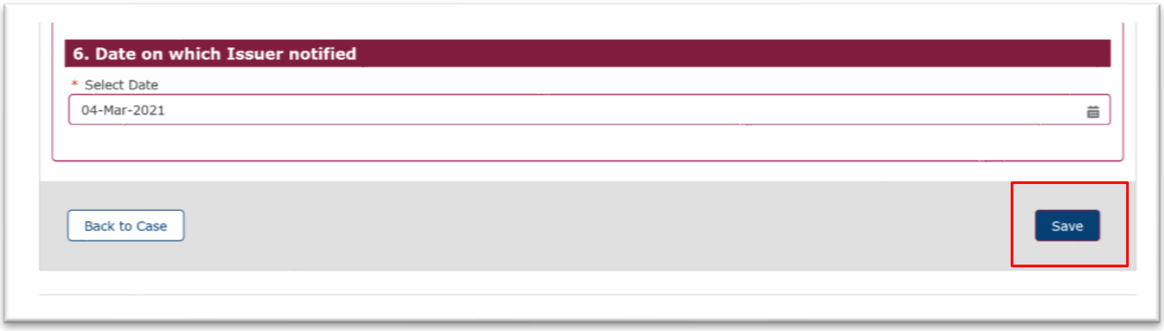
QUESTION 5 – Date on which the threshold was crossed or reached

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

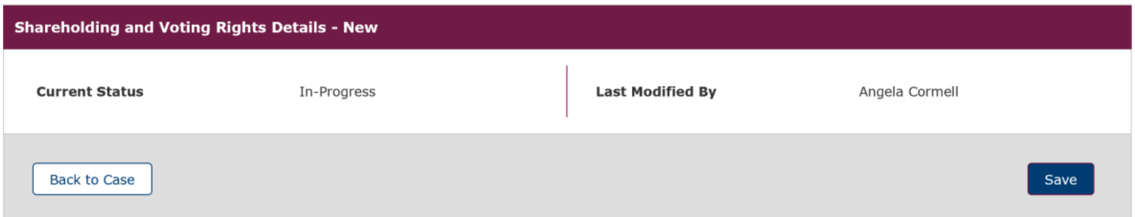


QUESTION 6 – Date on which Issuer notified

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.



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

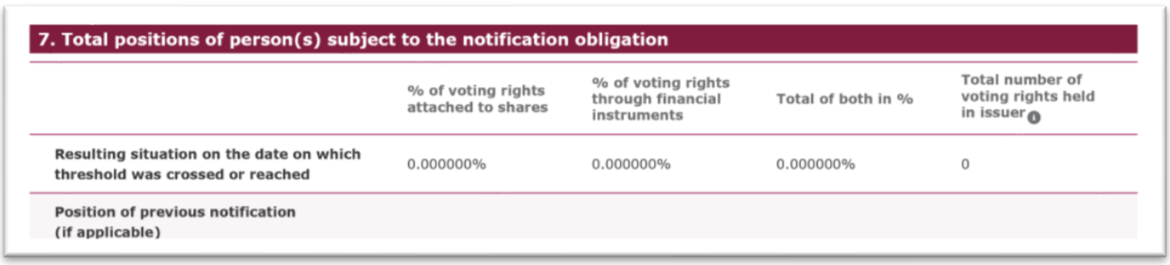


This section requires the completion of 2 questions:

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.

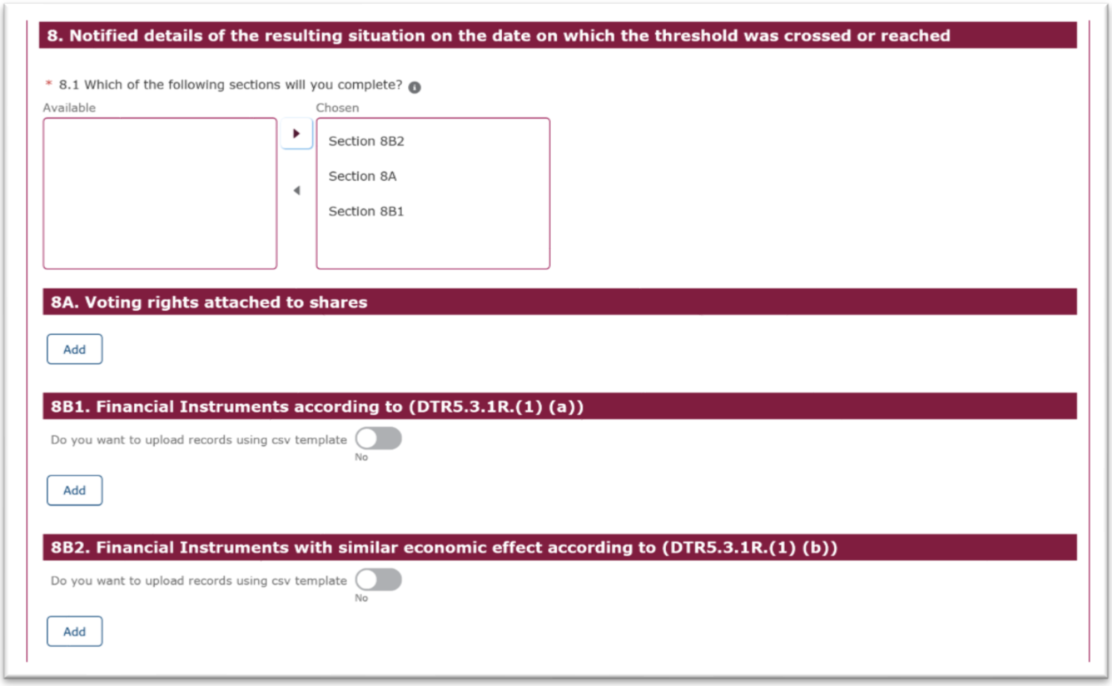
QUESTION 7 - Total position of person(s) subject to the notification obligation

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.



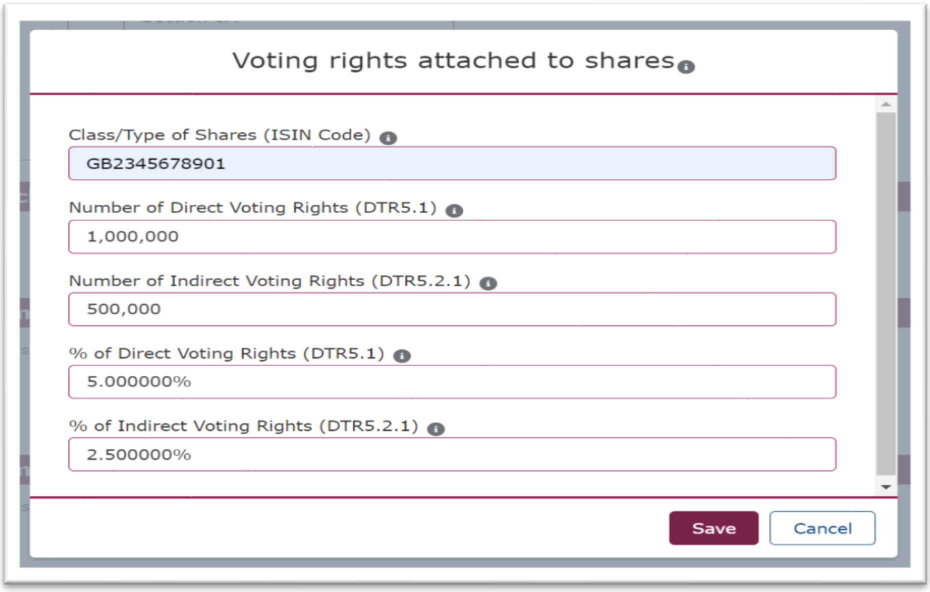
QUESTION 8 - Notified details of the resulting situation on the date on which the threshold was crossed or reached.

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.



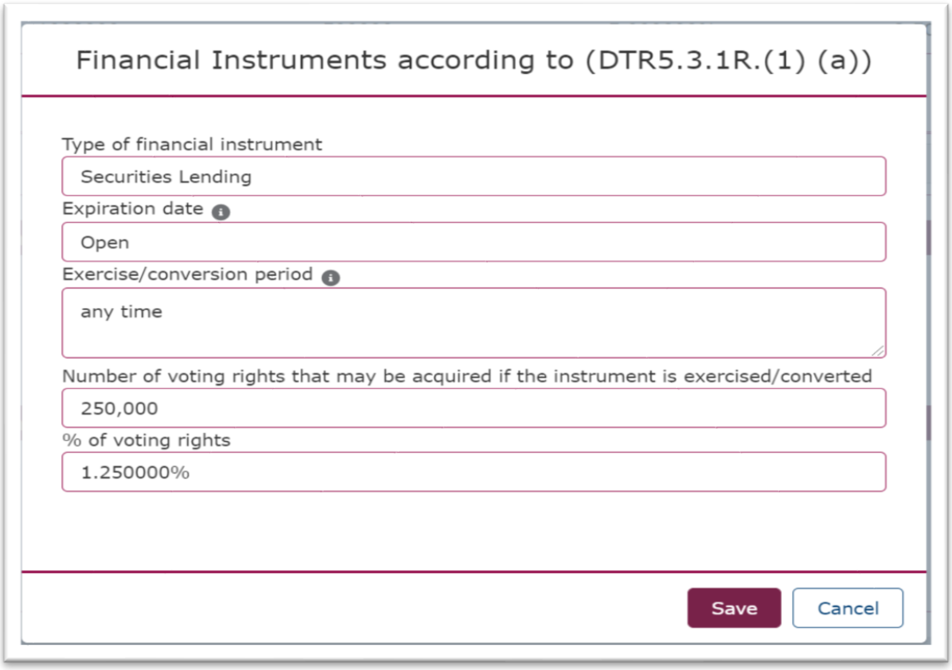
QUESTION 8A – Voting rights attached to shares

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



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

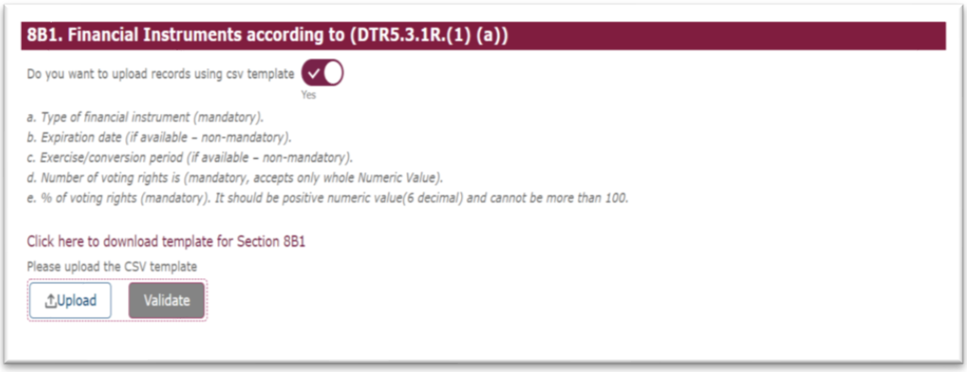
This section requires the provision of the following information related to financial instruments that meet the requirements under DTR5.3. 1 R(1)(a). See the below example:



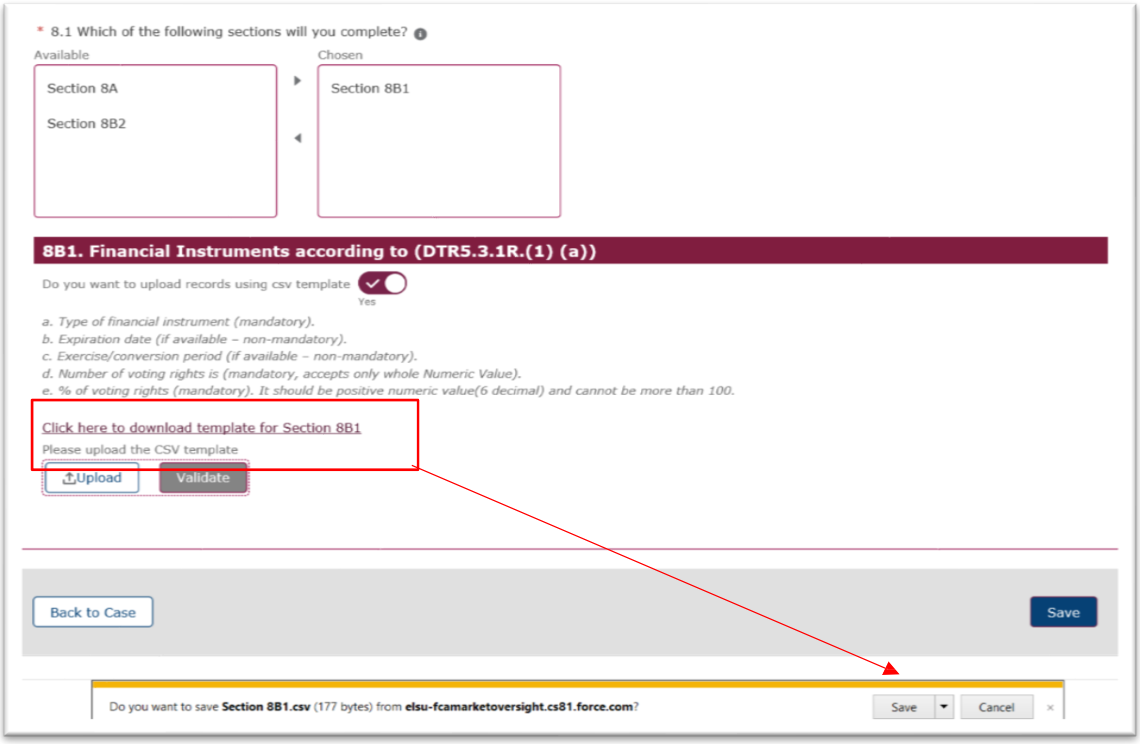
Alternatively, you can also select the option to upload a CSV file:.

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:

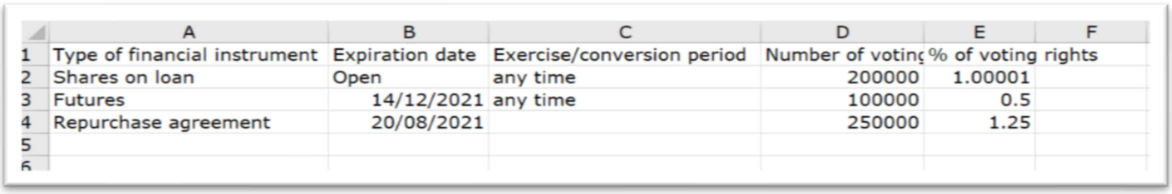
Click on the toggle to upload records using a csv file



Download a CSV file template

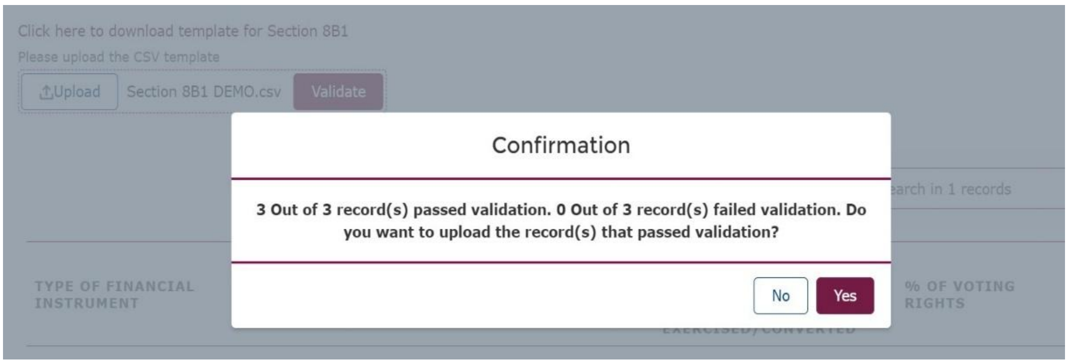


Correctly populate CSV file and save it on your desktop:



	A	B	C	D	E	F
1	Type of financial instrument	Expiration date	Exercise/conversion period	Number of votinç	% 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:



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

Add Remove All

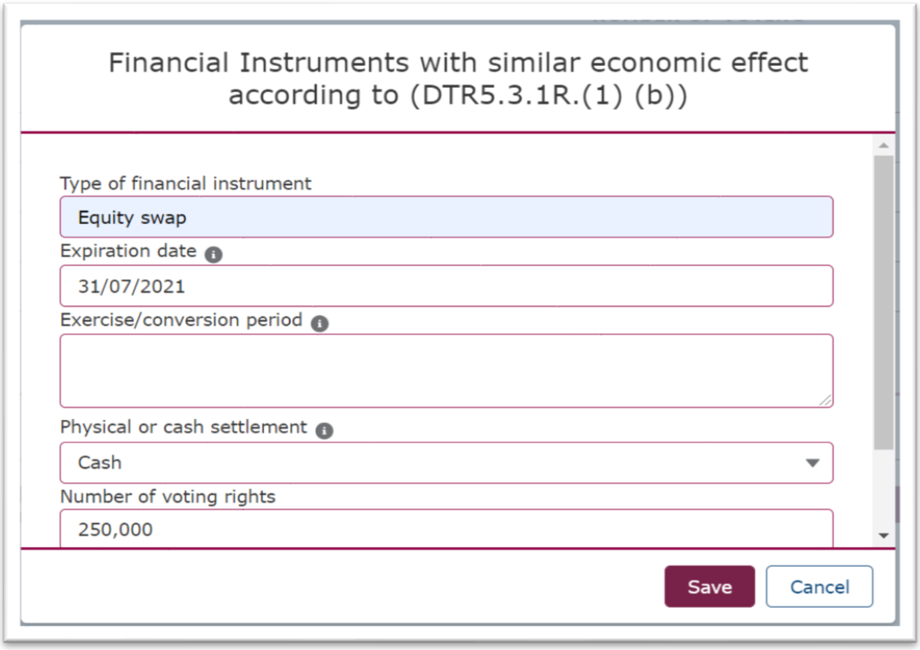
Show 10 Search in 4 records

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

Prev 1 Next

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

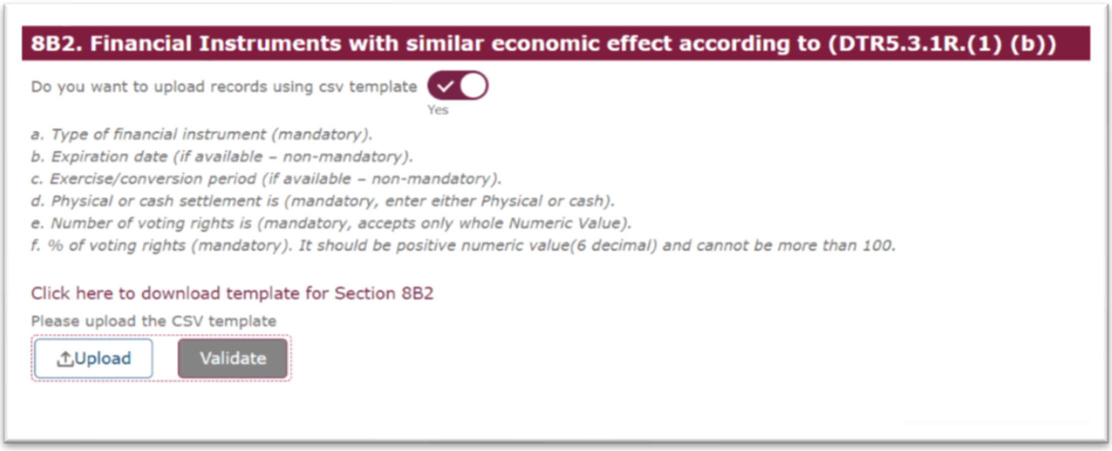
This section requires the provision of the financial instruments that falls within DTR5.3.1R(1)(b). See the example below.



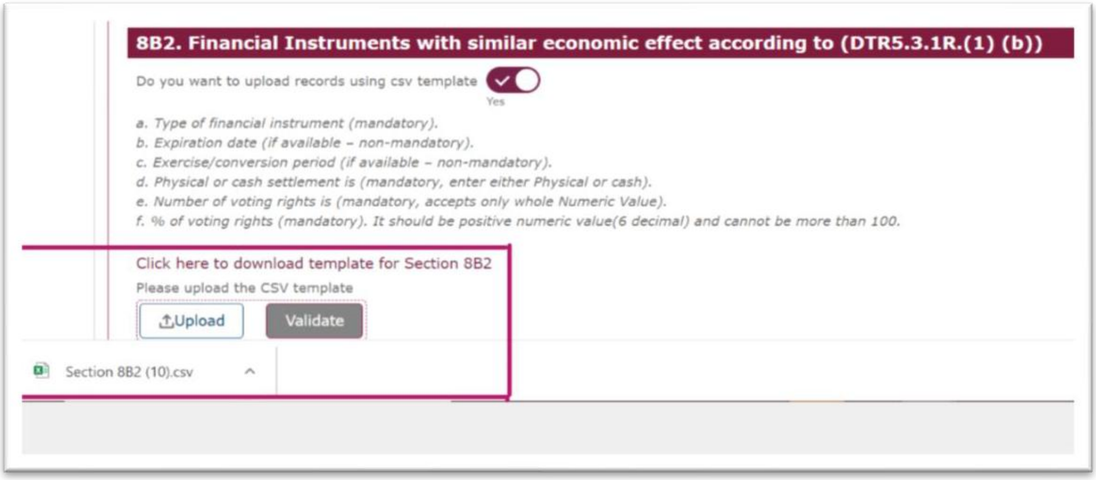
Alternatively, you can also select the option to upload a CSV file.

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:

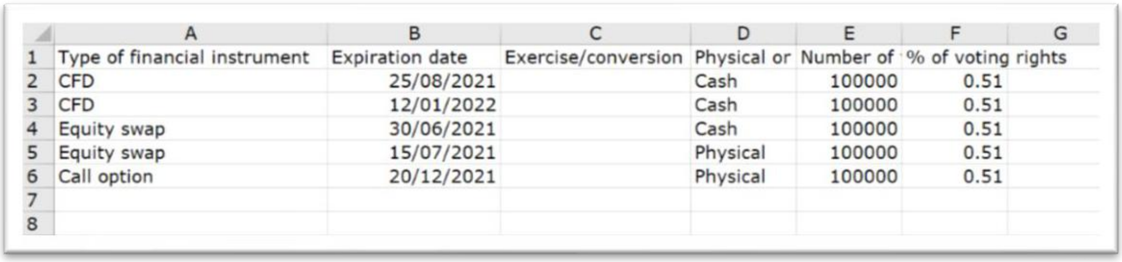
Click on the toggle to upload records using a csv file



Download a CSV file template

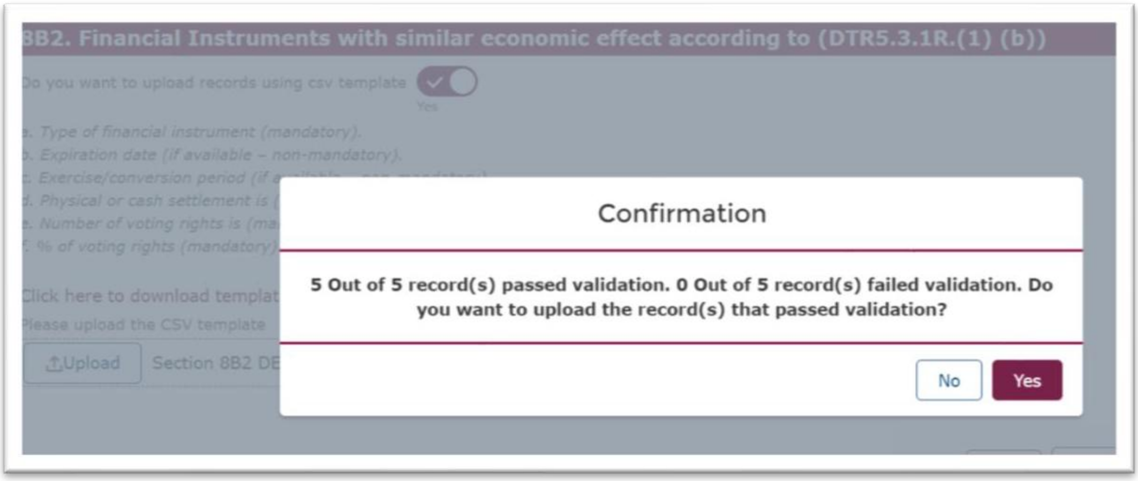


Correctly populate CSV file:

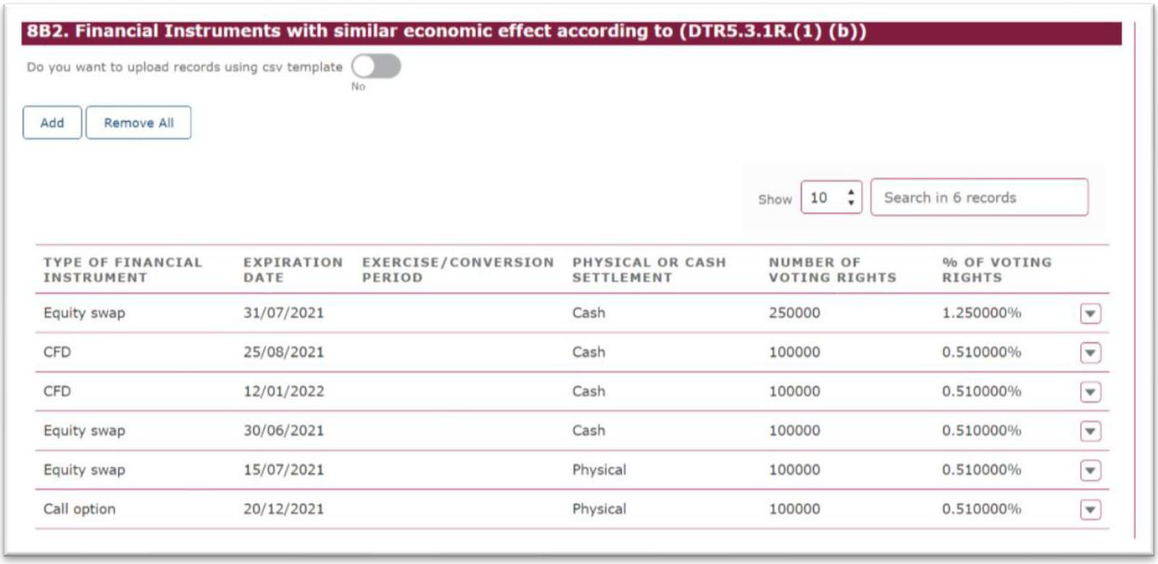


	A	B	C	D	E	F	G
1	Type of financial instrument	Expiration date	Exercise/conversion	Physical or	Number of	% of voting rights	
2	CFD	25/08/2021		Cash	100000	0.51	
3	CFD	12/01/2022		Cash	100000	0.51	
4	Equity swap	30/06/2021		Cash	100000	0.51	
5	Equity swap	15/07/2021		Physical	100000	0.51	
6	Call option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

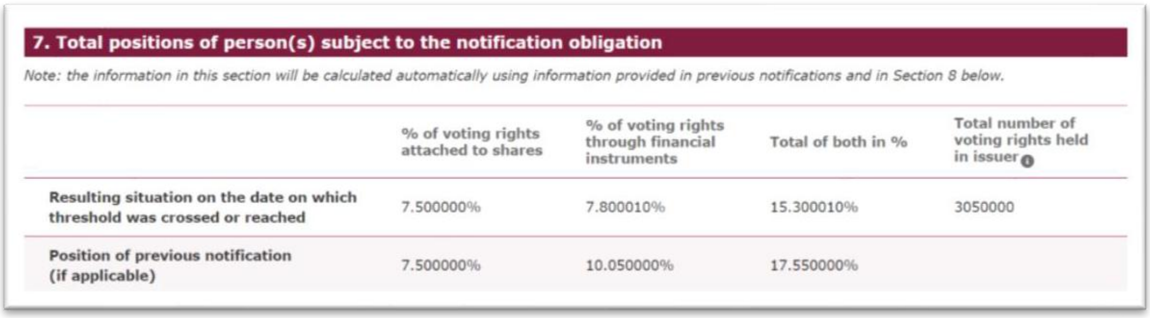


Records will be uploaded in Section 8B2 as follows:



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

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



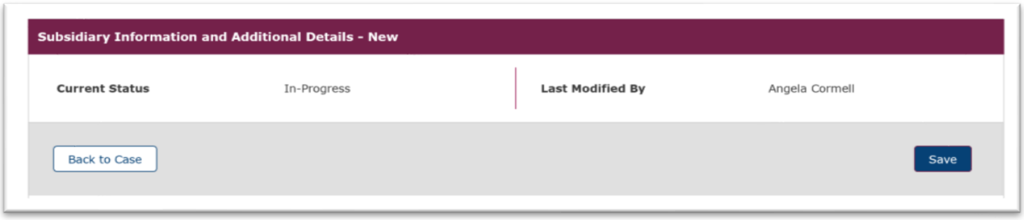
	% of voting rights attached to shares	% of voting rights through financial instruments	Total of both in %	Total number of voting rights held in issuer
Resulting situation on the date on which threshold was crossed or reached	7.500000%	7.800010%	15.300010%	3050000
Position of previous notification (if 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

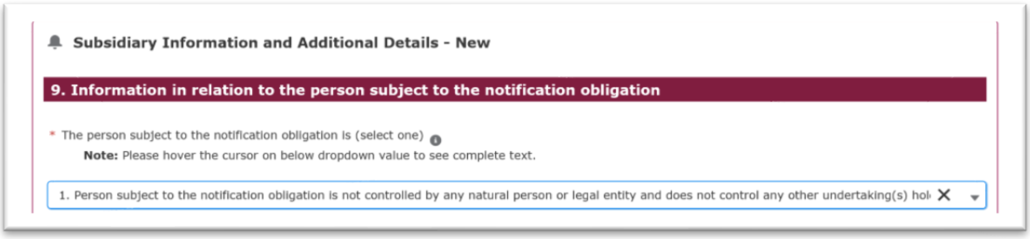
This section requires the completion of 5 questions:

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



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

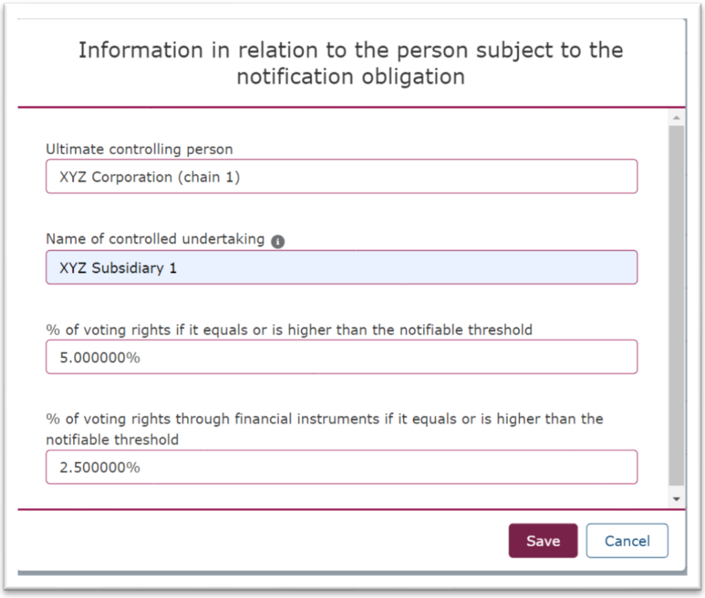
You will need to select the appropriate response from the drop-down menu.



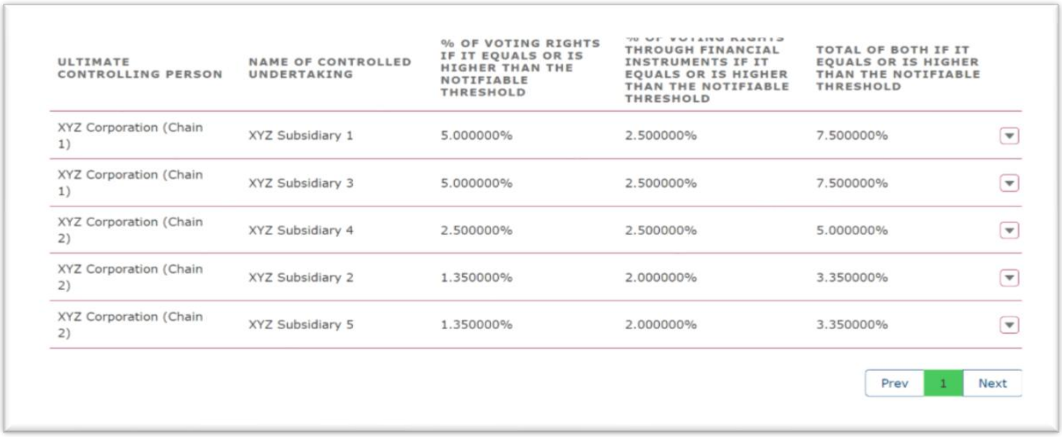
If Option 2 is selected (multiple chains of controlled undertakings), you will have to click on **'Add'** and provide information on the chains starting with the ultimate controlling person as required in the below box. We suggest you number each chain to help with identification.

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:



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	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%

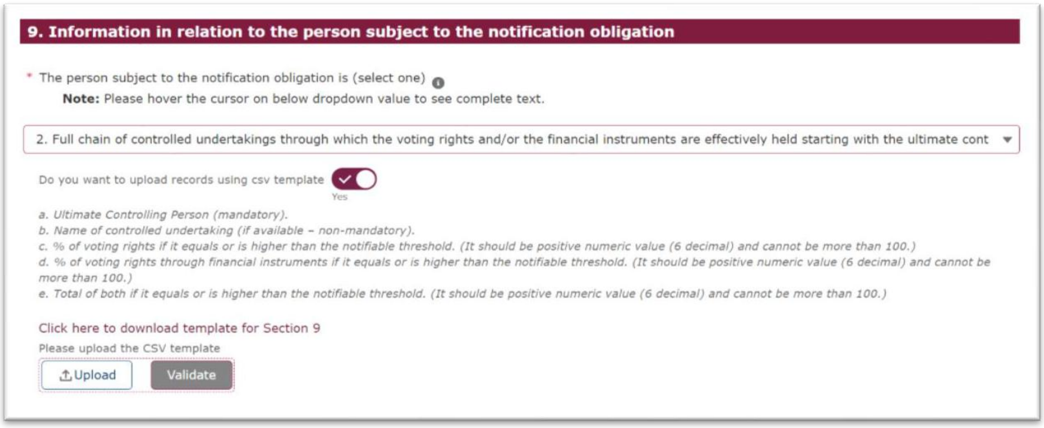
Prev 1 Next

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.

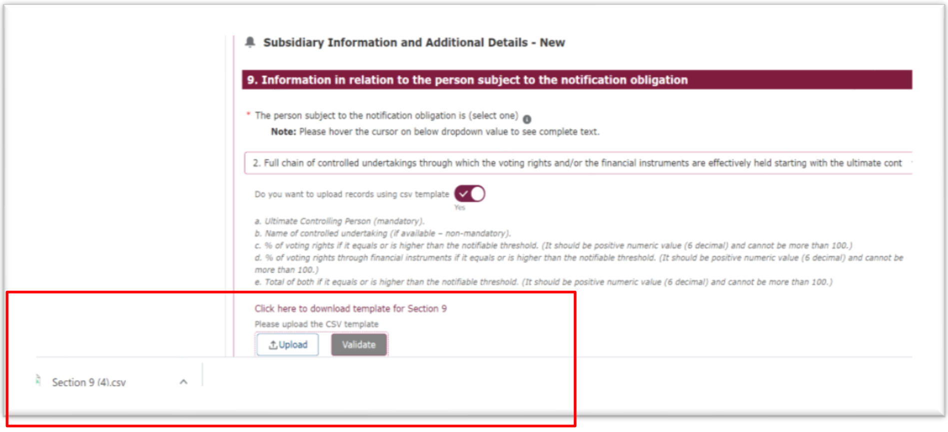
Alternatively, you can also select the option to upload a CSV file.

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:

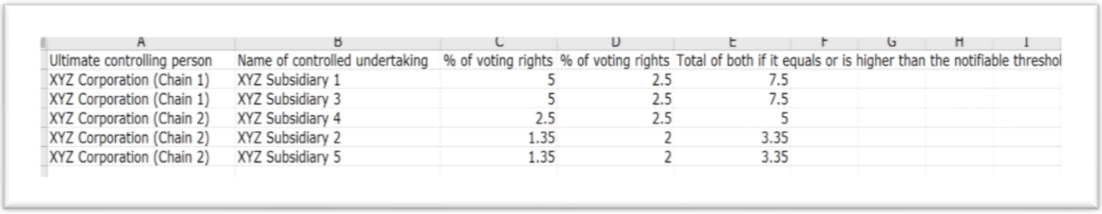
Click on the toggle to upload records using a csv file



Download a CSV file template

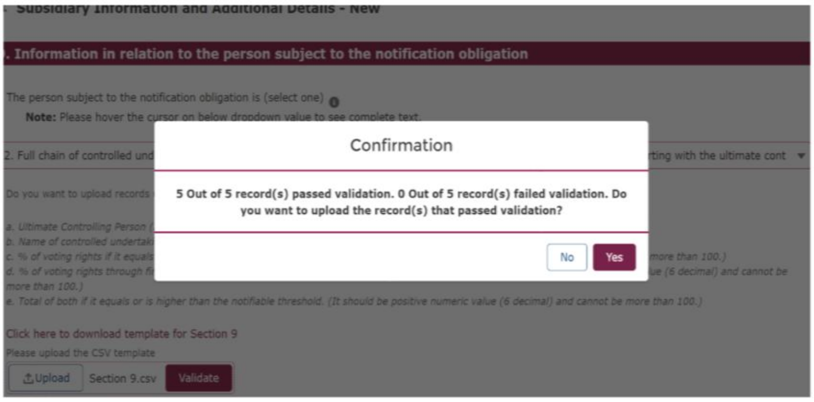


Correctly populate CSV file (see the on-screen completion notes a–e for validation instructions):



A	B	C	D	E
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 threshol
XYZ Corporation (Chain 1)	XYZ Subsidiary 1	5	2.5	7.5
XYZ Corporation (Chain 1)	XYZ Subsidiary 3	5	2.5	7.5
XYZ Corporation (Chain 2)	XYZ Subsidiary 4	2.5	2.5	5
XYZ Corporation (Chain 2)	XYZ Subsidiary 2	1.35	2	3.35
XYZ Corporation (Chain 2)	XYZ Subsidiary 5	1.35	2	3.35

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



Records will be uploaded in Section 9.2 as follows:

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

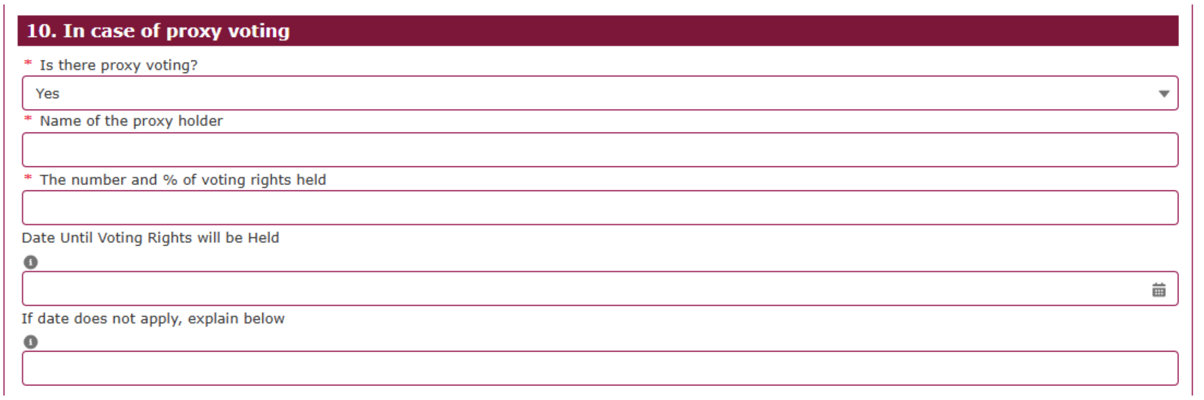
Prev 1 Next

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

QUESTION 10 - In case of proxy voting.

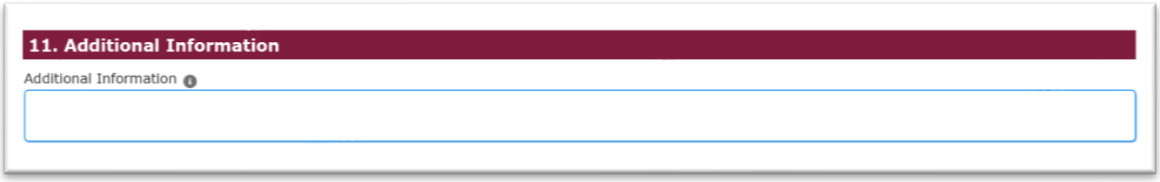
If there is proxy voting attached to the notification this needs to indicate here by selecting the appropriate response from the drop-down menu.

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



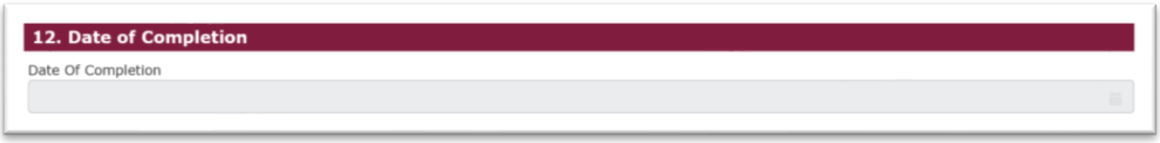
QUESTION 11 - Additional Information

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



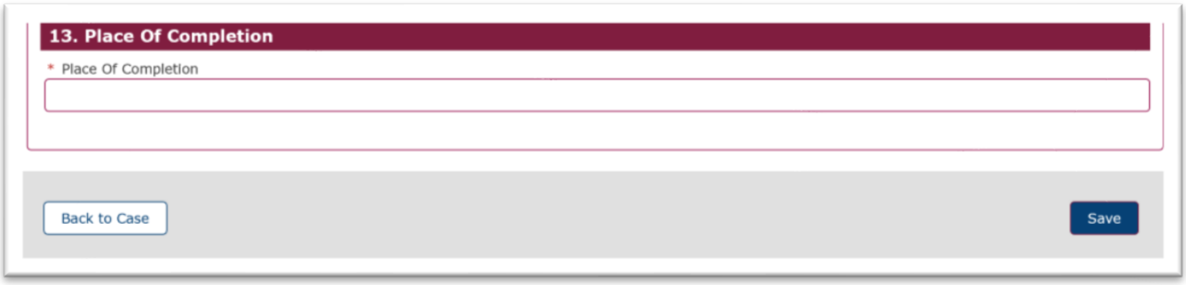
QUESTION 12 - Date of Completion

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



QUESTION 13 – Place of Completion

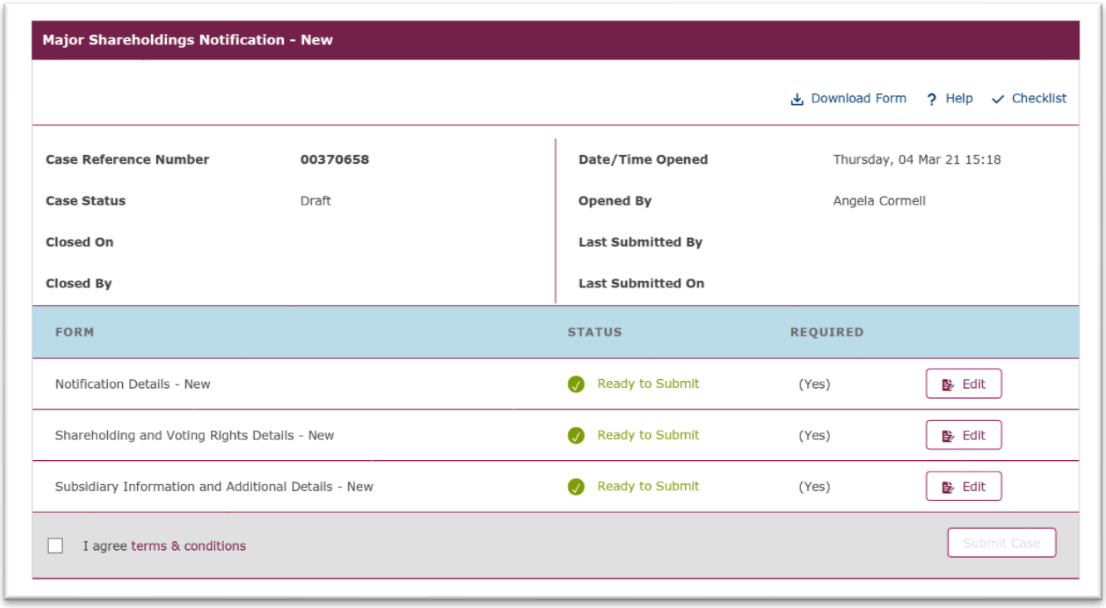
You will enter the place of completion



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.**



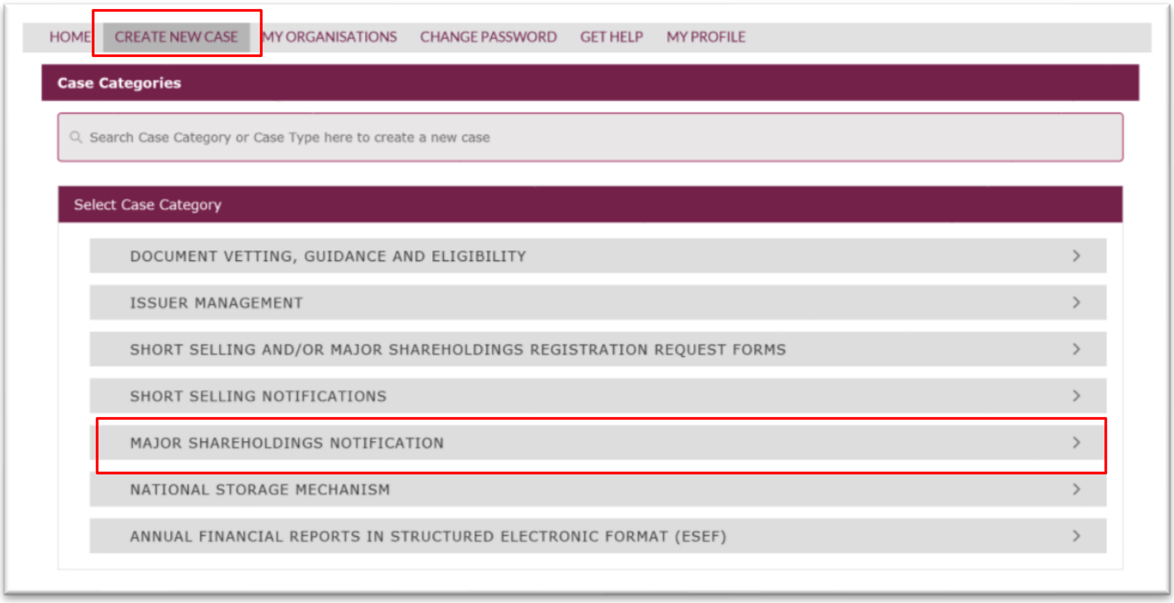
You will be asked to confirm your submission and then you should select Submit Case to complete the submission.

6.3.2. Correct an existing DTR 5 notification

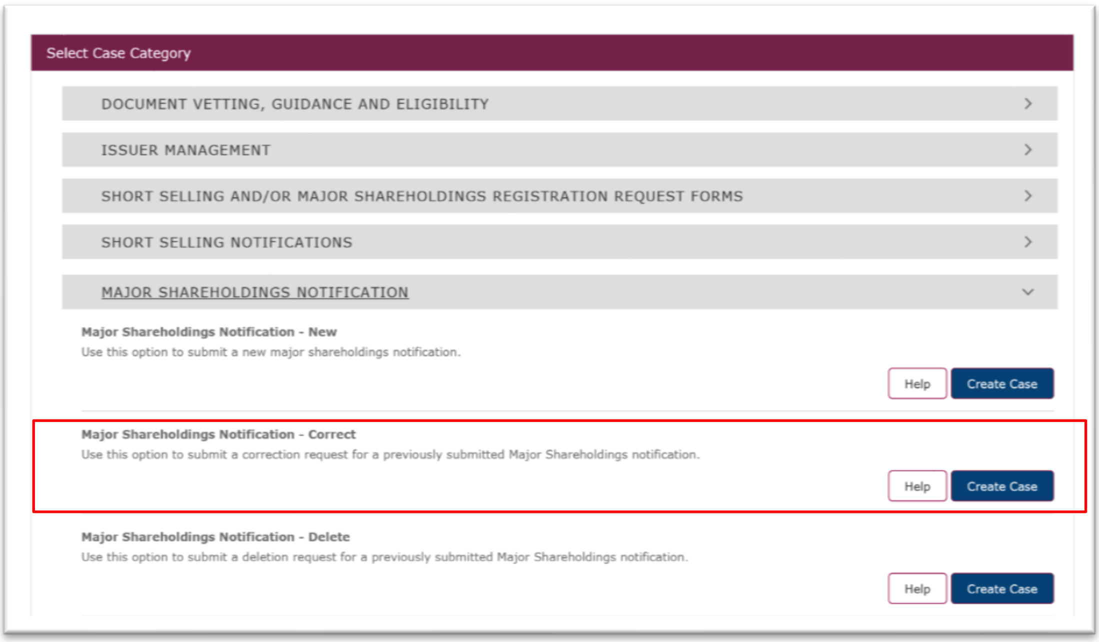
This is feature should be used when you wish to amend an existing notification which has been submitted with incorrect details e.g. incorrect number of shares reported.

Step 1: Create a Major Shareholdings Notification – Correct case

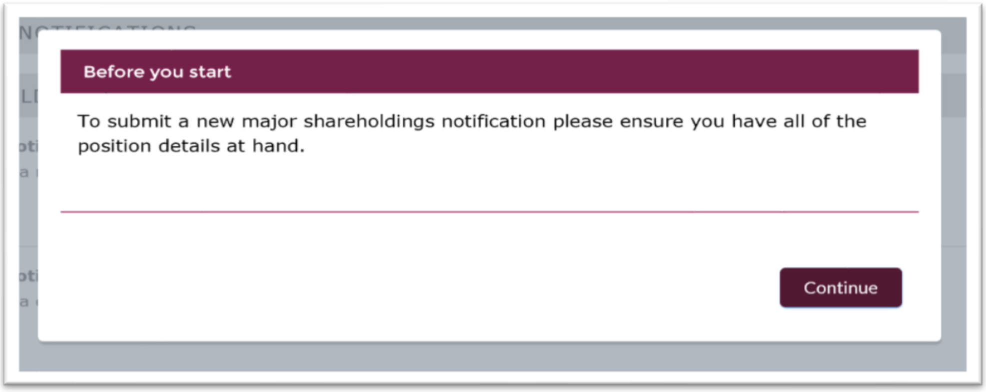
1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, select **Major Shareholdings Notification**.



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



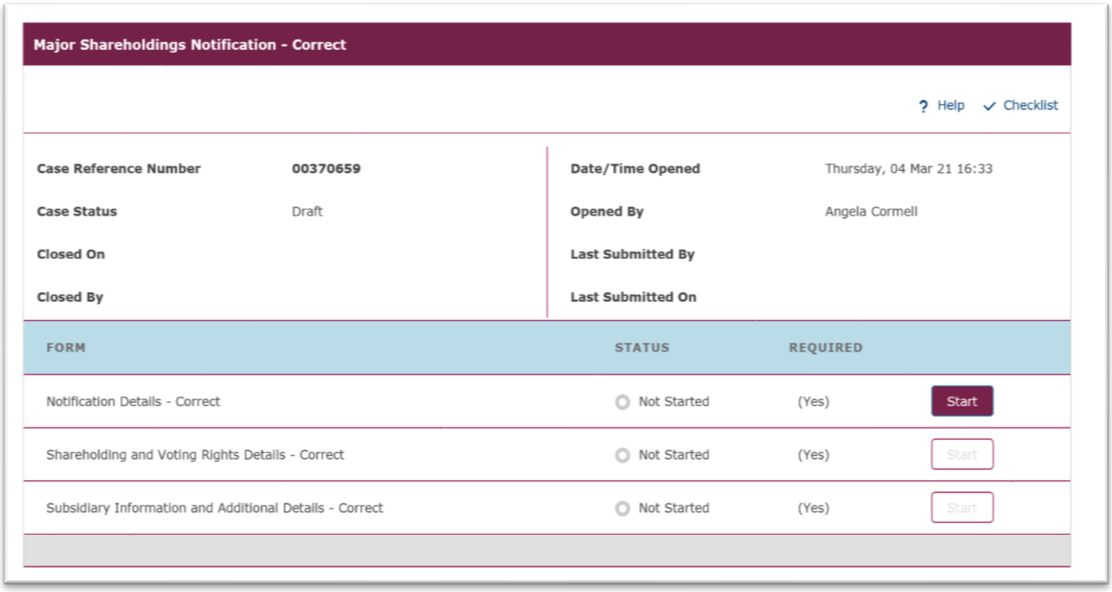
4. The following pop-up notification will be displayed, select **Continue**.



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:

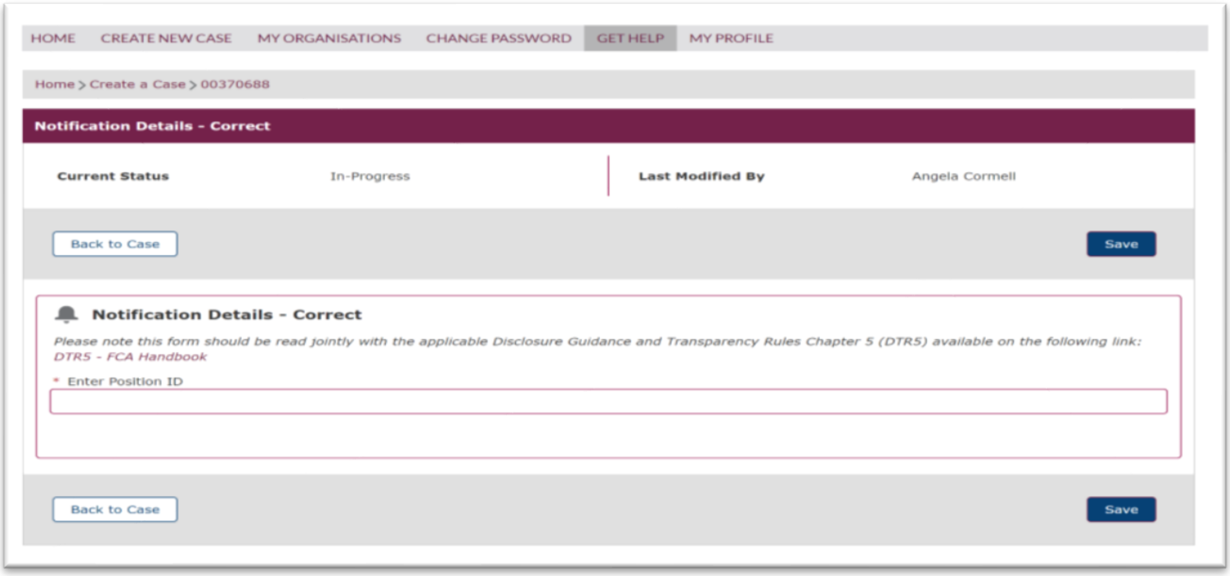
1. Notification Details – Correct
2. Shareholding and Voting Rights Details – Correct
3. Subsidiary Information and Additional Details – Correct

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.



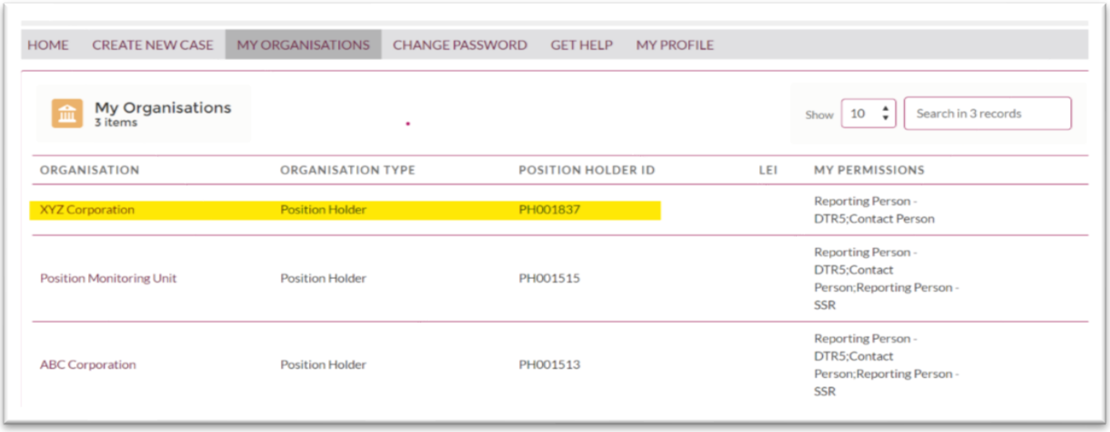
Step 2: Enter the relevant position ID

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**.

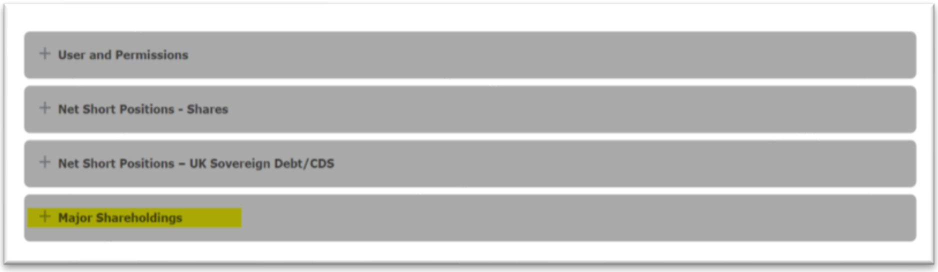


How to find the relevant Position ID:

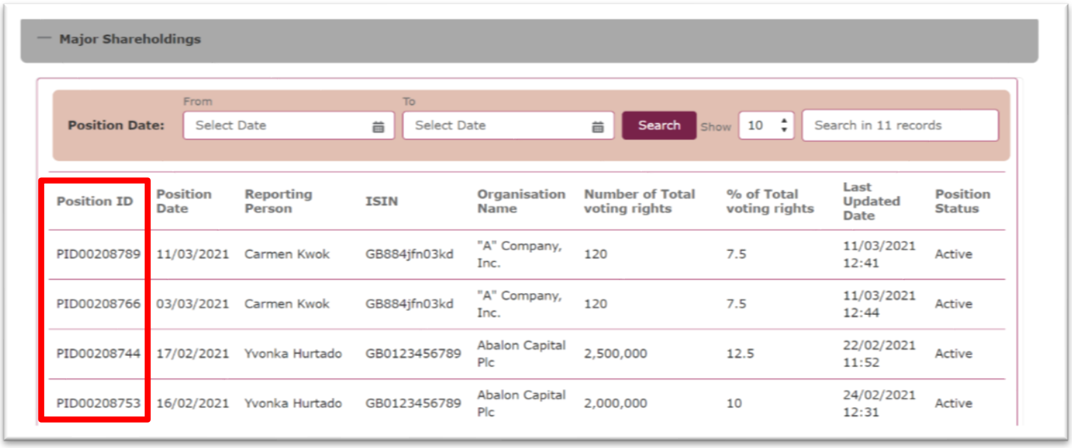
- Go the '**My Organisations**' Menu
- Select the relevant position holder name



- 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.

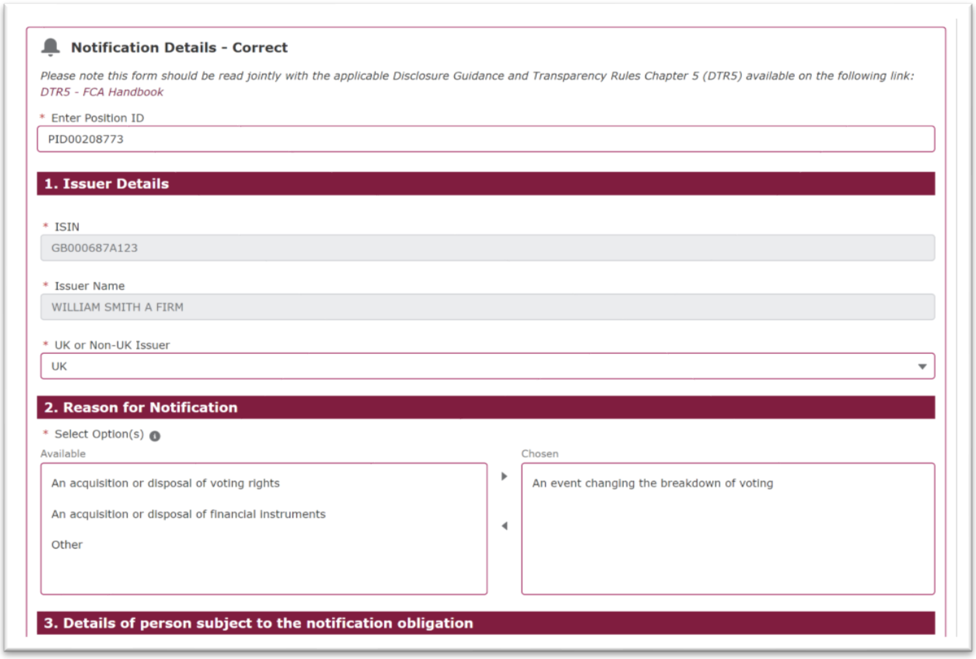


Position ID	Position Date	Reporting Person	ISIN	Organisation Name	Number of Total voting rights	% of Total voting rights	Last Updated Date	Position Status
PID00208789	11/03/2021	Carmen Kwok	GB884jfn03kd	"A" Company, Inc.	120	7.5	11/03/2021 12:41	Active
PID00208766	03/03/2021	Carmen Kwok	GB884jfn03kd	"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



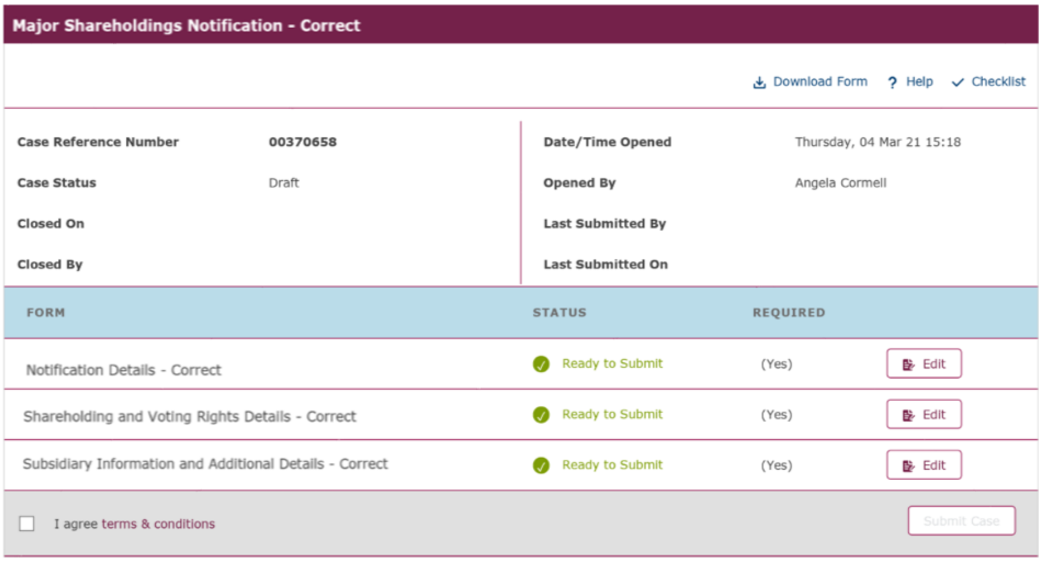
Please refer to section 6.3.1 of this guide for instructions on how to complete the 13 questions in the TR-1 form.

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**.



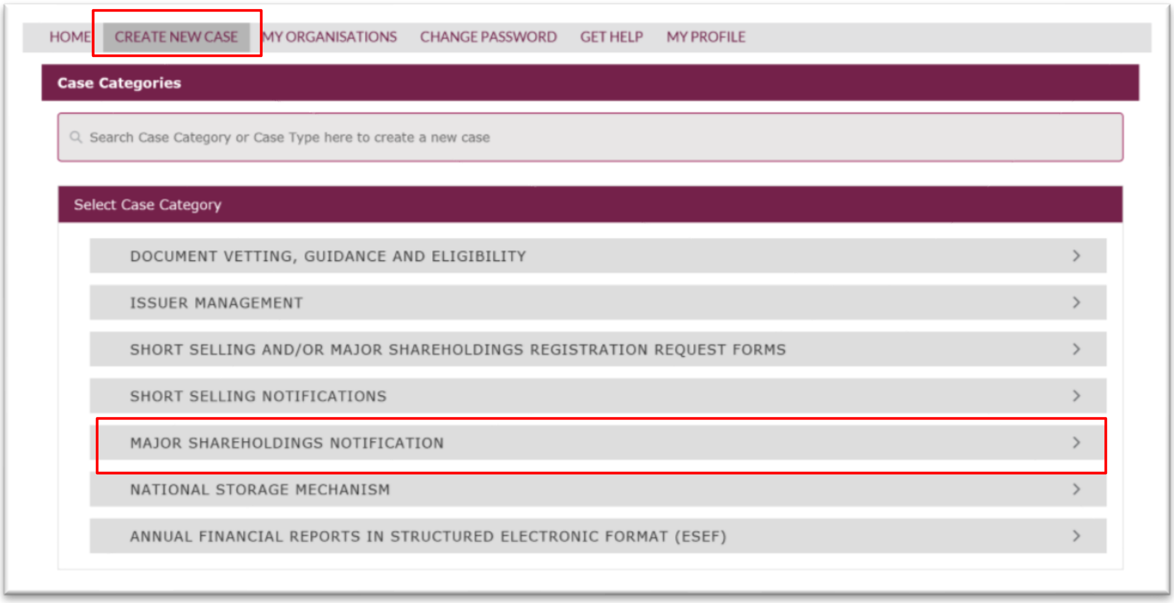
You will be prompted to confirm—select **Submit Case** again to complete the submission.

6.3.3. Delete an existing DTR 5 notification

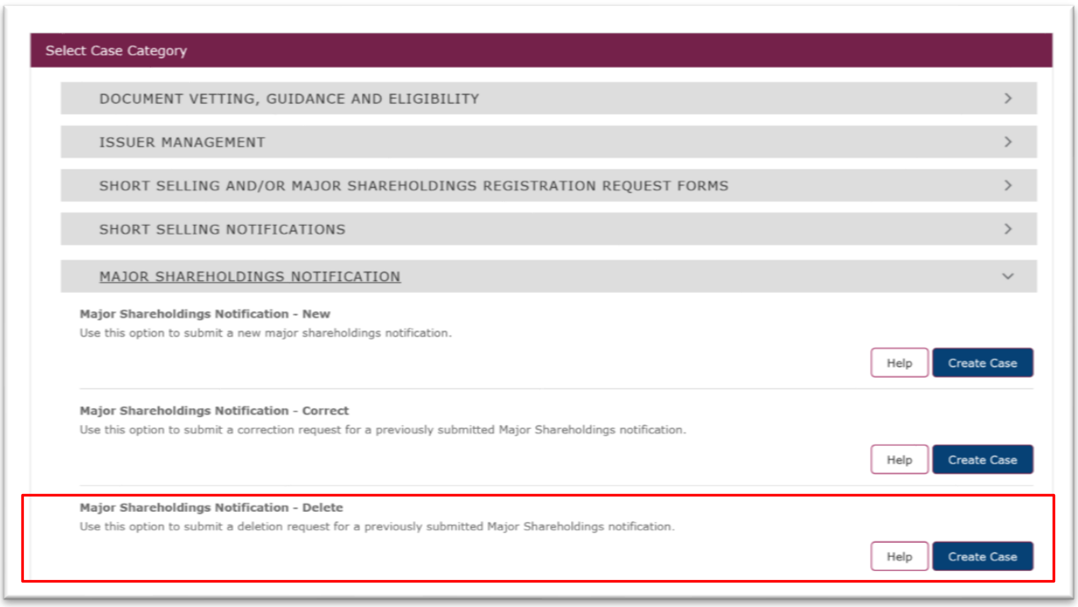
A TR-1 form that has already correctly been notified must never be deleted. However, if a TR-1 notification **has been made in error**, this function can be used to delete the notification.'

Step 1: Create a Major Shareholdings Notification – Delete case

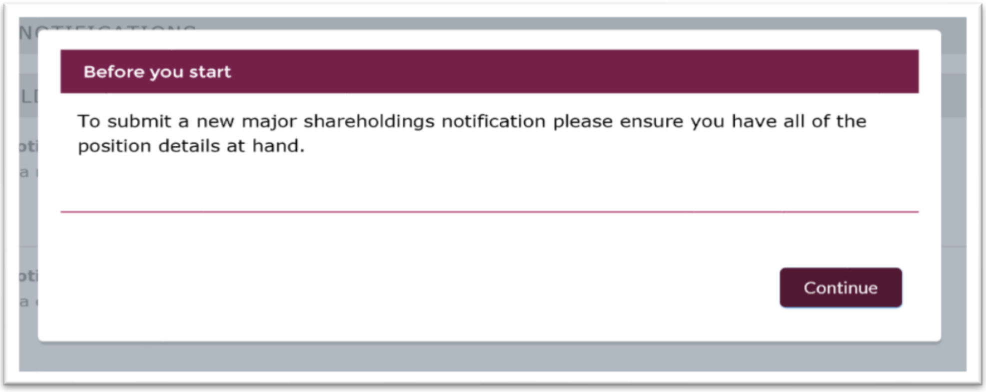
1. Select **Create a New Case** from the Menu.
2. From **Select Case Category**, select **Major Shareholdings Notification**.



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



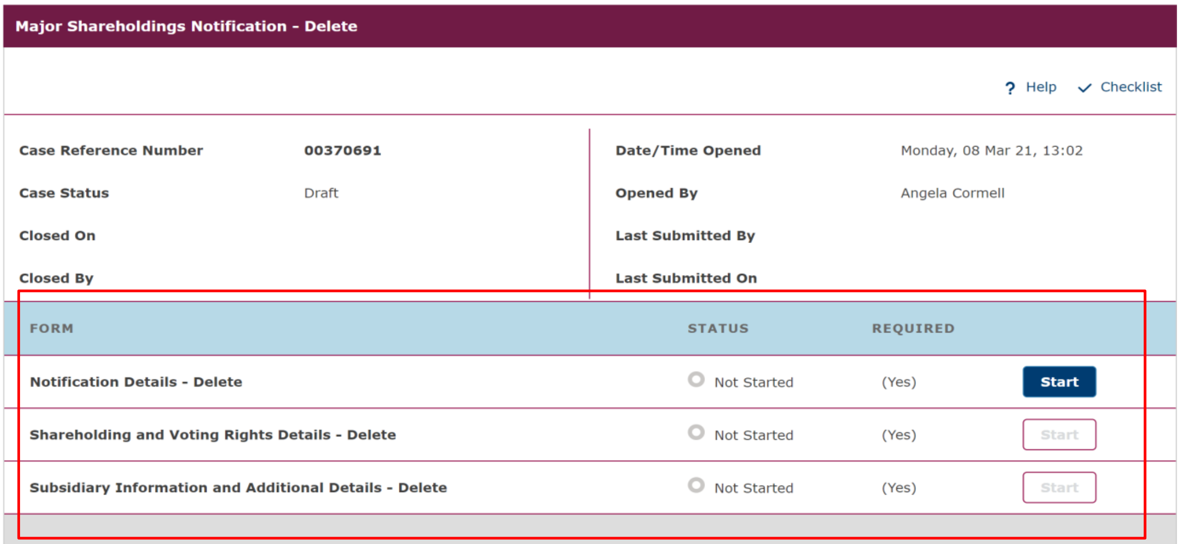
4. The following pop-up notification will be displayed, select **Continue**.



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:

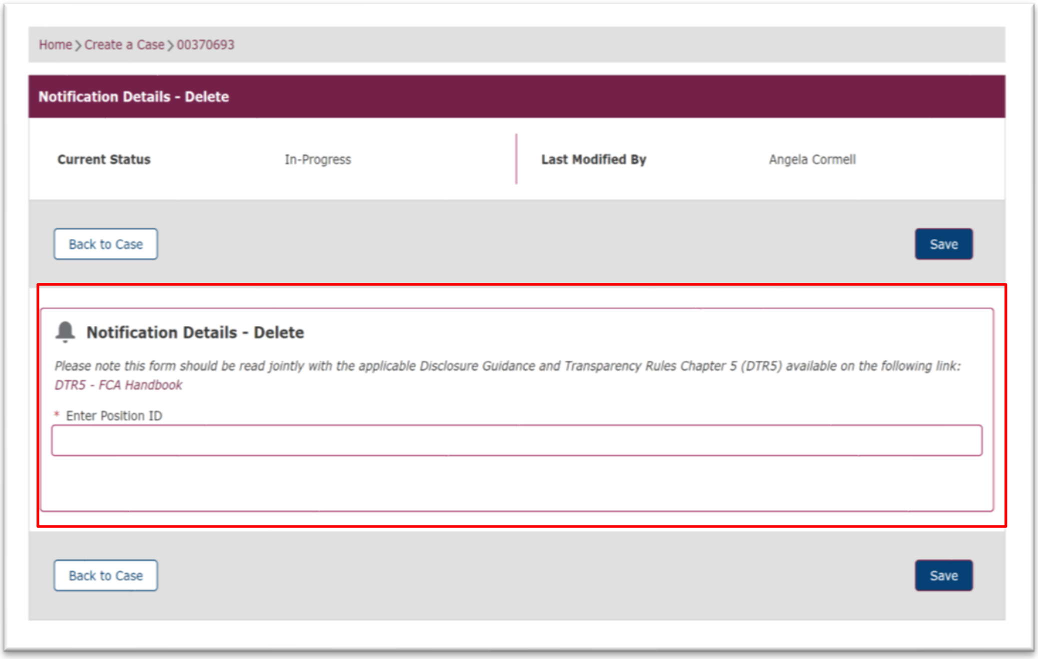
1. Notification Details – Delete
2. Shareholding and Voting Rights Details – Delete
3. Subsidiary Information and Additional Details – Delete



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.

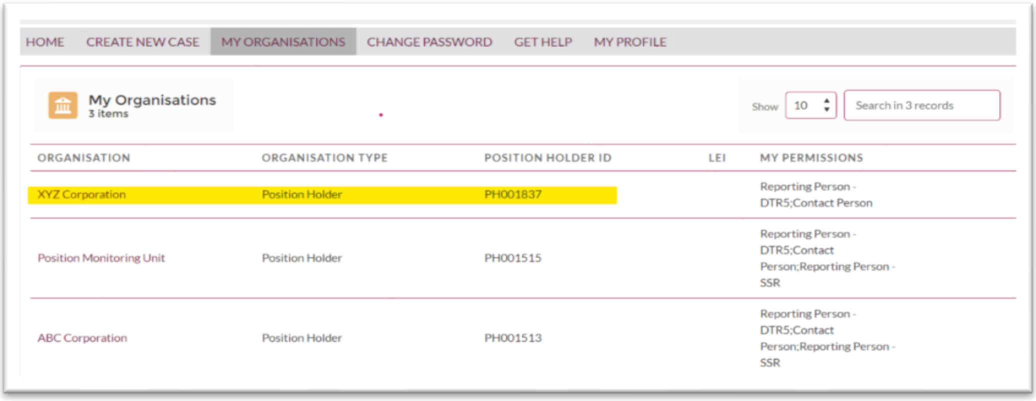
Step 2: Enter the relevant position ID

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

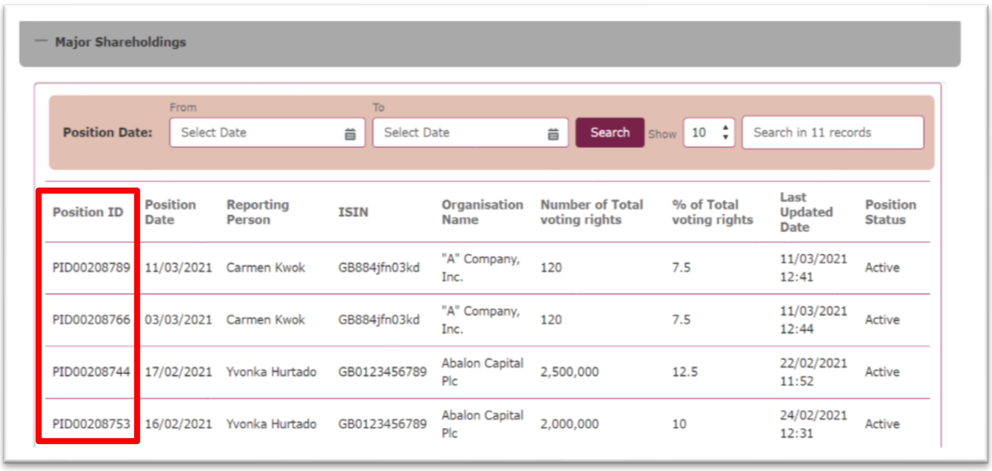


How to find the relevant Position ID:

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



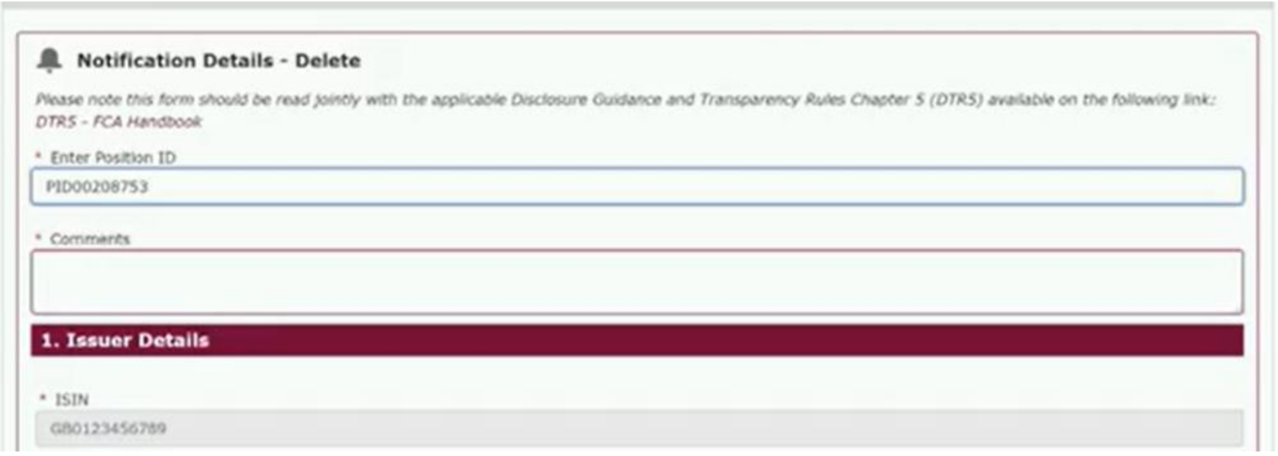
- Go to '**Major shareholdings**'.
- You will be directed to a list of all major shareholdings position submitted via ESS for the selected position holder. Look for the relevant position. The position ID is on the first column on the left.



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**.



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.

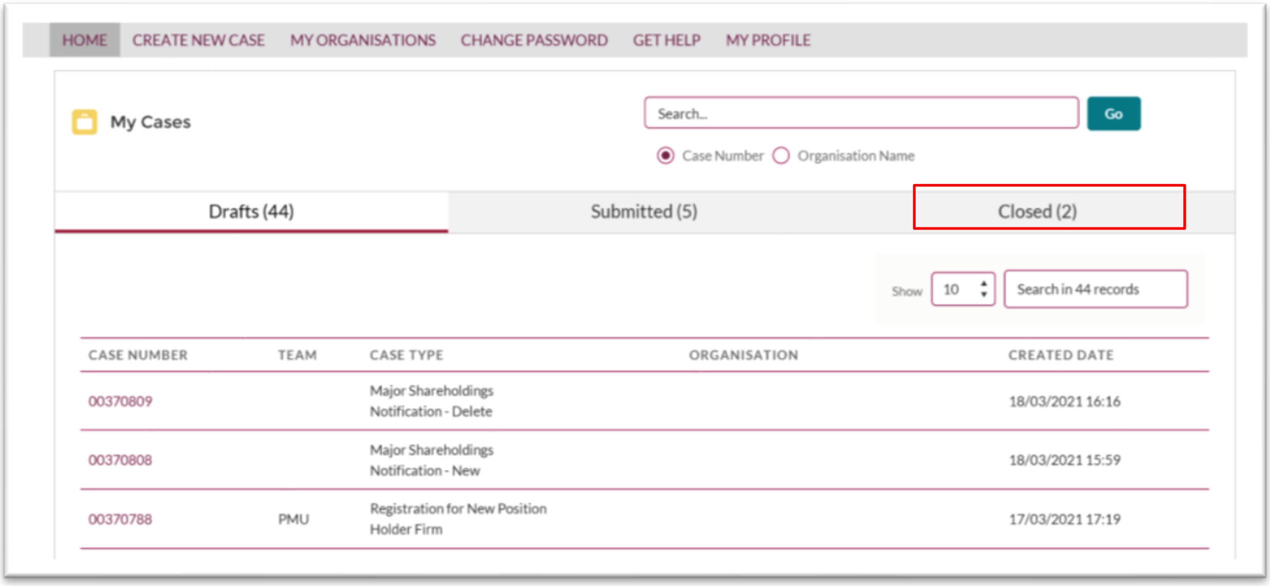
6.3.4. How to download the TR-1 Form

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**.

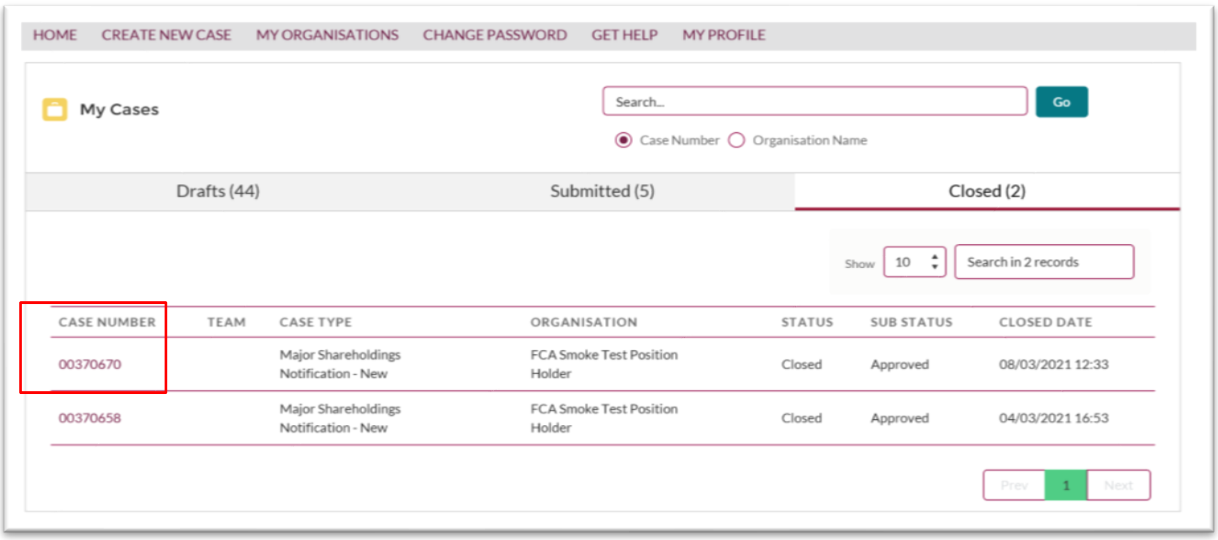
To download the submitted TR-1 Form:

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

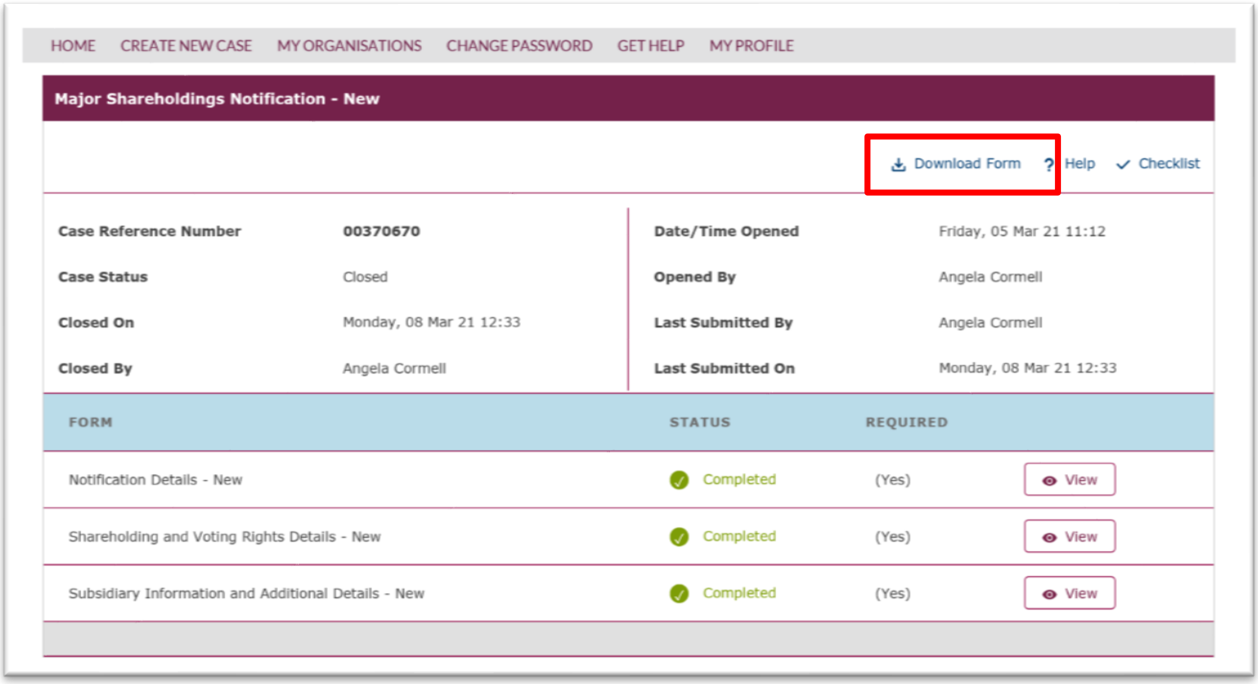


This will open the page which shows all the submissions that you have made.

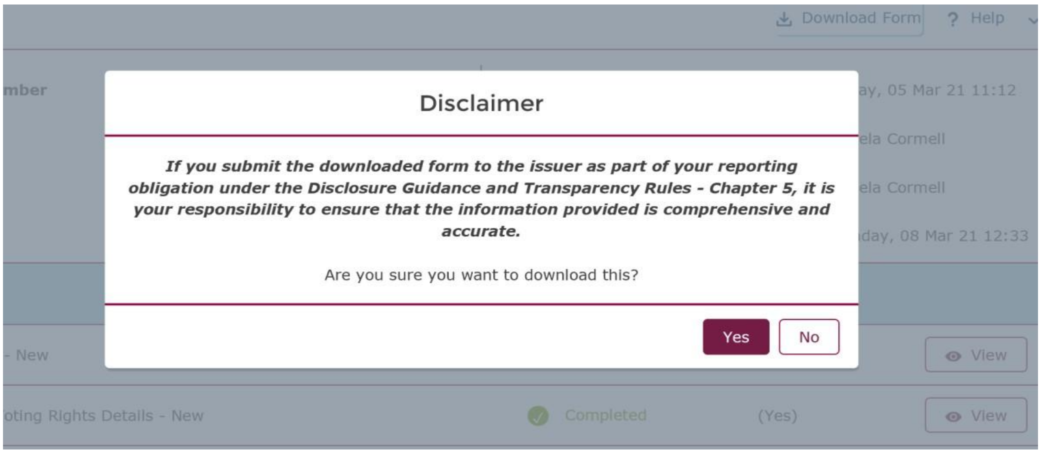
2. Select the case you want to open. This is shown below.



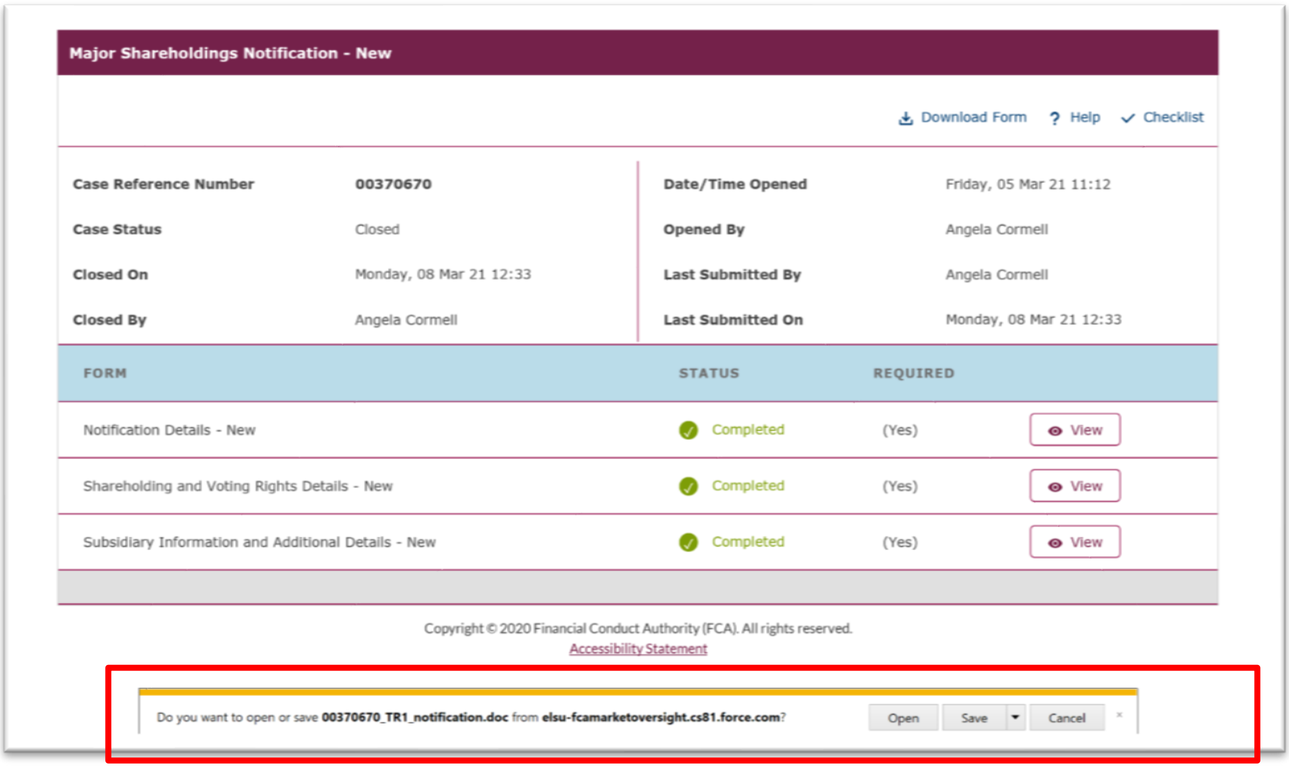
3. The **Major Shareholdings Notification – New** page will be displayed. Click on **Download Form** on the top right as highlighted below.



4. You will see the following disclaimer. Select **Yes** to proceed.



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.



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.