



EMIR: FCA NOTIFICATION FOR AN INTRAGROUP EXEMPTION FROM REPORTING

PART 1: NOTIFYING COUNTERPARTY DETAILS AND CRITERIA

Purpose of this form:

This form should be submitted by a counterparty notifying the Financial Conduct Authority (FCA) as relevant competent authority, in accordance with Article 9(1) of EU Regulation 648/2012 (the EMIR Regulation, as amended by Regulation (EU) 2019/834) in relation to an intra-group reporting obligation exemption for OTC derivative contracts within the same group where at least one of the counterparties is a non-financial counterparty or would be qualified as a non-financial counterparty if it were established in the Union, provided that:

- (a) both counterparties are included in the same consolidation on a full basis;
- (b) both counterparties are subject to appropriate centralised risk evaluation, measurement and control procedures; and
- (c) the parent undertaking is not a financial counterparty.

Please read these notes before completing the form.

1. The form must be submitted by a person of appropriate seniority within the notifying counterparty, e.g. an executive director, company secretary or head of compliance. That person should have verified that all of the information in the form is accurate.
2. The information you provide must be accurate and complete - if it is false or misleading, the person who submits the form may be in breach of legislative requirements and subject to enforcement action.
3. To comply with the relevant Data Protection legislation, any personal information in the form will be used by us to discharge our statutory functions under EMIR, and other relevant legislation. It may also be disclosed to third parties for those purposes.
4. This form should be completed for a single entity pair application or for a multiple entity pairs application where the details within Part 1 of this form are the same.

Section A: Notifying counterparty details

A1	Full name of the counterparty making the notification	
A2	Registered address	
A3	Postcode	
A4	FCA firm reference number (if applicable)	
A5	Legal entity identifier	
A6	Are you: (please select)	
A7	Are you the parent entity for the group: (please select)	
A8	If the answer to A7 is Yes, are you the parent entity in the group notifying on behalf of yourself and other group entities seeking to benefit from this exemption or notifying only for other group entities seeking to benefit from this exemption?	

Section B: Exemption criteria

B1	Existing intragroup exemption from clearing or margining Do all intragroup pairs referred to in this form benefit from an intragroup exemption from the clearing or margin obligations?	
B2	Counterparties applying for the exemption Are the OTC derivative contracts to which this notification for an intragroup exemption from reporting relates within the same group where at least one of the counterparties is a non-financial counterparty or would be qualified as a non-financial counterparty if it were established in the Union?	
B3	Are both counterparties in each of the intragroup pairs referred to in Part 2 of this notification included in the same consolidation on a full basis?	
B4	Centralised risk management Are both counterparties in each of the intragroup pairs referred to in Part 2 of this notification subject to appropriate centralised evaluation, measurement and control procedures within the meaning of Article 9(1) of EMIR (as amended by Regulation (EU) 2019/834)?	
B5	Please describe the centralised risk evaluation, measurement and control procedures that are in place for the counterparties in the intragroup pairs referred to in Part 2 of this notification.	[PROVIDE DESCRIPTION HERE]
B6	Parent Undertaking Please confirm that the parent undertaking is not a financial counterparty.	

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PART 2: INTRAGROUP COUNTERPARTY PAIRS

Please answer the relevant questions in section C as applicable. If this is a notification for an intragroup exemption from reporting for multiple counterparties within a group, please confirm which intragroup pairs of counterparties will benefit from the exemption in the columns.

	Intragroup Pair 1	Intragroup Pair 2	Intragroup Pair 3	Intragroup Pair 4	Intragroup Pair 5	Intragroup Pair 6	Intragroup Pair 7	Intragroup Pair 8	Intragroup Pair 9	Intragroup Pair 10	Intragroup Pair 11	Intragroup Pair 12	Intragroup Pair 13	Intragroup Pair 14	Intragroup Pair 15	Intragroup Pair 16	Intragroup Pair 17	Intragroup Pair 18	Intragroup Pair 19	Intragroup Pair 20
C1	Name of IGT counterparty in the Pair																			
C2	Name of other IGT counterparty in the Pair																			
C3	Legal entity identifier of IGT counterparty in the Pair																			
C4	Legal entity identifier of other IGT counterparty in the Pair																			
C5	Registered address of IGT counterparty in the Pair																			
C6	Registered address of IGT other counterparty in the Pair																			
C7	Country of establishment of IGT counterparty in the Pair																			
C8	Country of establishment of other IGT counterparty in the Pair																			
C9	Name of the other national competent authority to which a notification has been submitted in relation to this intragroup pair (question only applicable to UK/EU intragroup pairs)																			
C10	Is the IGT counterparty in the Pair a non-financial counterparty or a counterparty that would be qualified as a non-financial counterparty if it were established in the Union?																			
C11	Is the other IGT counterparty in the Pair a non-financial counterparty or a counterparty that would be qualified as a non-financial counterparty if it were established in the Union?																			

PART 3: DECLARATION

Section D - Declaration

This form must be submitted by a person of appropriate seniority within the notifying counterparty, e.g. an executive director, company secretary or head of compliance. This person must be the same person identified in section A of this form.

By submitting this notification form I confirm that:

D1	The information in this notification is accurate and complete to the best of my knowledge and belief and that I have taken all reasonable steps to ensure that this is the case.	Select
D2	I am aware that if I knowingly or recklessly provide information in this form that is false and misleading I may contravene a legislative requirement and may be the subject of enforcement action.	Select
D3	The scope of this notification is the same as the scope of the notification submitted to the other competent authority (if applicable).	Select
D4	I will notify the FCA, via email to reportingigt@fca.org.uk , immediately of any change that may affect the fulfilment of the conditions for an intragroup exemption from reporting in Article 9(1) as amended by Regulation (EU) 2019/834.	Select
D5	Please confirm you have read and understood this declaration.	Select

By submitting this form to us, you consent that any information you provide may be disclosed to ESMA and other relevant authorities with functions under EMIR, as amended by Regulation (EU) 2019/834, and that we/they may discharge statutory functions under EMIR and other relevant legislation specified in EMIR, as amended by Regulation (EU) 2019/834.

D7	Name of signatory
D8	Position of signatory
D9	Email
D10	Telephone number

Please email the completed application form to reportingigt@fca.org.uk. The FCA has three months to consider each notification. Any FCA objection will be communicated via email to the person of appropriate seniority and the submitter of the form. For any queries relating to the completion of this notification form please email reportingigt@fca.org.uk.

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