Electronic Submission System
User Guide

V3.0 July 2024

What’s new?

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.

Contents

1. Accessing the system

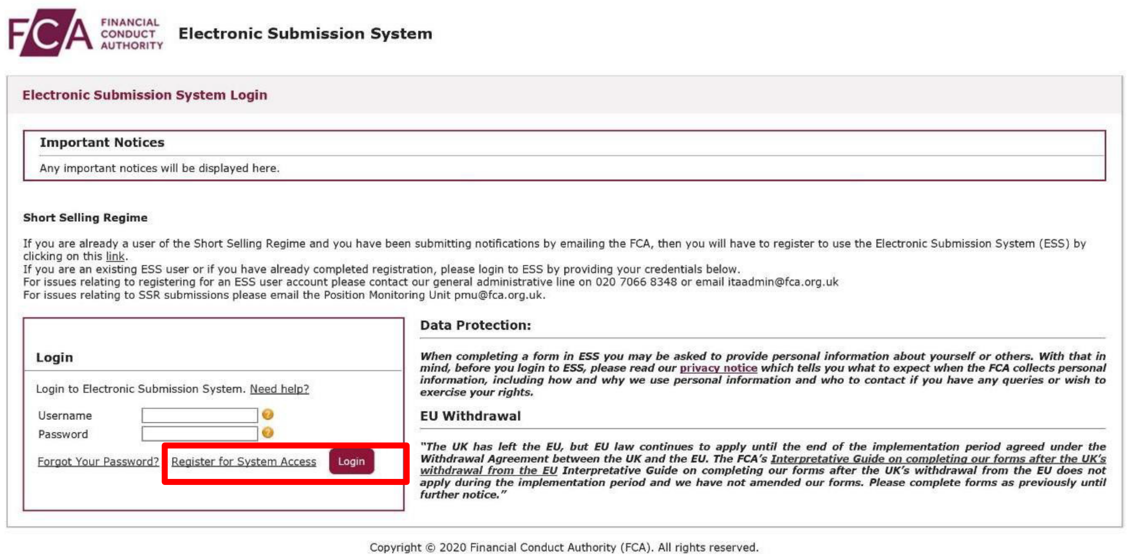
Registering for system access

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.

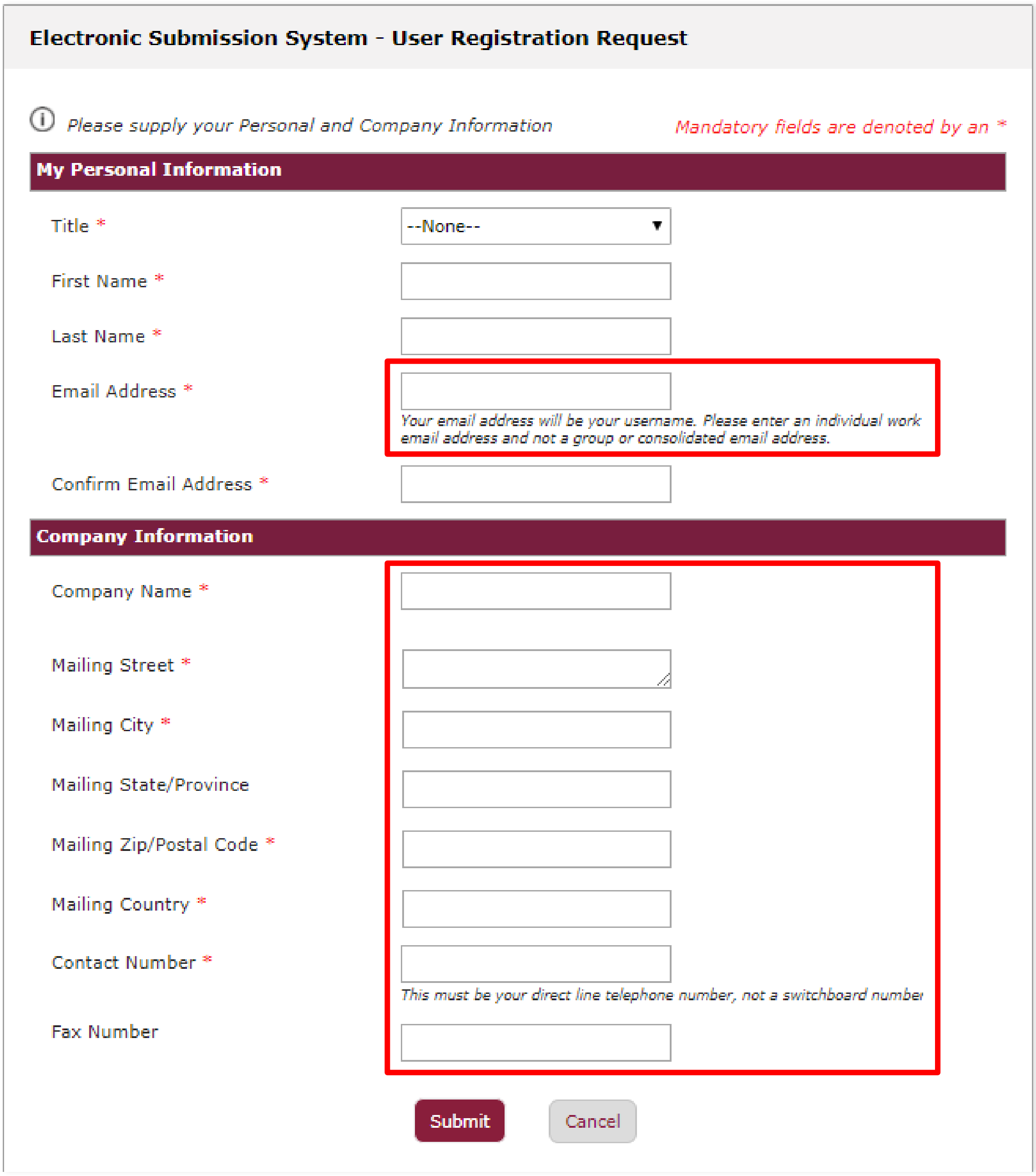
All individuals from your organisation who need to use the system must register individually for access. **Sharing your username and password with other users is strictly prohibited.**

To registration 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 numbe

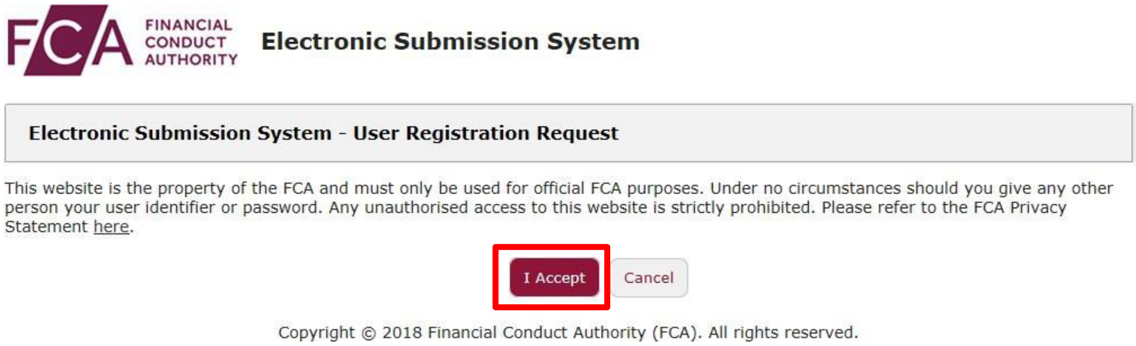
Fax Number

Submit Cancel

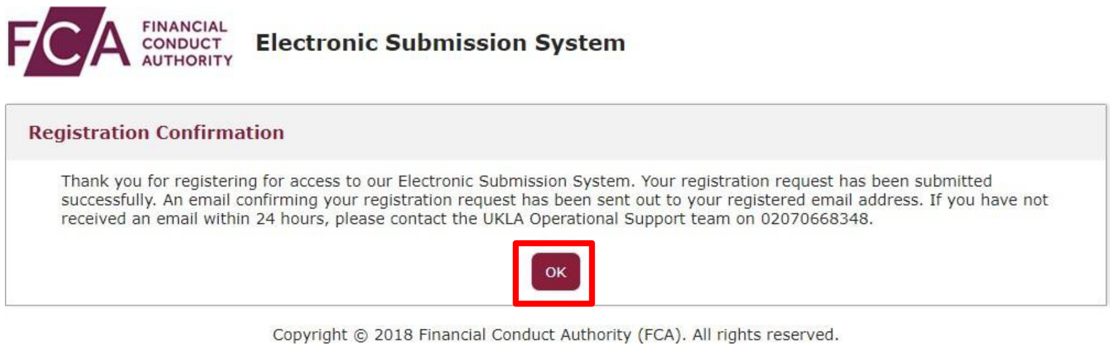
When providing your registration details, please note:

- Your email address must to be your **work email address**. We do not accept registrations from public domains such as Gmail or Yahoo.
- Your email address will be used as your ESS username. Once submitted, your email address cannot be changed.
- Your contact telephone number must be your direct line, not a switchboard number.
- Your company information (company address, contact number and fax) will be used on all cases where you are the named as the Primary Contact.

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.



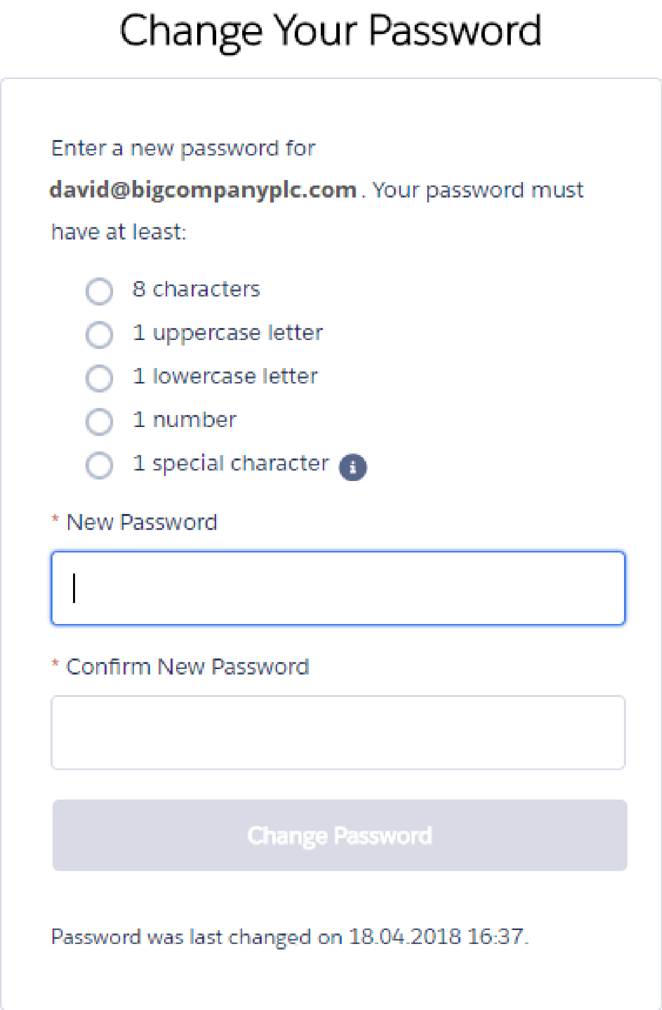
You will be sent an email once the decision is taken.

If you 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 we have approved your registration, 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.



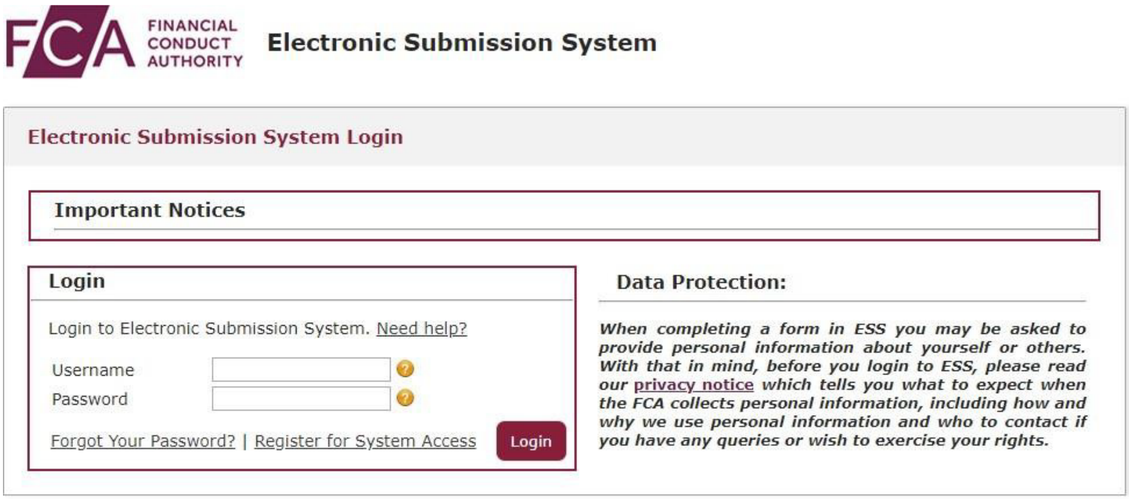
Your password must be at least 8 characters long, with a mix of uppercase, lowercase and at least one special character: !#$%-_=+<>

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.

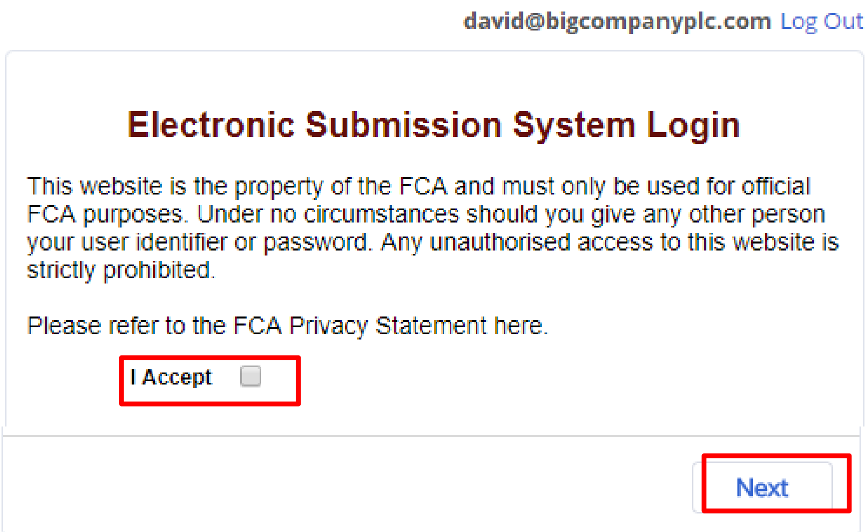
Logging in Enter the username in lowercase.

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. Note: enter the username in lowercase



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.

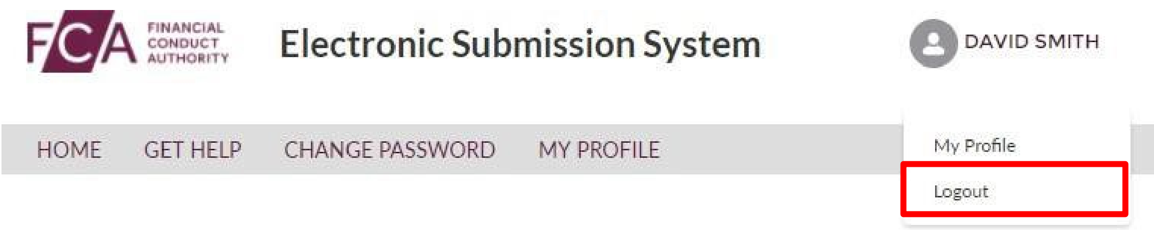
Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.



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 user name 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.

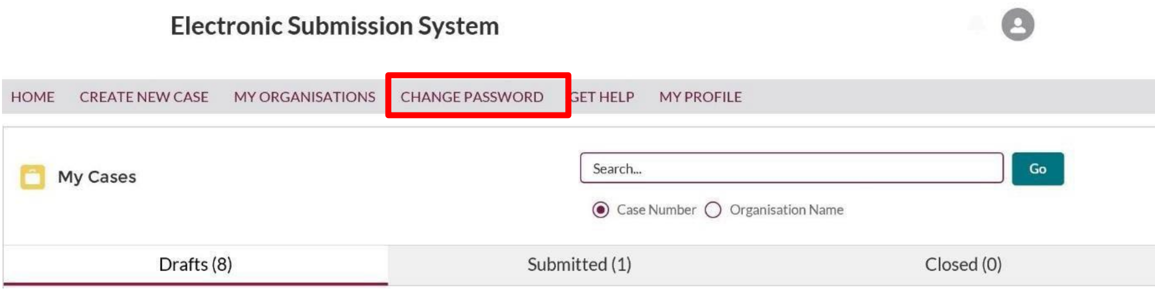
When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- 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.

Changing your password

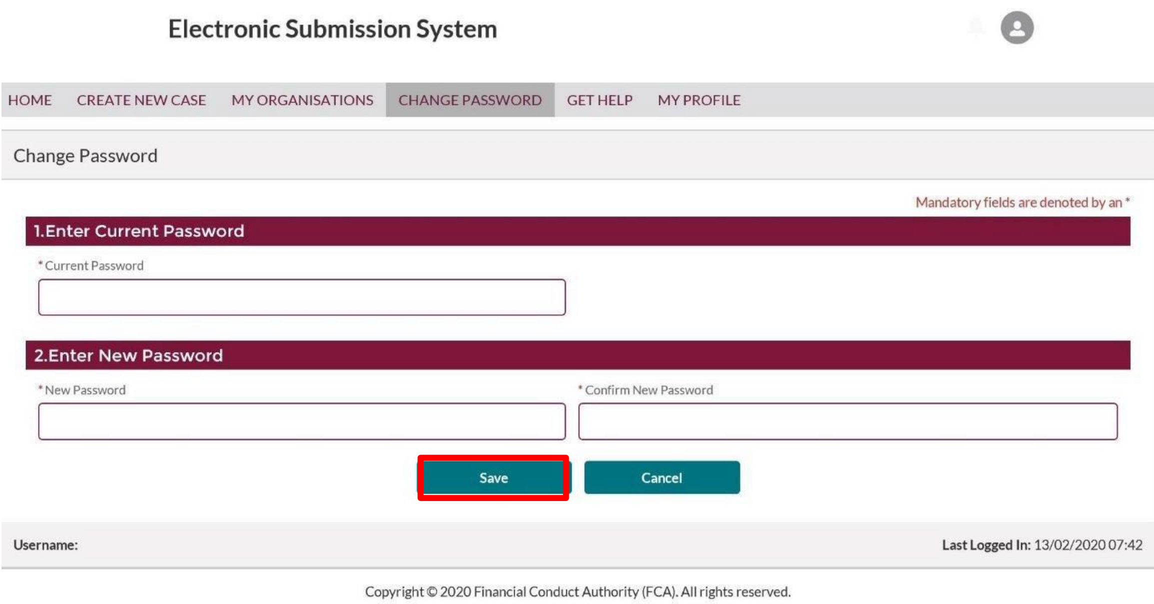
Once you have registered and successfully logged in, you can change your password anytime by choosing **Change Password** on the home page.



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

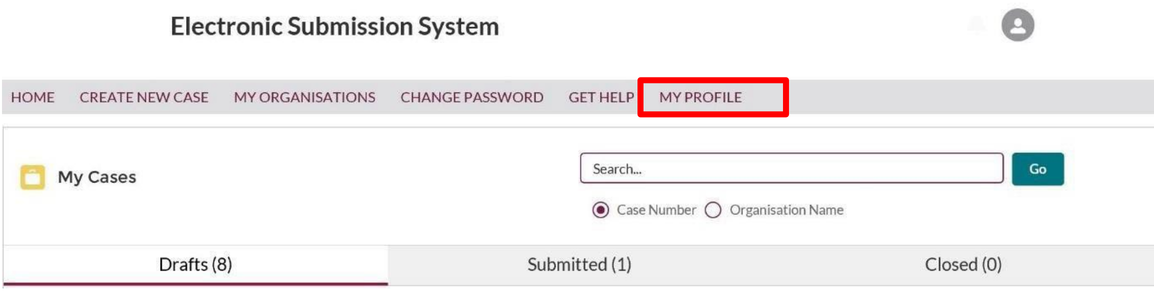
- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#$%-_=+<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

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

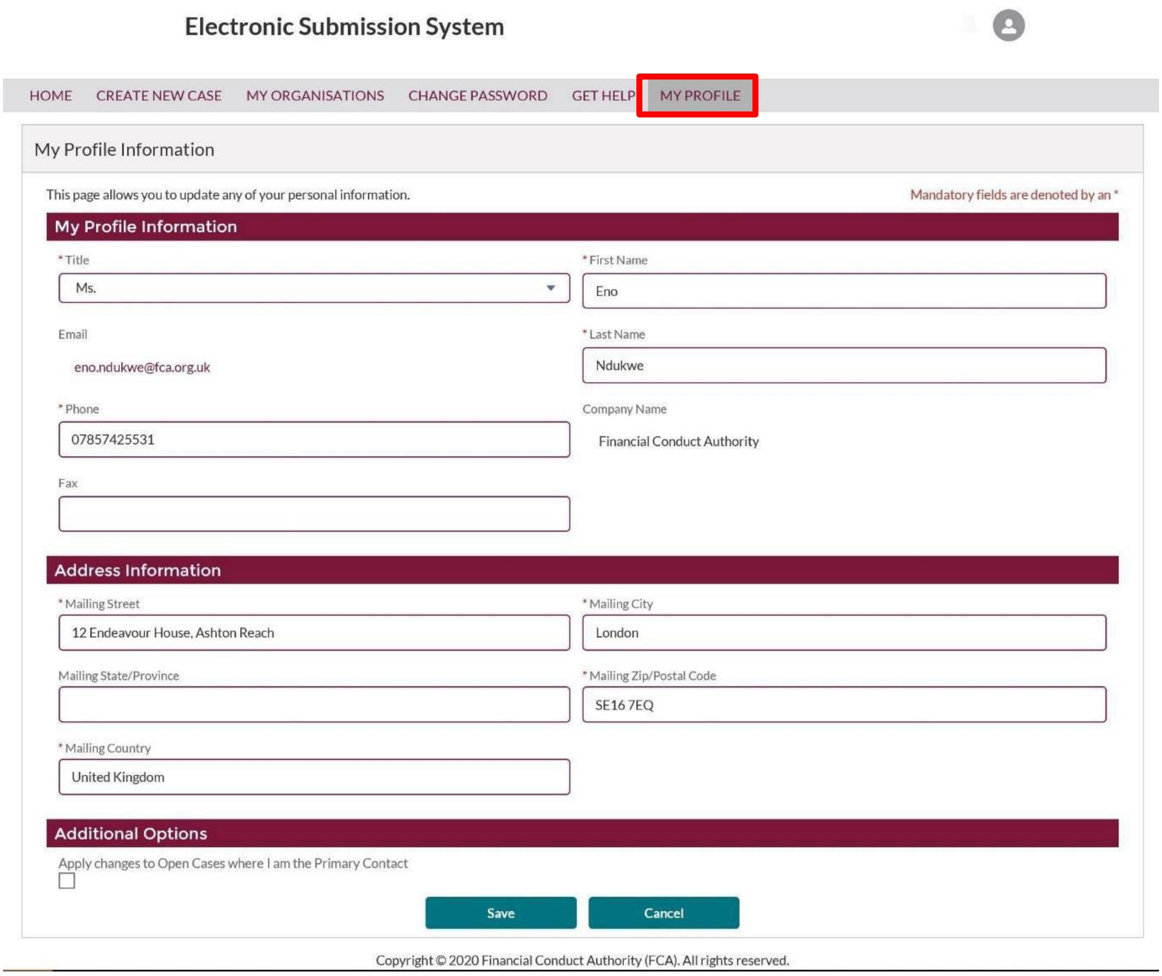


Updating your profile

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 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.

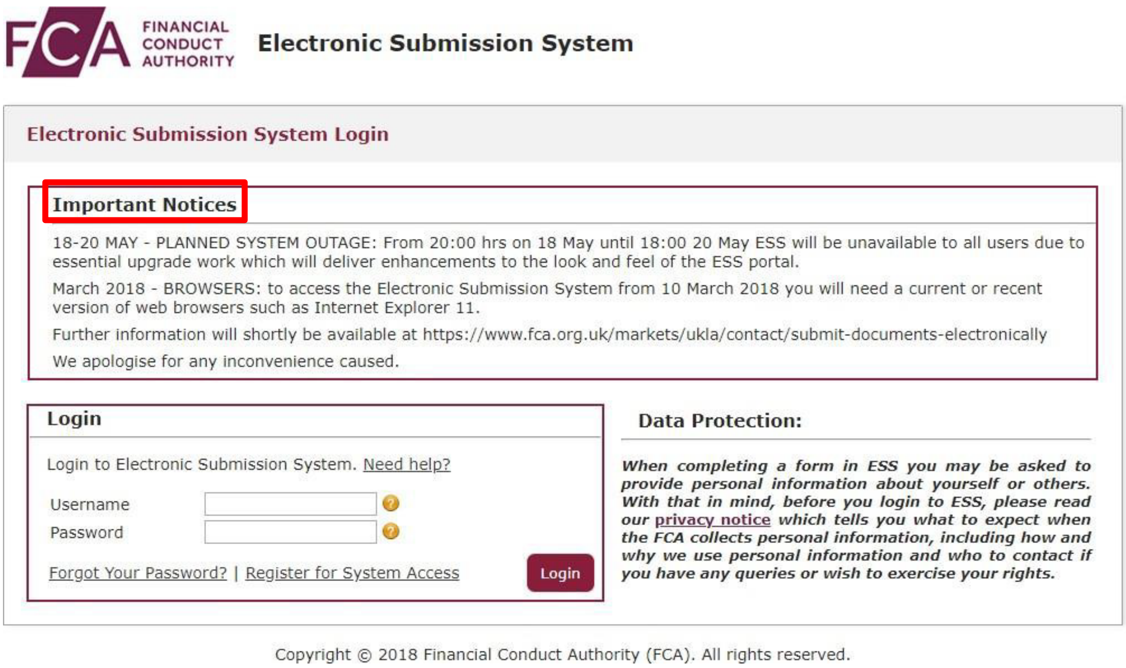
Once you made all the changes required, you can choose to update the contact details on all the cases where you are the named Primary Contact. This can be done by selecting the option to **Apply changes to Open Cases where I am the Primary Contact** in the **Additional Options** section.

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

3. Understanding the user interface

Important notices

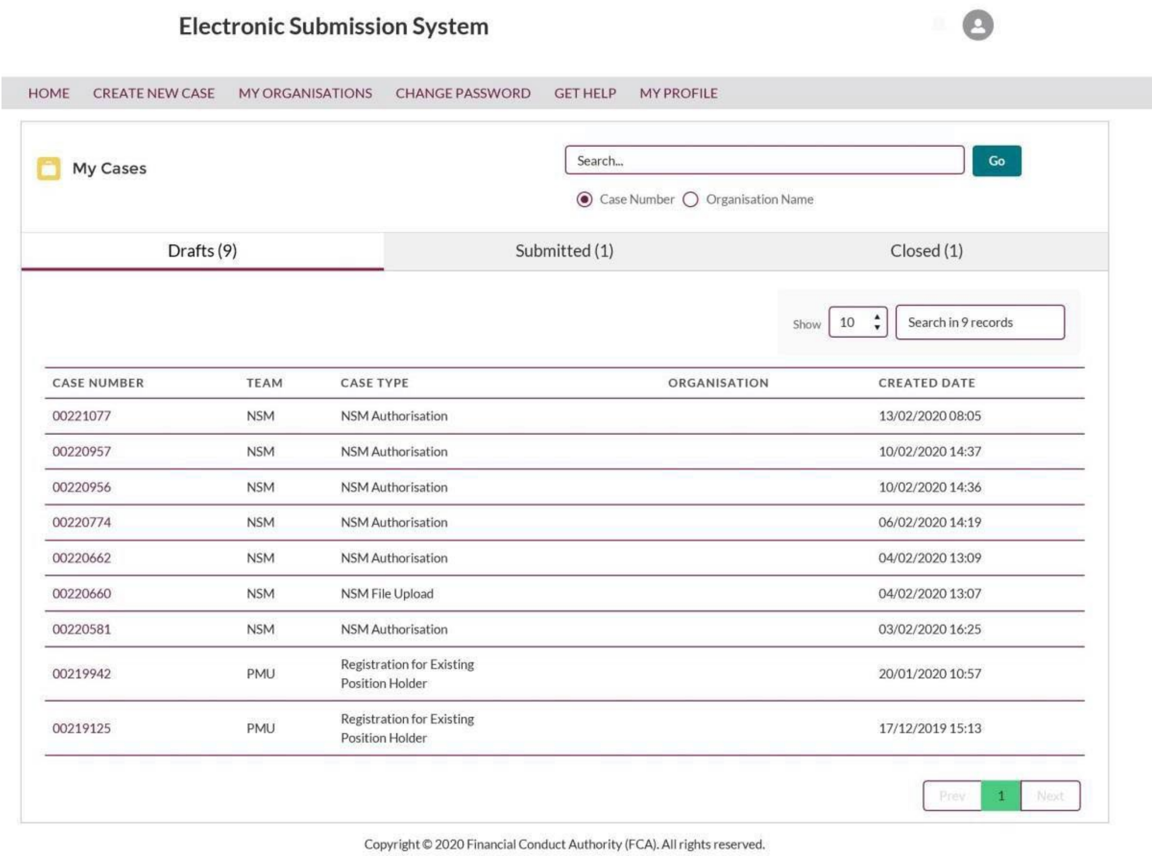
On the login page, you will see a section for **Important Notices**. We update this section regularly to keep you informed about news such as system unavailability or recent changes.



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.

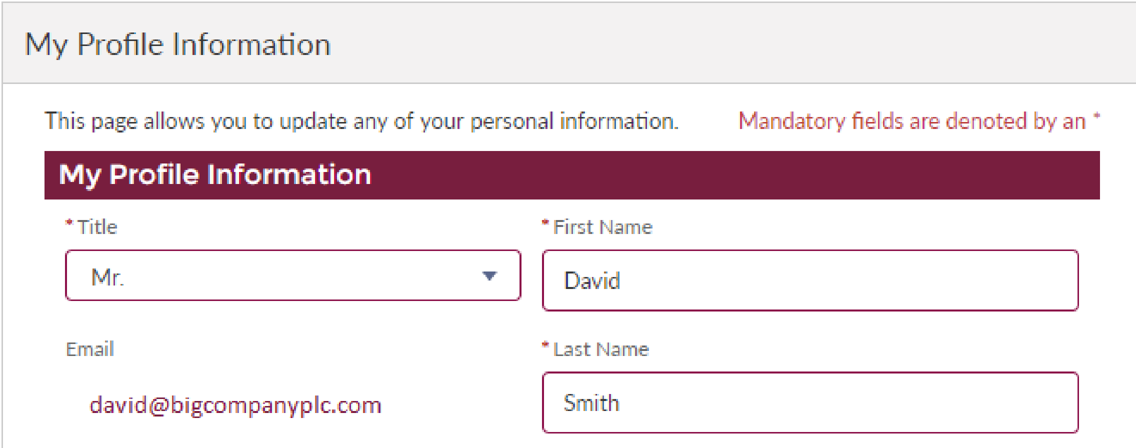


The **Get Help** option in the top navigation bar takes you to the relevant FCA website where you will find more help on information on documents you need to submit and how to use the system.

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

Mandatory fields

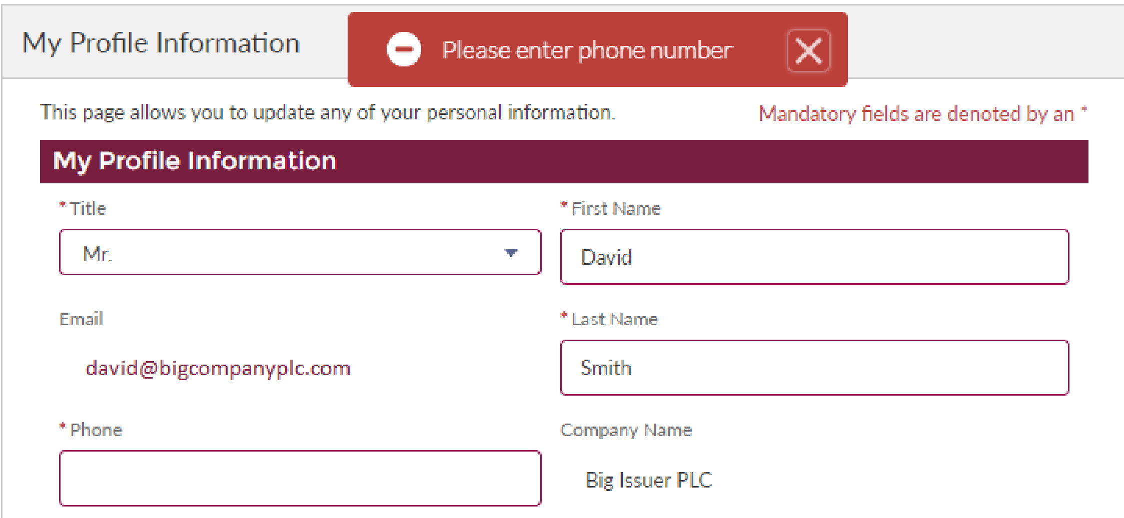
Mandatory fields are marked with a red asterisk (*). You must enter a value in these fields before you proceed to Save or Submit.



Error messages

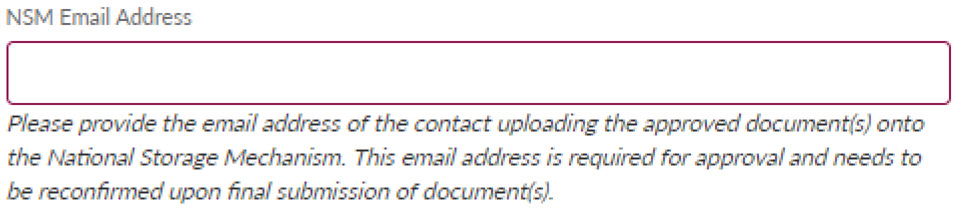
When you click Save or Submit, an error message will be displayed if you have not entered mandatory values or if the data you have entered is invalid.

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.

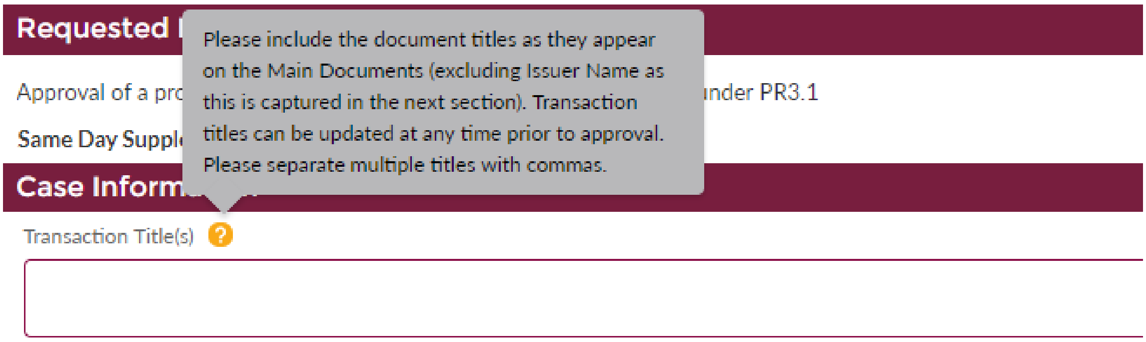


Help text

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



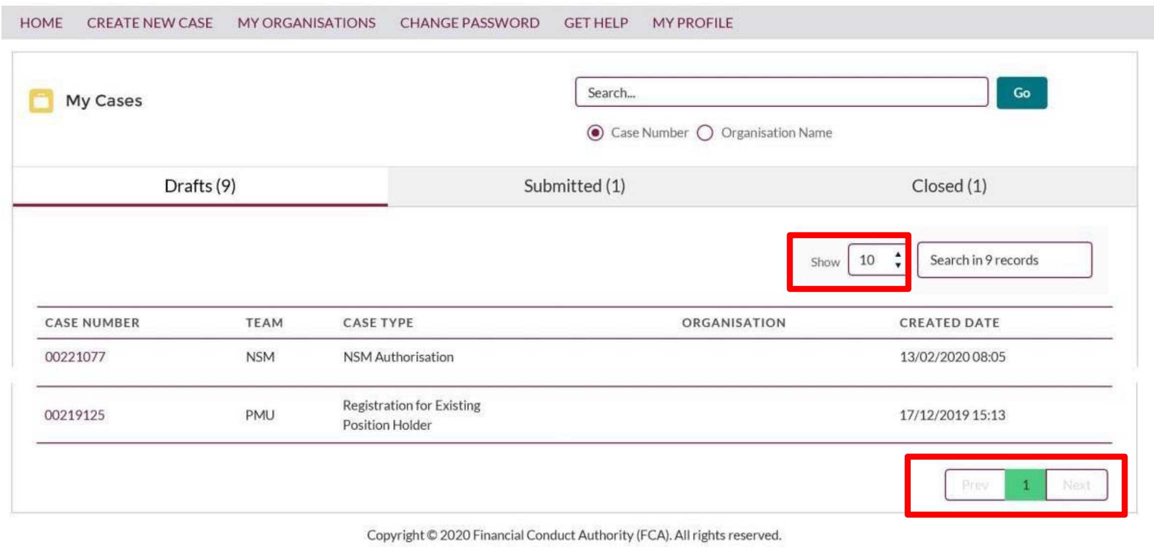
Help text can also be viewed by clicking on the icon next to a field.



Case pagination

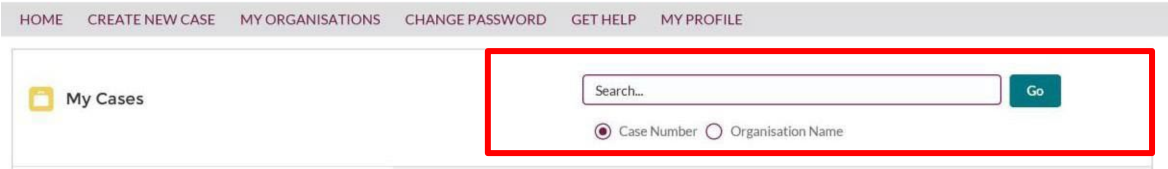
By default, the system will display 10 cases at a time, but you increase the number of cases shown on each page to 25, 50 or 100 using the dropdown list next to the **Show** button.

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.

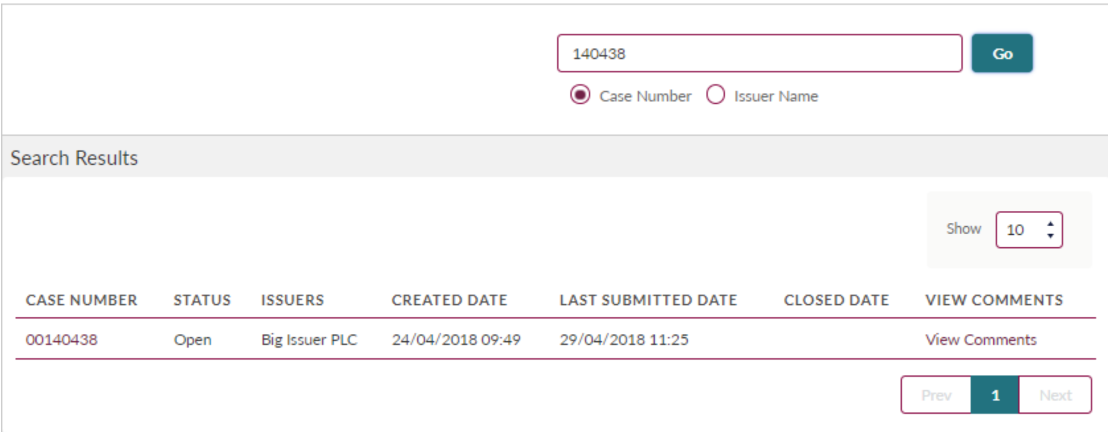


Search

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 exempt offer document – Article 1 6a of Reg (EU) 2017/1129
- Approval of a prospectus or component(s) of a tri-partite prospectus under PR3.1
- Review of summary documents produced under PR1.2.3(8)e
- Approval of supplementary prospectus under PR3.1.7
- Approval of a supplementary registration document under PRR 3.1
- Approval of a base prospectus under PRR 3.1
- Approval of a registration document under PRR 3.1
- Approval of a summary and securities note under PRR 3.1
- Approval of listing particulars UKLR 23.3.2
- Approval of supplementary listing particulars under UKLR 23.3.2
- Approval of a circular under UKLR 10.2.1
- Review of eligibility for listing
- Individual guidance from the FCA on PRR, UKLR or DTR
- Approval of an investment policy
- Determination a document is equivalent to a prospectus under PR3.1.1.4R
- Notification only - no decision requested
- Approval of announcement required by UKLR 21.5.6R(2)
- Approval of Universal Registration Document (URD)
- Filing of Universal Registration Document (no approval required)
- Approval of amendment
- Filing of amendment (no approval required)

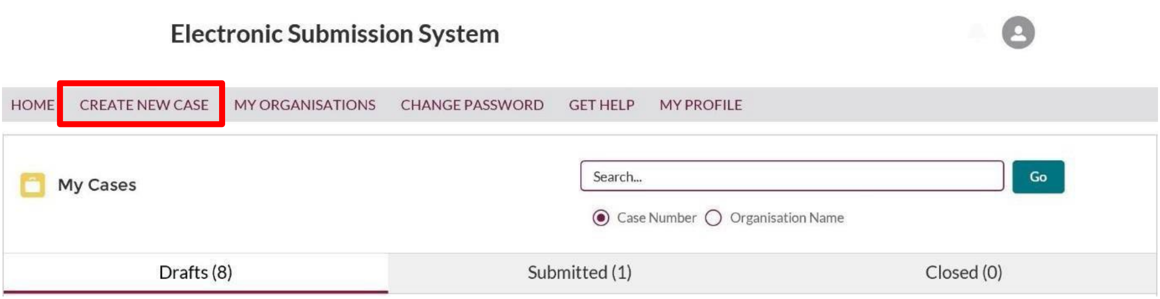
Creating a new Transactional Review case

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

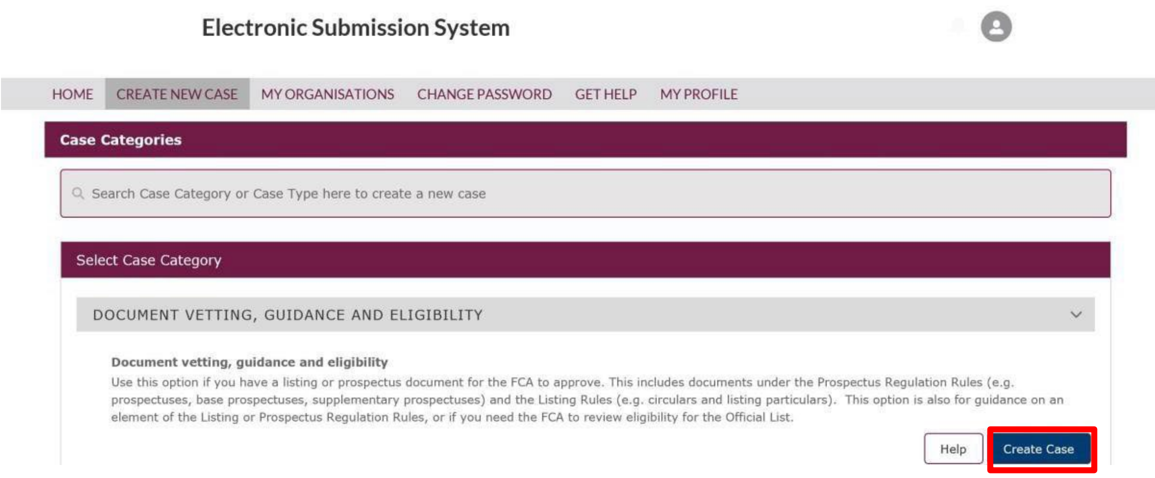
Let’s work through the process for creating a new case and submitting documents.

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 an exempt offer document - Article 1 6a of Reg (EU) 2017/1129
+	Approval of a prospectus or component(s) of a tri-partite prospectus under PR3.1 ?
+	Review of summary documents produced under PR1.2.3(8)(e)
+	Approval of supplementary prospectus under PR3.1.7
+	Approval of a supplementary registration document under PRR 3.1
+	Approval of a base prospectus under PRR 3.1
✓	Approval of a registration document under PRR 3.1
+	Approval of a summary and securities note under PRR 3.1
+	Approval of listing particulars UKLR 23.3.2 ?
+	Approval of supplementary listing particulars under UKLR 23.3.2
✓	Approval of a circular under UKLR 10.2.1
+	Review of eligibility for listing
+	Individual guidance from the FCA on PRR, LR or DTR
+	Approval of an investment policy
+	Determination a document is equivalent to a prospectus under PR3.1.14R
+	Notification only - no decision requested
+	Approval of announcement required by UKLR 21.5.6R(2)
+	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.

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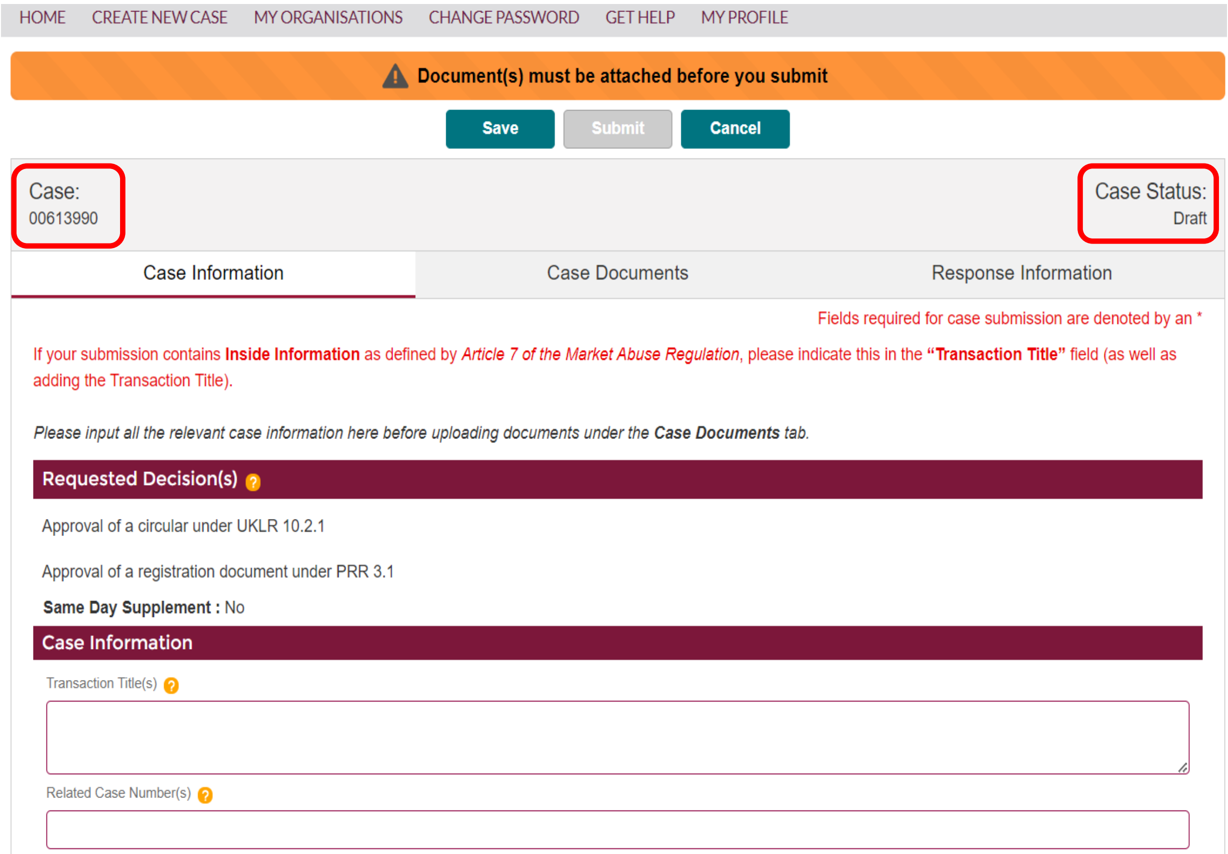


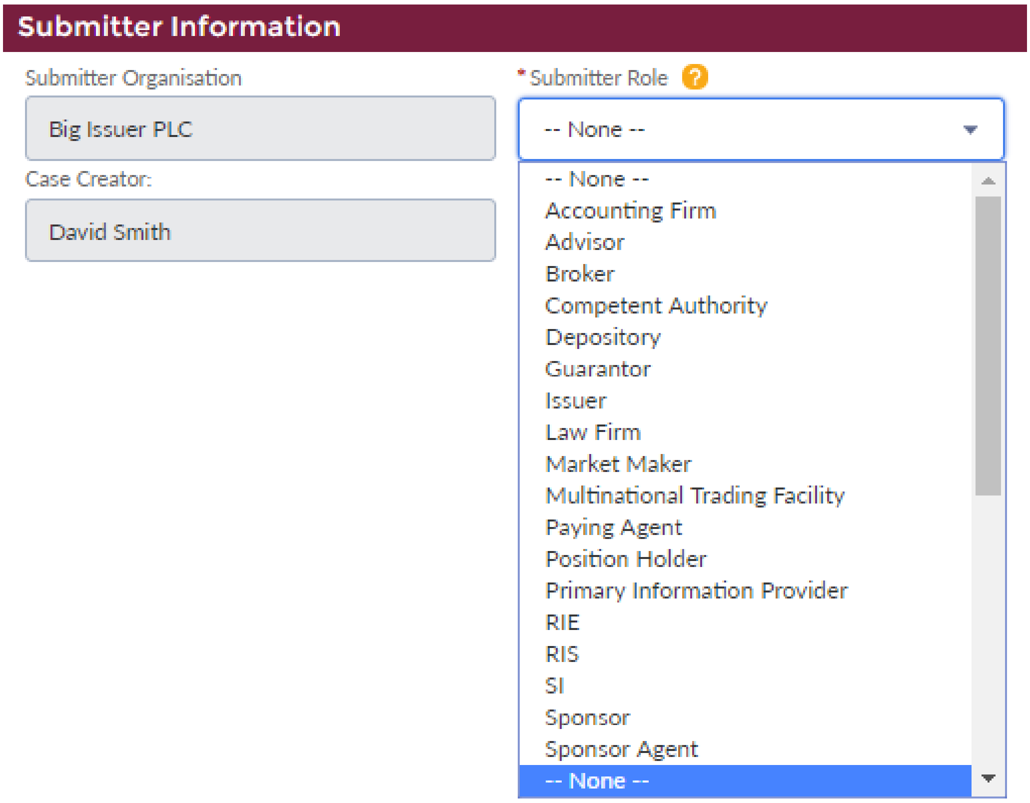
You must fill in all case information and upload documents before you submit the case to us.

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.

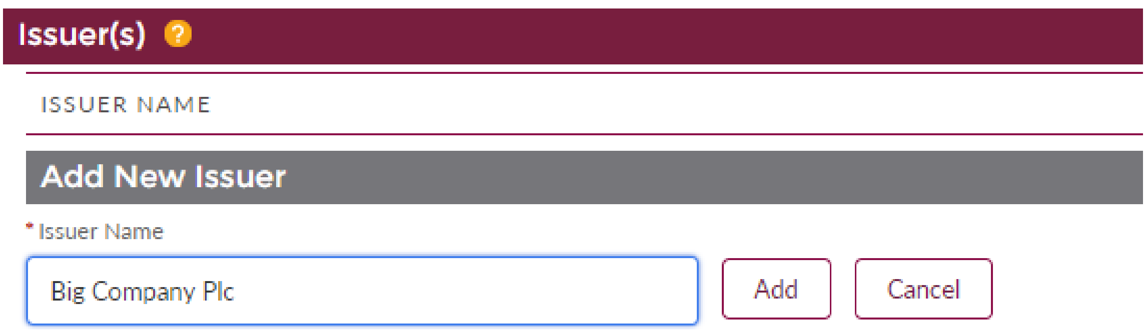
In **Submitter Role**, choose the primary role of your organisation on the case.



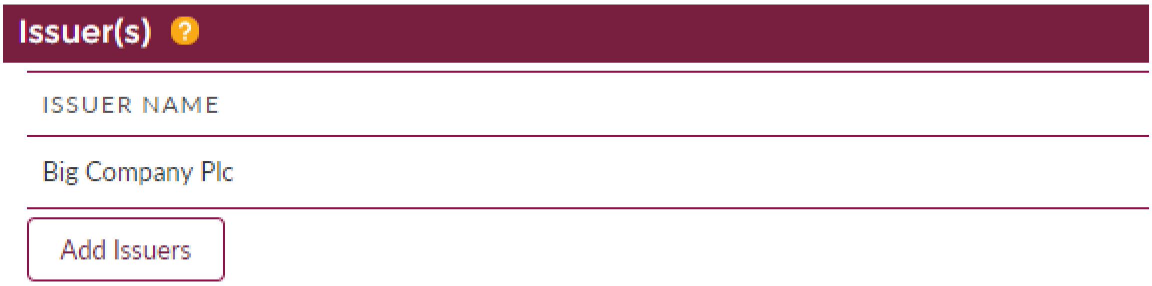
Step 5: Adding issuers

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:



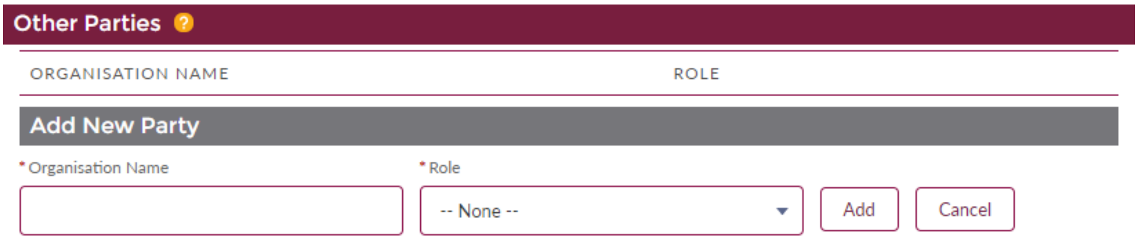
You can add multiple issuers to a case. If you want to add new issuer details, this can be done at any point in the case lifecycle until the case is closed.

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.

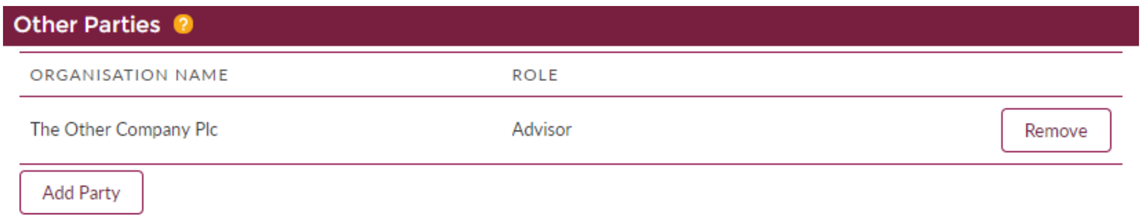
Step 6: Adding other parties

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.

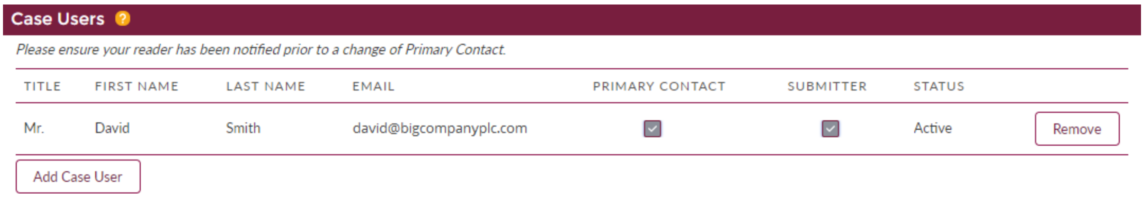
Step 7: Inviting other users

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.

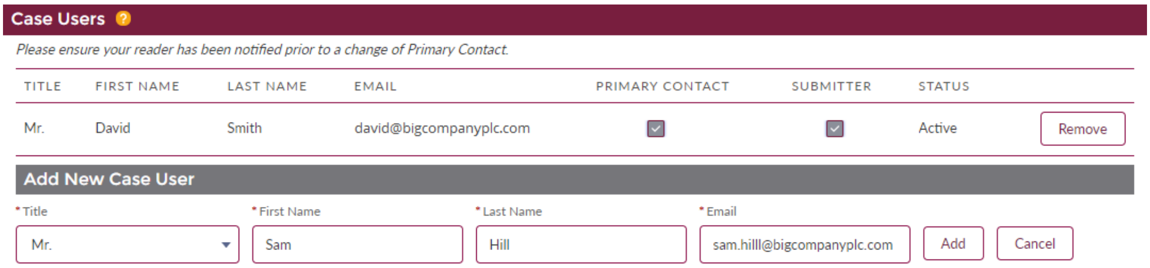
Note: You can only invite people with same email domain as you.

> 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.

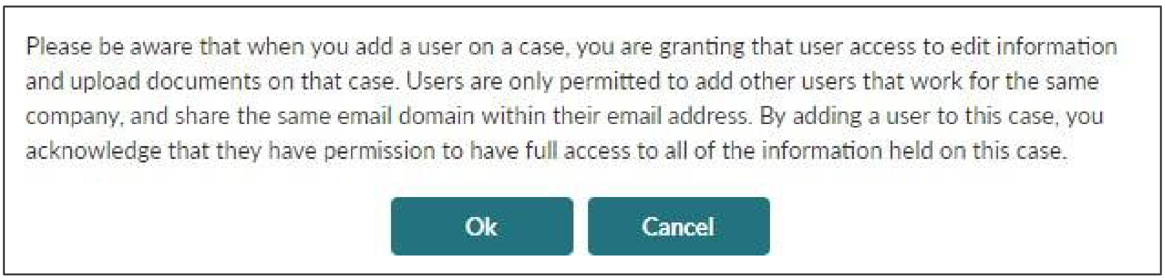
To add a new user, select **Add Case User** in the **Case Users** section.



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



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



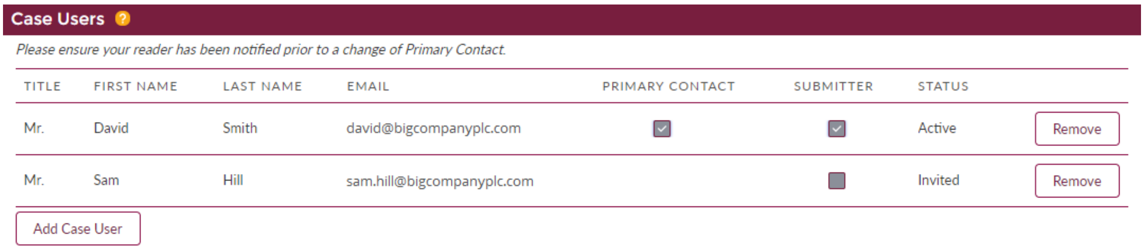
Select **OK** to agree to the terms and conditions in this message.

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

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

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

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


Case Users

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

TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS	
Mr.	David	Smith	david@bigcompanyplc.com	☑	☑	Active	Remove
Mr.	Sam	Hill	sam.hill@bigcompanyplc.com		☐	Invited	Remove

Add Case User

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

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

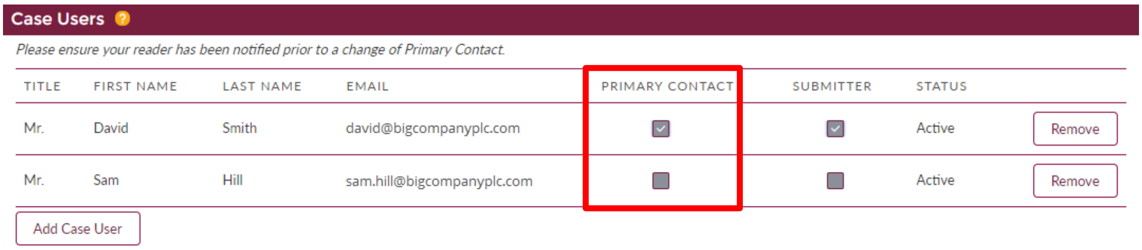
To prevent unauthorised access of the system, for all open cases we recommend you remove users who have left your organisation or no longer need access to an open case by using the **Remove** option.

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

Step 8: Choosing a Primary Contact

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

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


Case Users

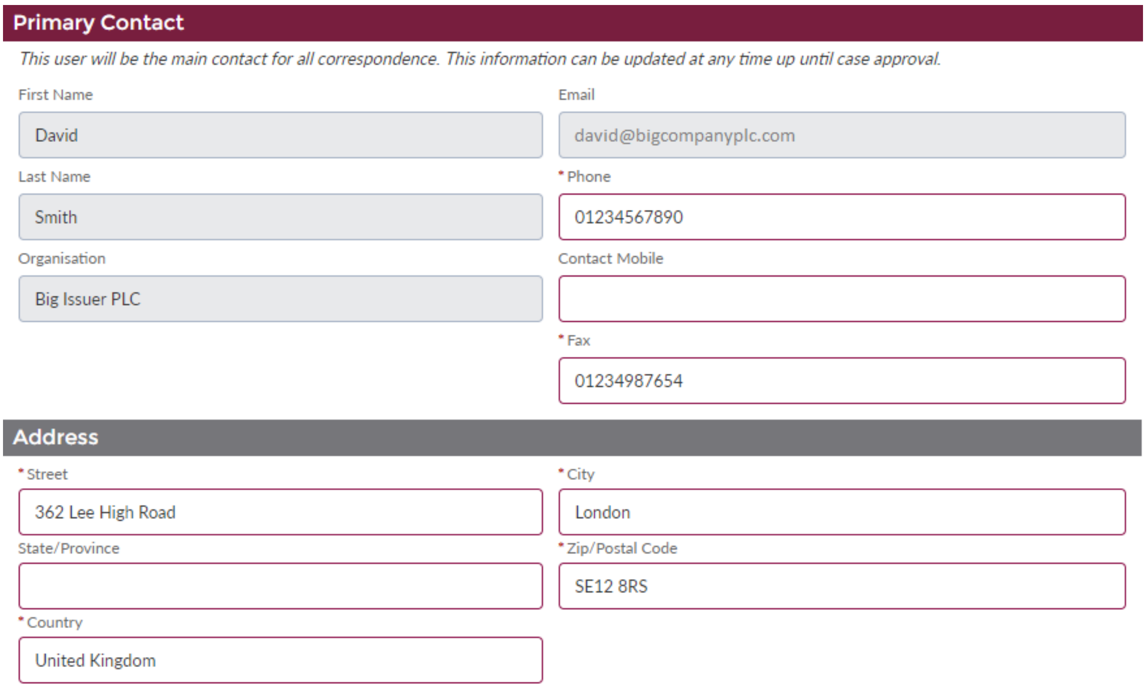
Please ensure your reader has been notified prior to a change of Primary Contact.

TITLE	FIRST NAME	LAST NAME	EMAIL	PRIMARY CONTACT	SUBMITTER	STATUS	
Mr.	David	Smith	david@bigcompanyplc.com	☑	☑	Active	Remove
Mr.	Sam	Hill	sam.hill@bigcompanyplc.com	☐	☐	Active	Remove

Add Case User

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

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


Primary Contact

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

First Name: David

Email: david@bigcompanyplc.com

Last Name: Smith

* Phone: 01234567890

Organisation: Big Issuer PLC

Contact Mobile:

* Fax: 01234987654

Address

* Street: 362 Lee High Road

* City: London

State/Province:

* Zip/Postal Code: SE12 8RS

* Country: United Kingdom

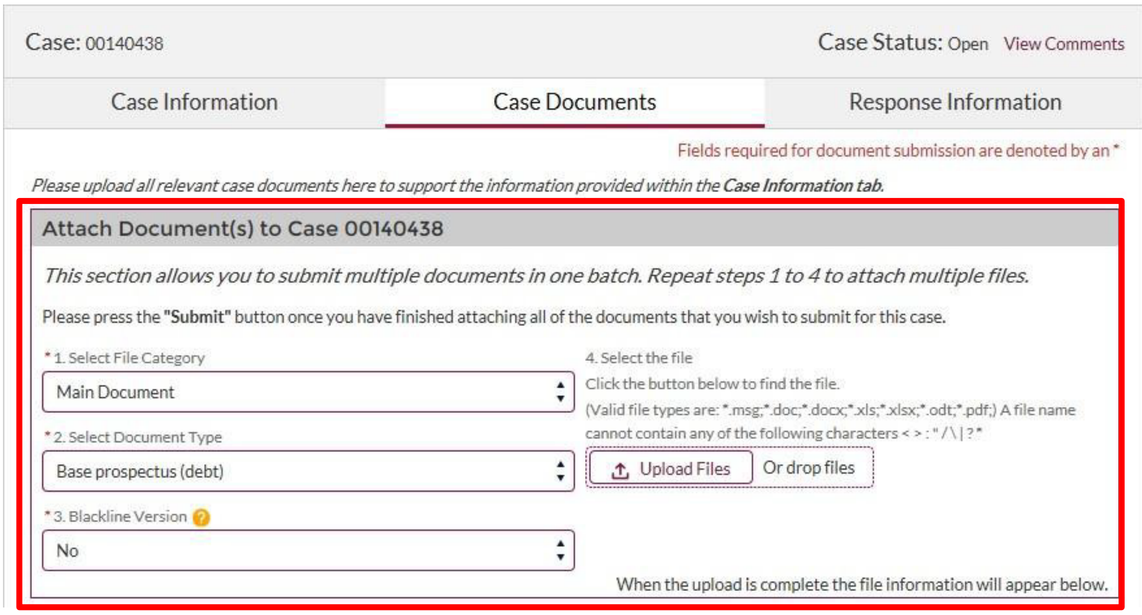
Any address changes made here will apply only to this case and will not be applied to be updated back on the user's profile.

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

Step 9: Uploading documents

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

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



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

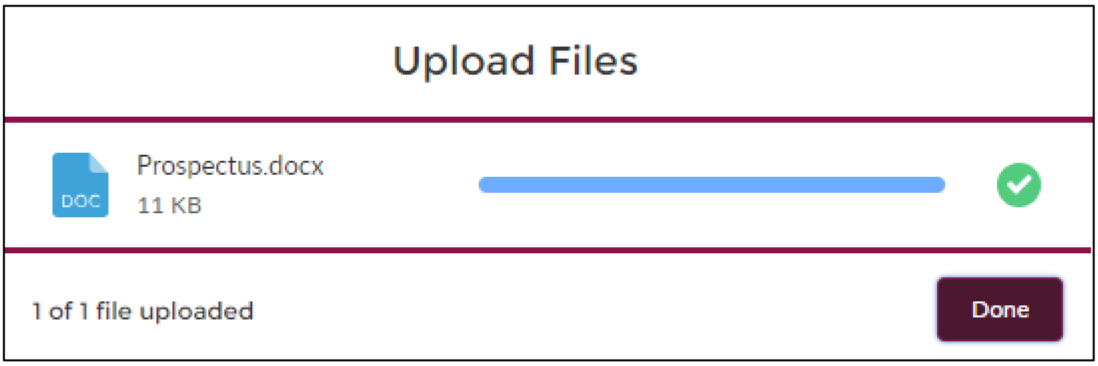
1. **Select File Category**: Choose the Document Category you are attaching (Main Document, Supplementary Document or Checklist).

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**.

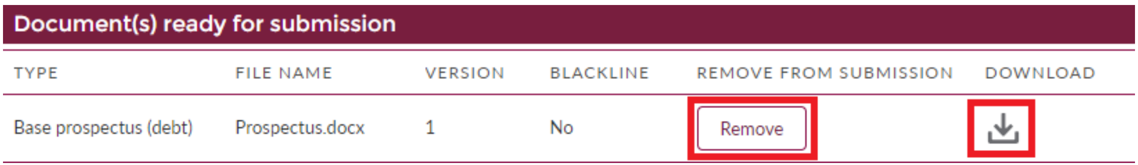
4. **Select the file**: You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

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.


Document(s) ready for submission

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

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

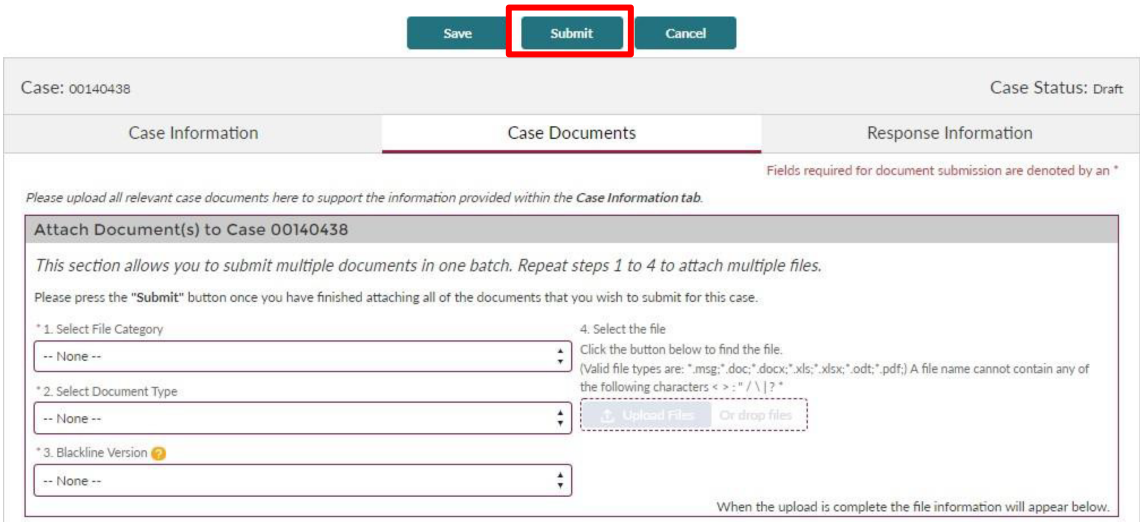
You will not be able to remove documents once a case has been submitted.

Step 10: Submit the case

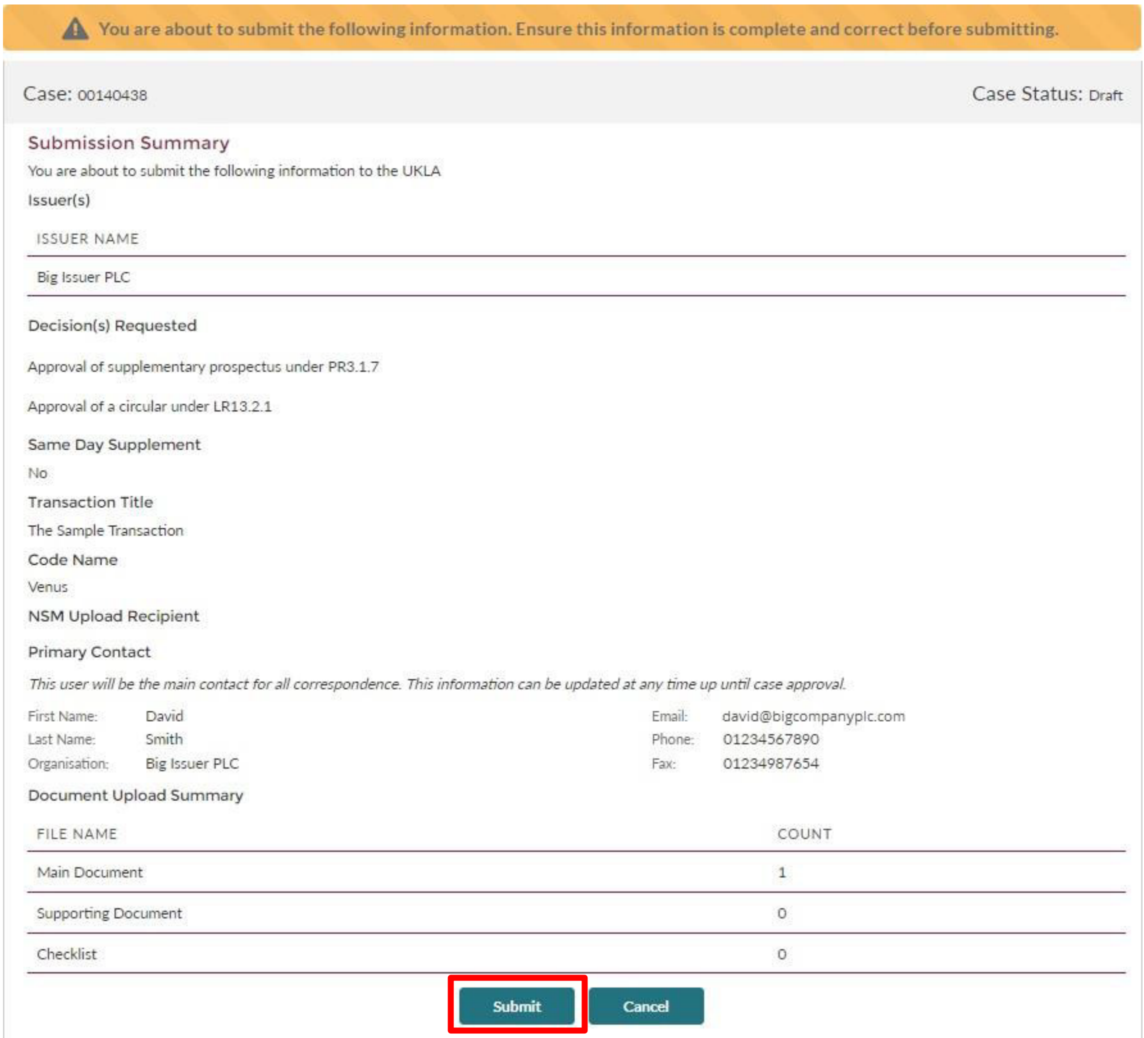
Once you have entered all relevant information and attached all documents that support the decisions you have requested from us, the final step is to submit the case.

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

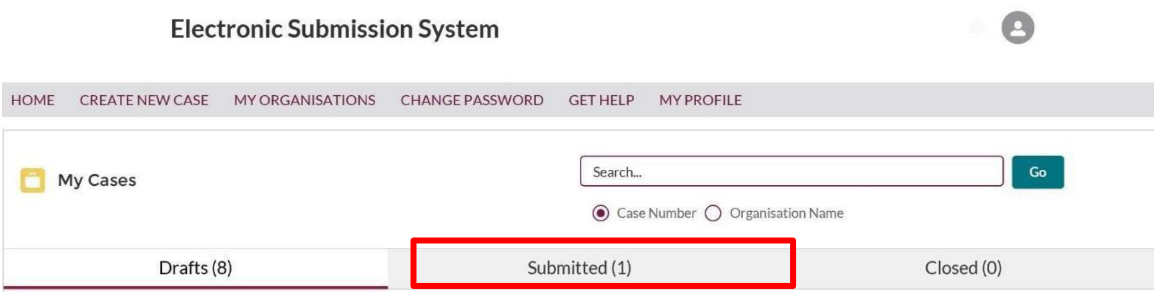
To submit the case, select the **Submit** button.



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.

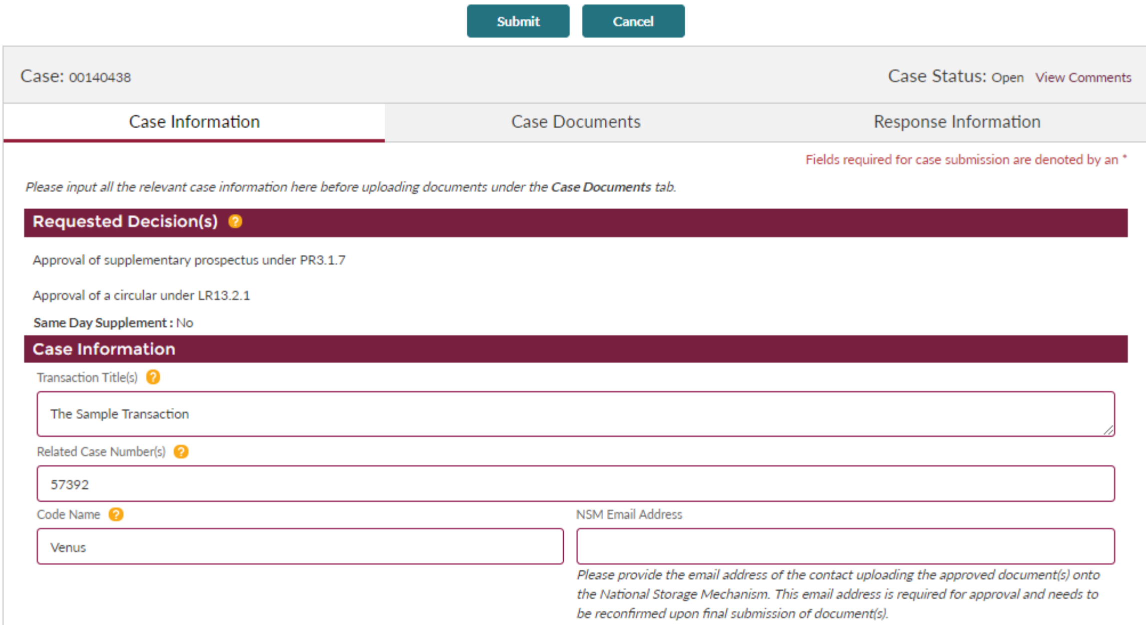


Once a case is submitted, the status of the case moves from Draft to Open. The case will now be listed on the **Submitted** tab of the **My Cases** page.



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.

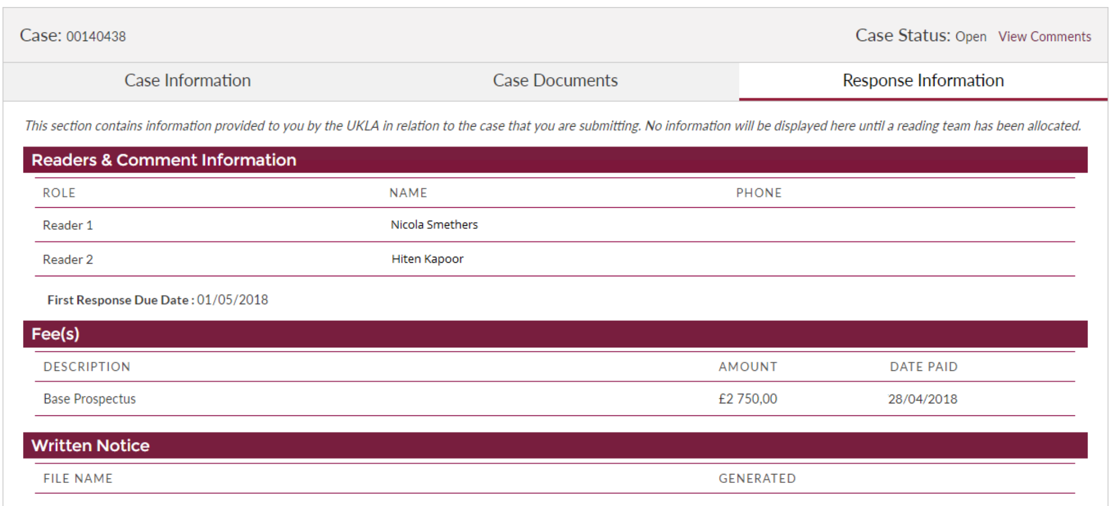


Case response information

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.

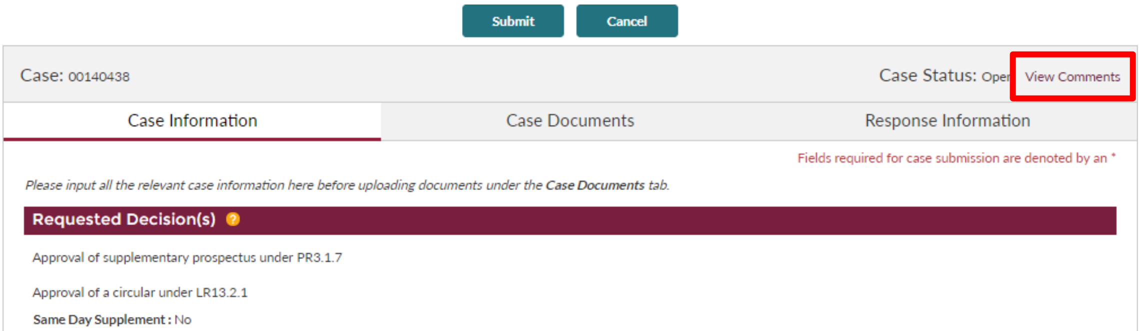
This information will be sent by email to the Primary Contact.

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.

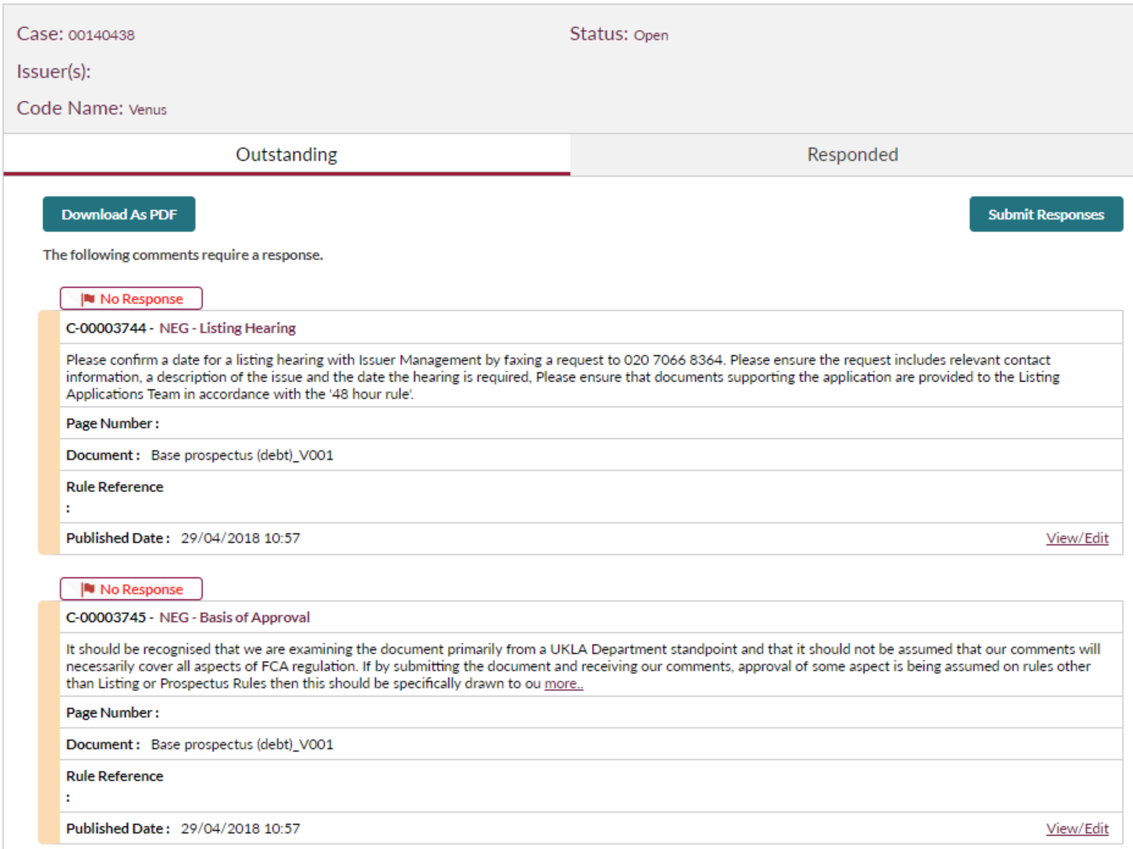


Responding to comments on a case

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).

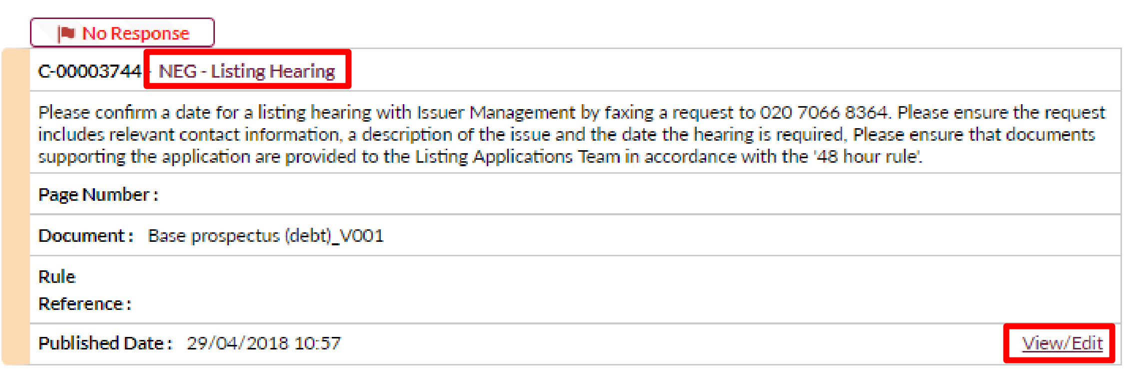


The comments are listed on the **Outstanding** tab. A **No Response** flag indicates that no response has yet been provided to a comment.

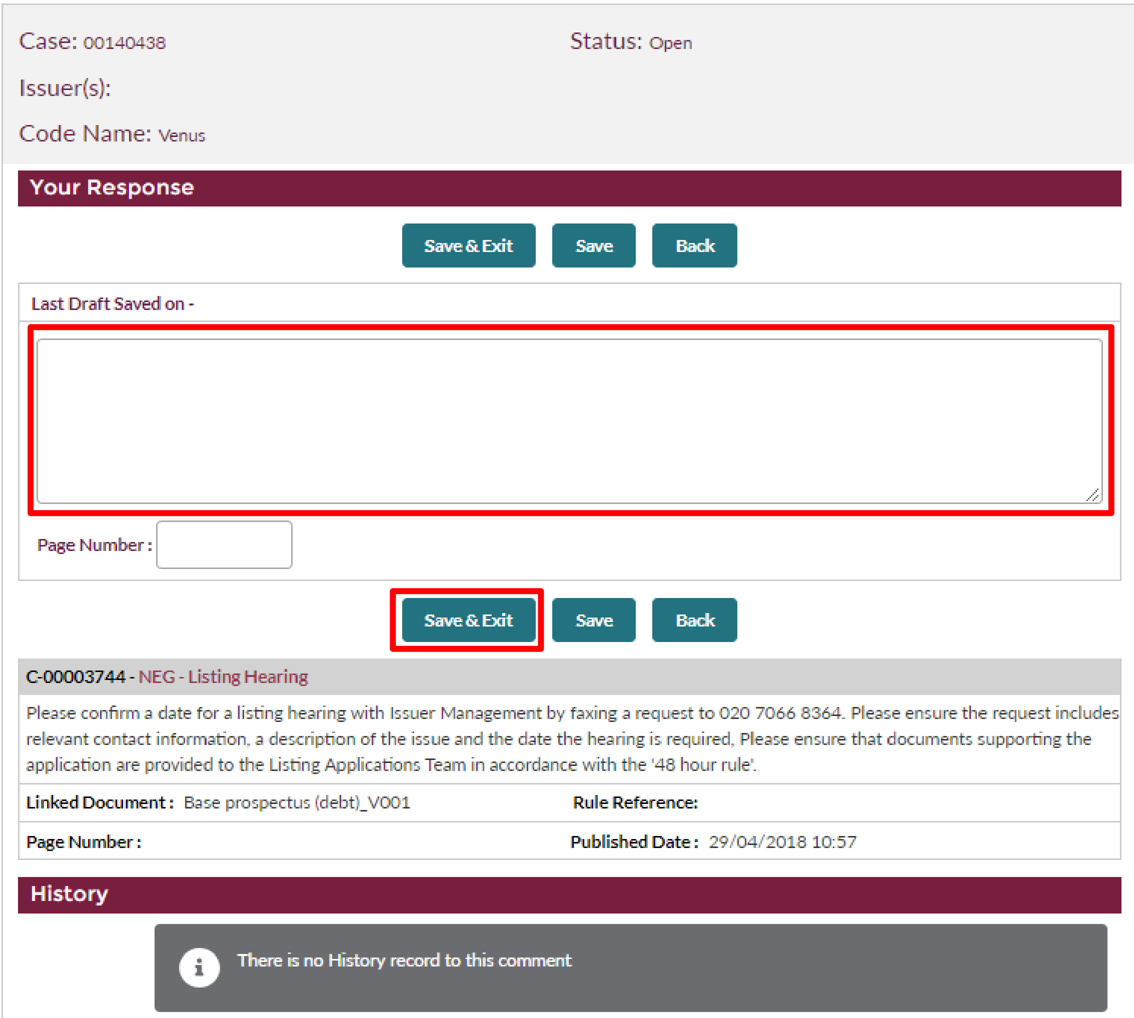


You will need to provide an individual response to each comment. When you have provided responses to all the comments, you will then be able to submit your responses to the UKLA reading team.

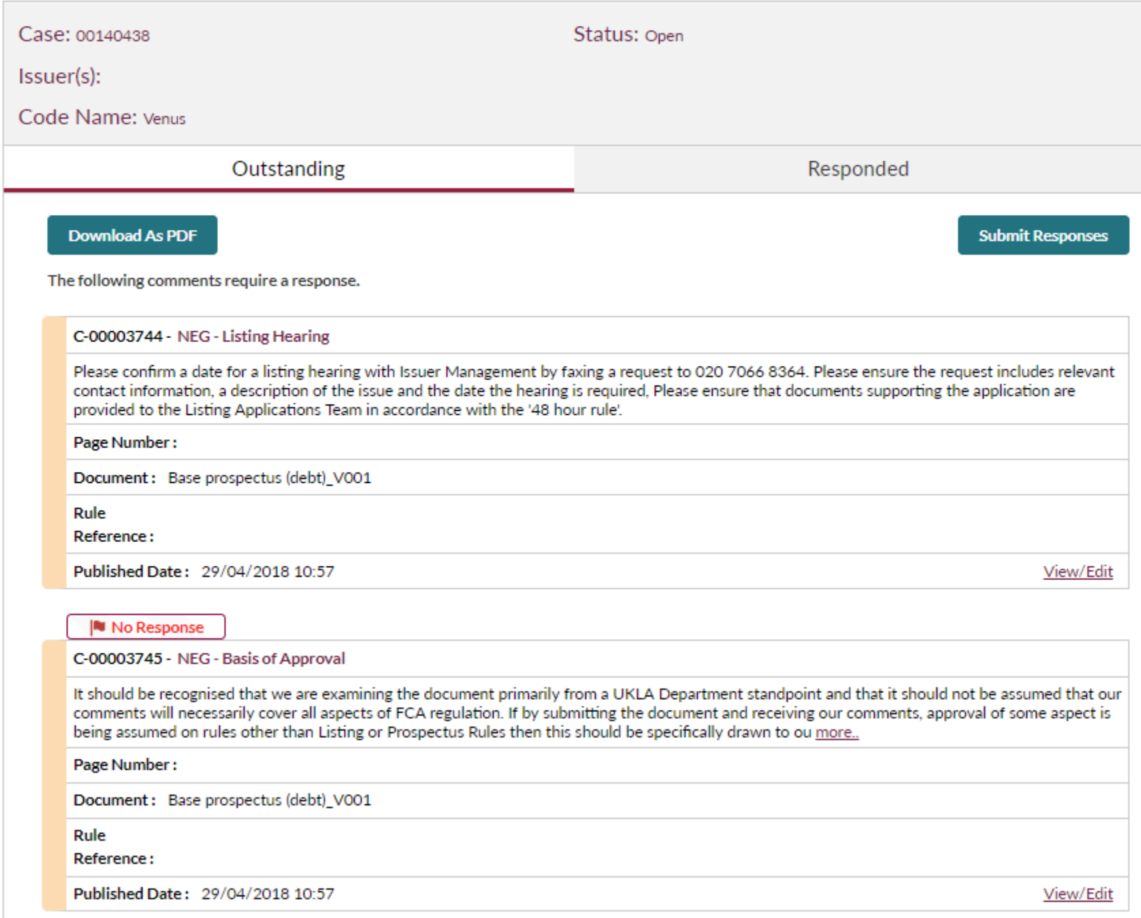
To view a comment and provide a response, click on the title of the comment, or the **View/Edit** link.



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

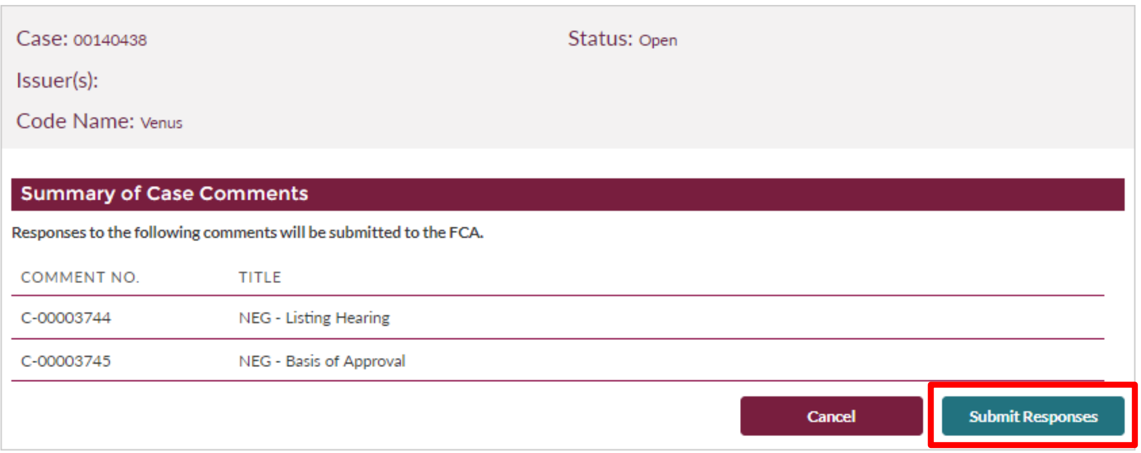


When you have entered and saved your response to a comment, the **No Response** flag will no longer be displayed.

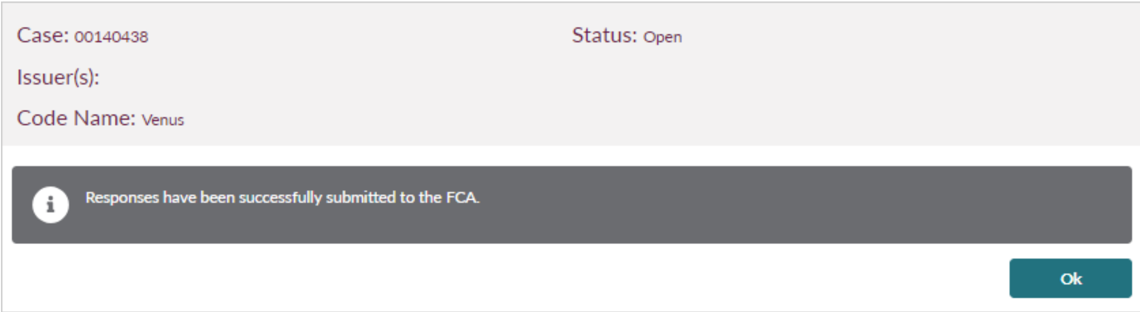


When you have provided responses to all comments, you can submit these to the reading team by selecting **Submit Responses**.

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

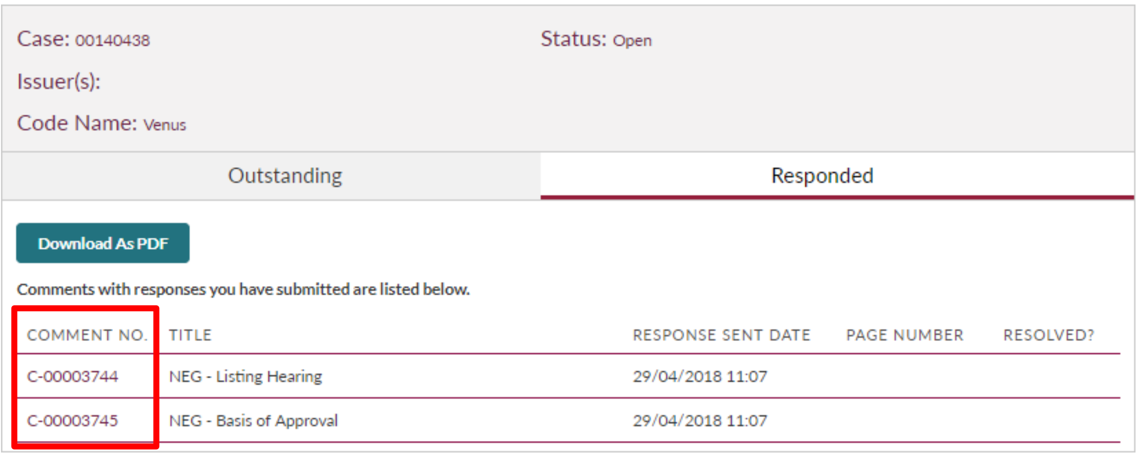


A confirmation of the submitted responses will then be displayed:



> 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.



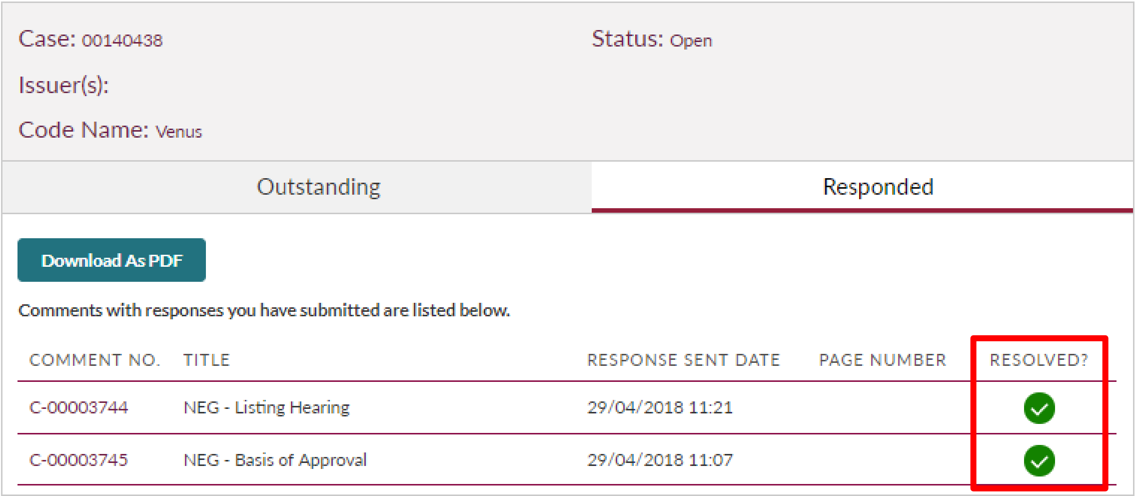
You cannot edit a response once it has been submitted.

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.

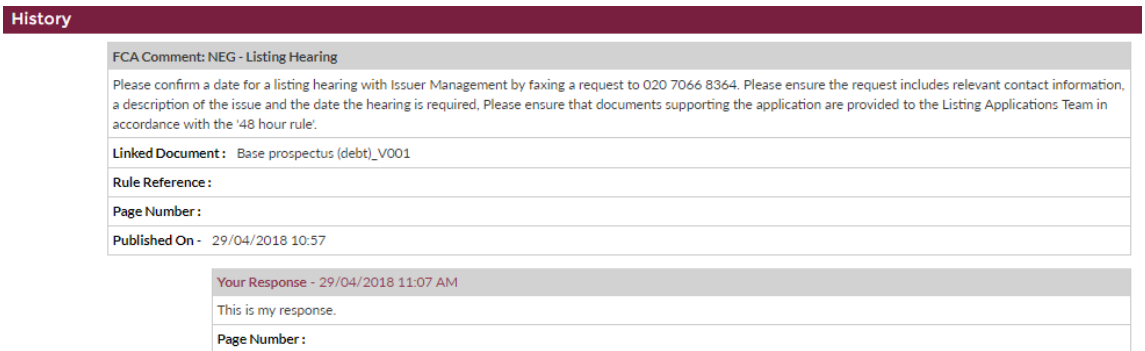
Any comments that have been resolved will remain on the **Responded** tab with a tick in the **Resolved?** column.



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.

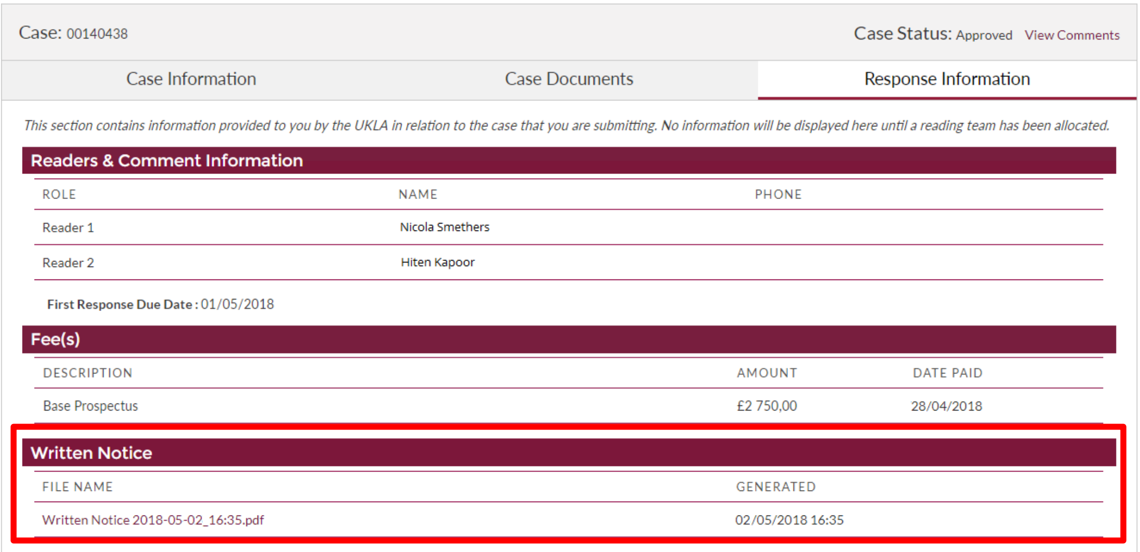
Once a case is closed, you cannot change any details on the case.

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:

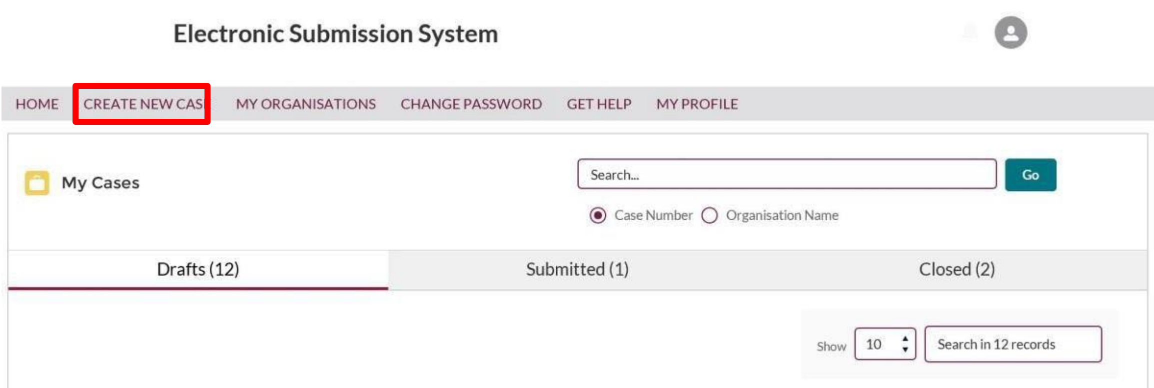
- Admission to the Official List
- Amendments of Existing Securities
- Create and Update Programme (post-vetting)
- Suspension of Securities
- Removal of Securities
- Restoration of Securities

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.

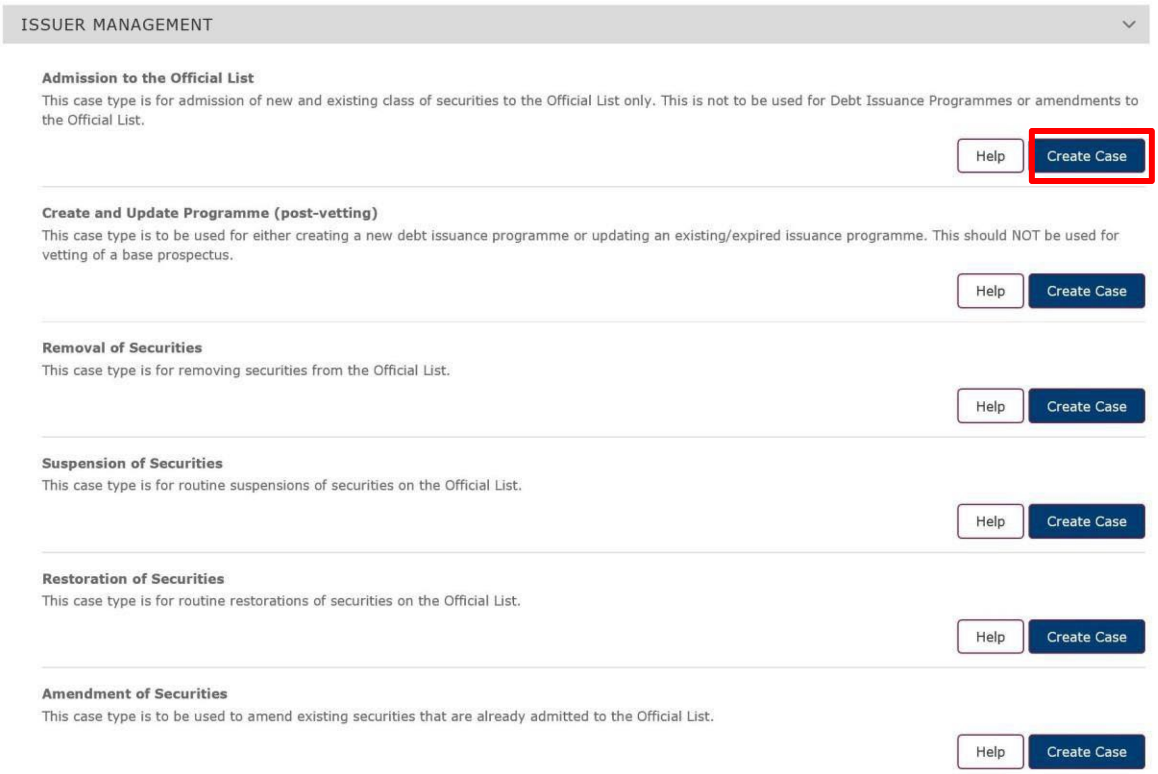


Step 2: Clicking the arrow on the Issuer Management tab

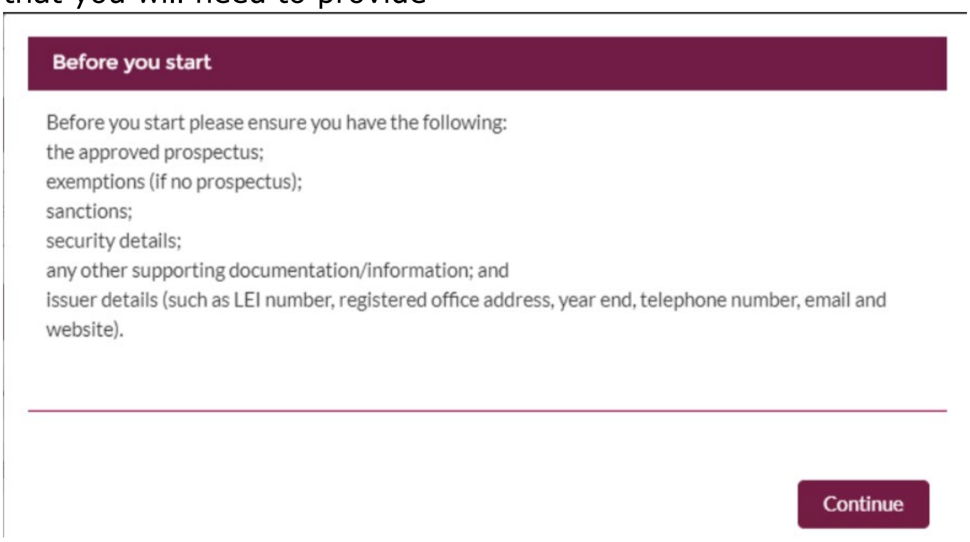
Step 3: Selecting the case type

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**.

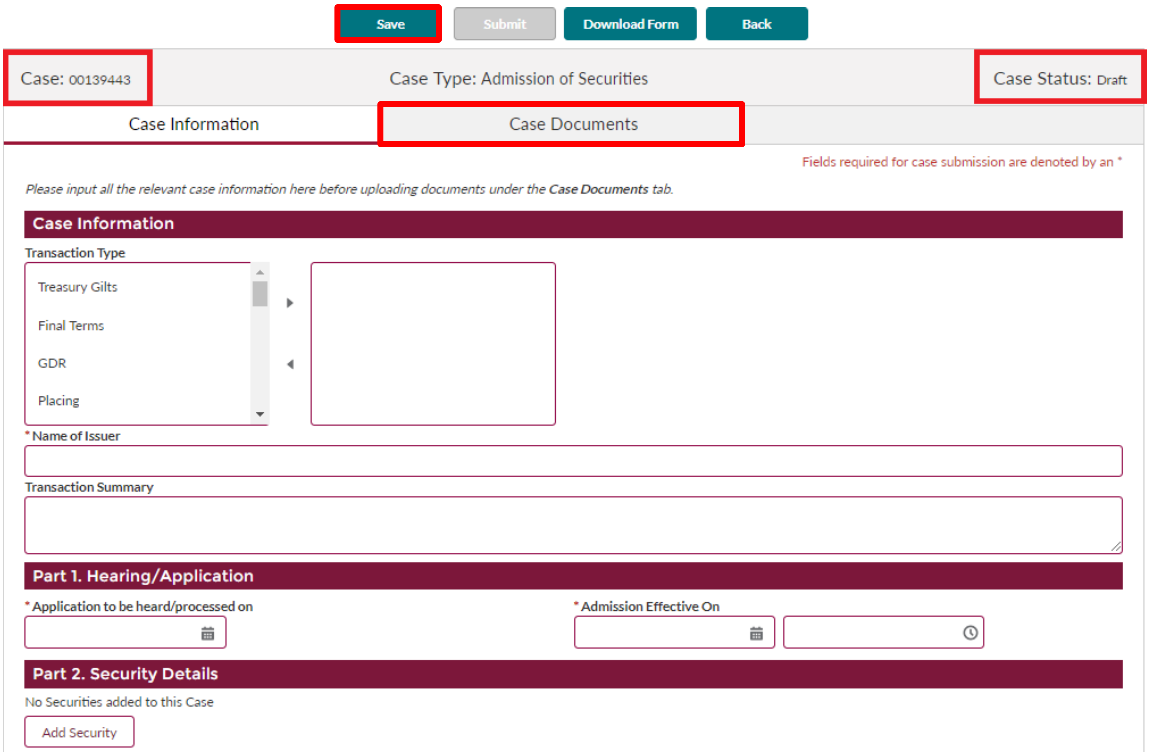


Step 4: Click the 'Continue' button on the pop-up reminder of information that you will need to provide



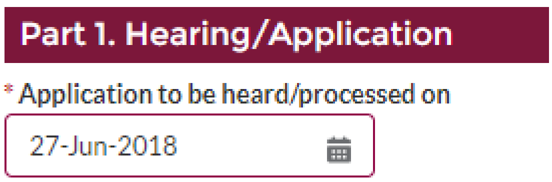
Step 5: Entering case details

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.

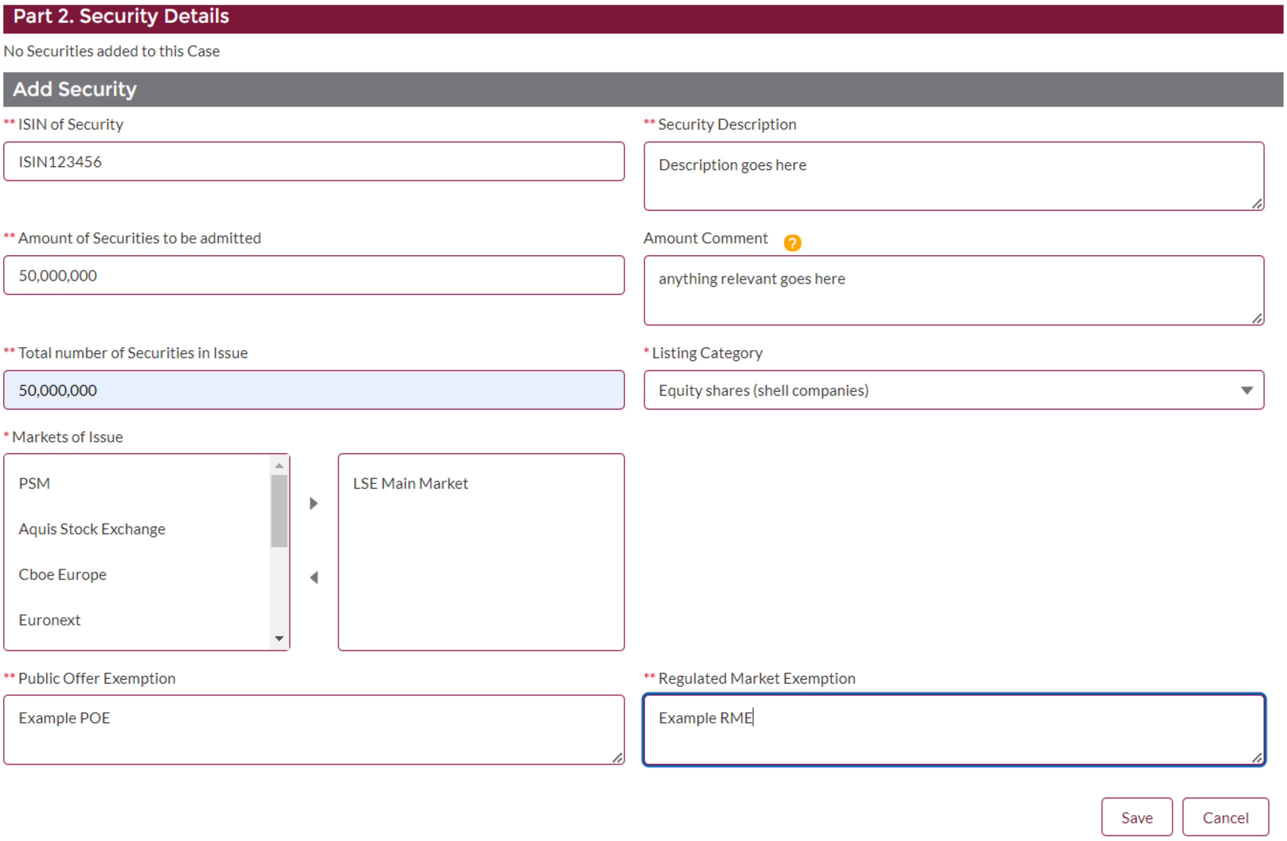
We do not progress a case unless the case is submitted. Please ensure that you click on **Submit** (step 8) once you have filled in all required information and uploaded all necessary documents.

Step 6: Adding a security

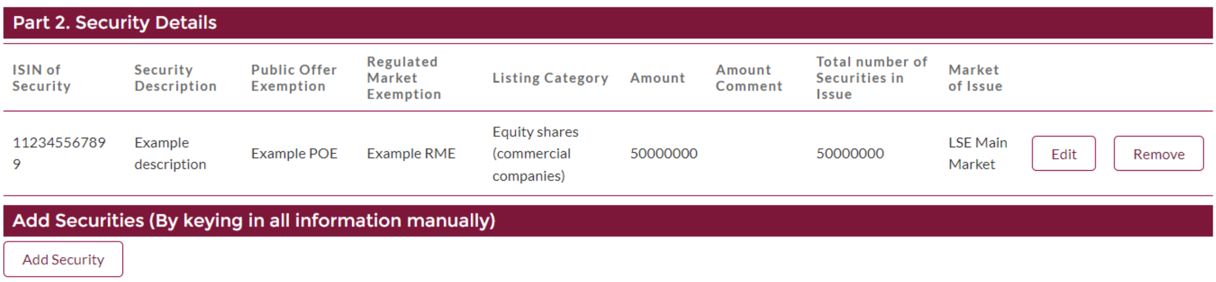
For most Issuer Management case types (with the exception of Debt Issuance programmes), you will need to specify one or more securities.

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.

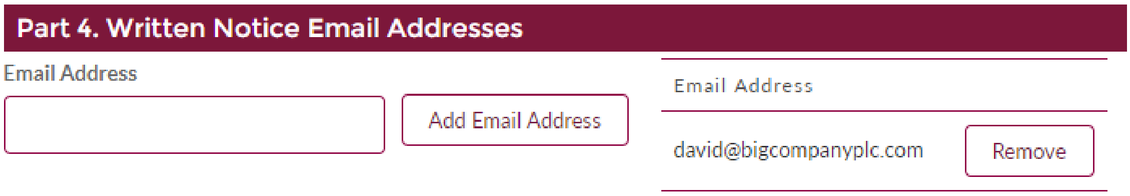


Step 7: Adding email addresses for the written notice

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

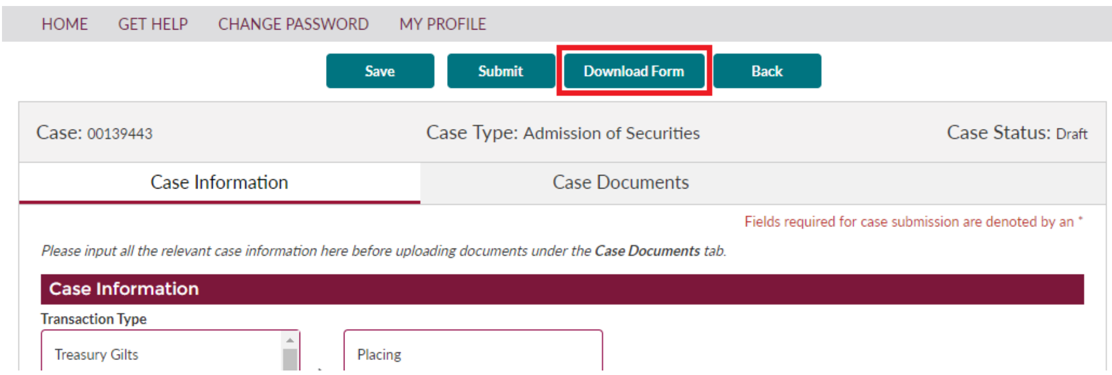
Enter an email address in the box and click **Add Email Address**.

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.

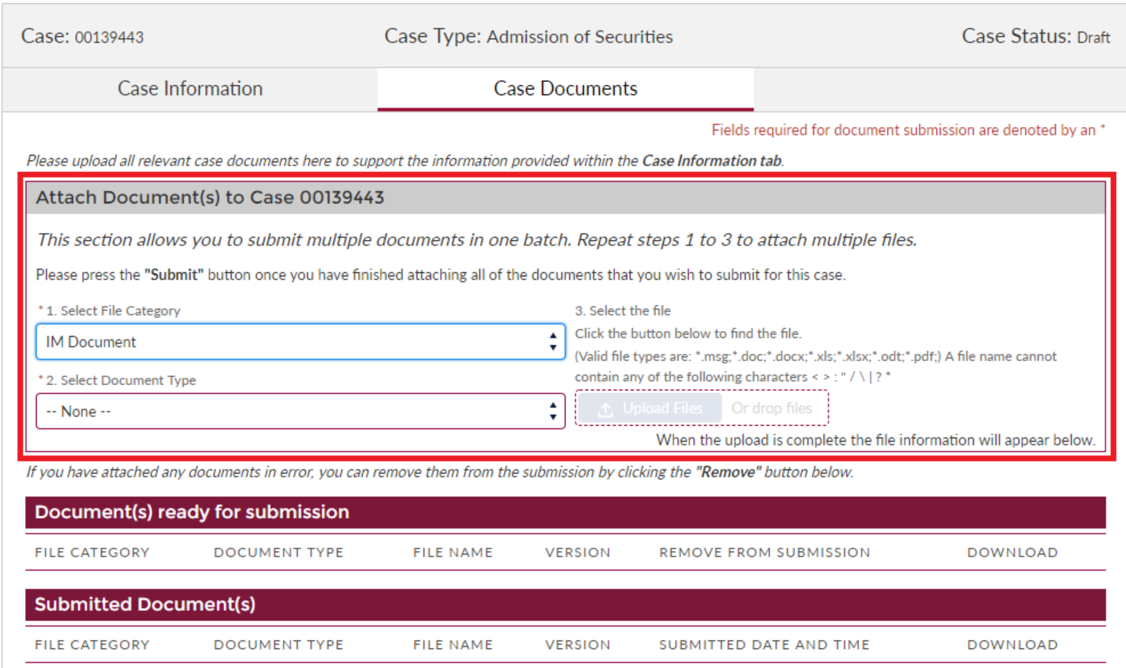
We recommend that you download the form and use this to check the information carefully before submitting the case.

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.



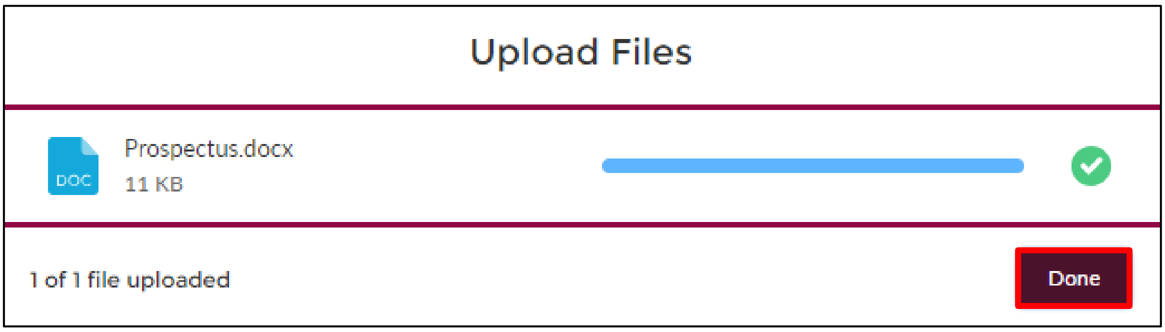
The top section of this page explains the three steps to upload a document:

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

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

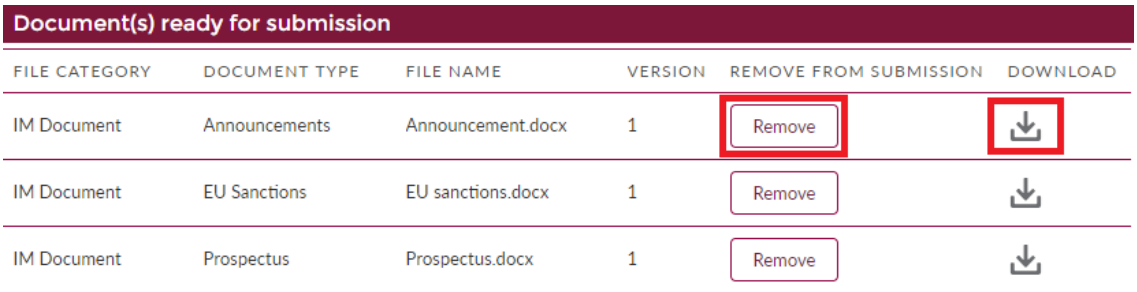
3. **Select the file**: You can do this in two ways, either by selecting **Upload Files** and browsing to the document you want to attach, or by dragging and dropping the file onto the **Or drop files** link.

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.

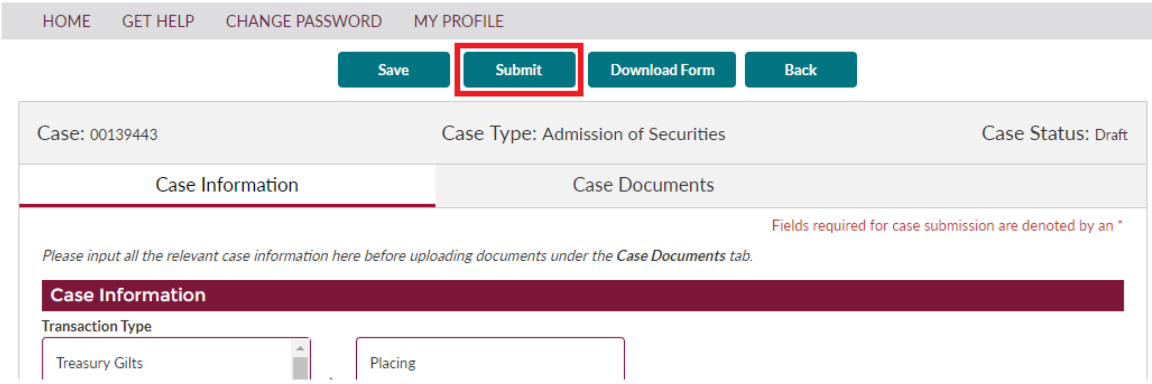
You will not be able to remove documents once a case has been submitted.

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

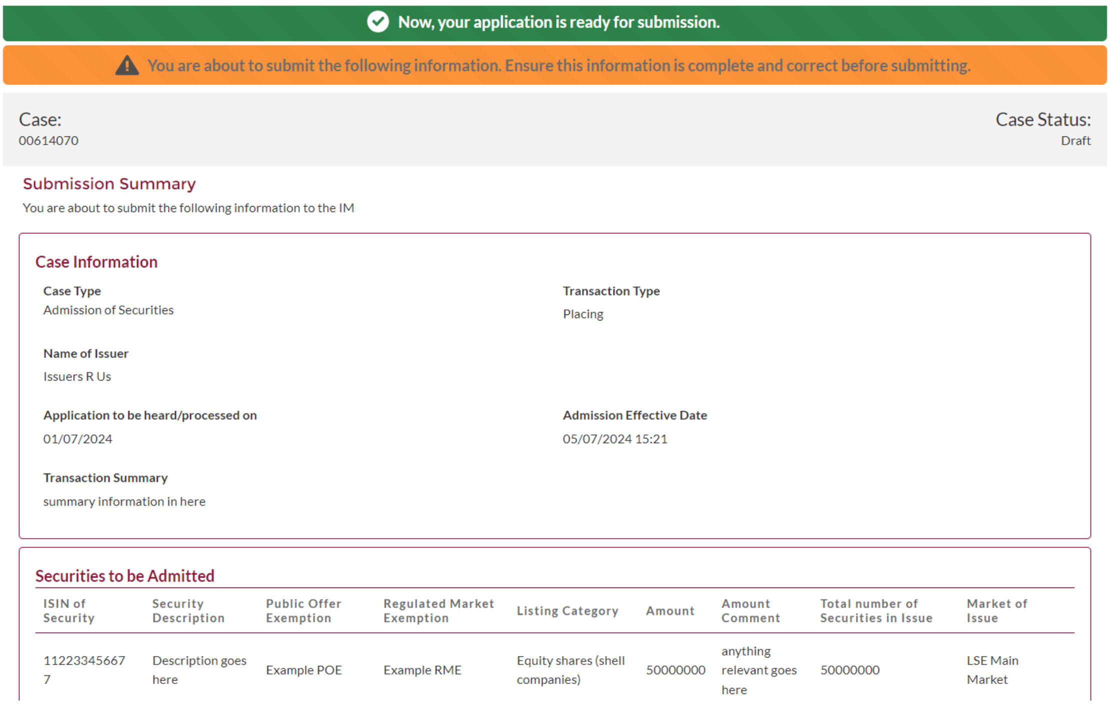
Step 10: Submit the case

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

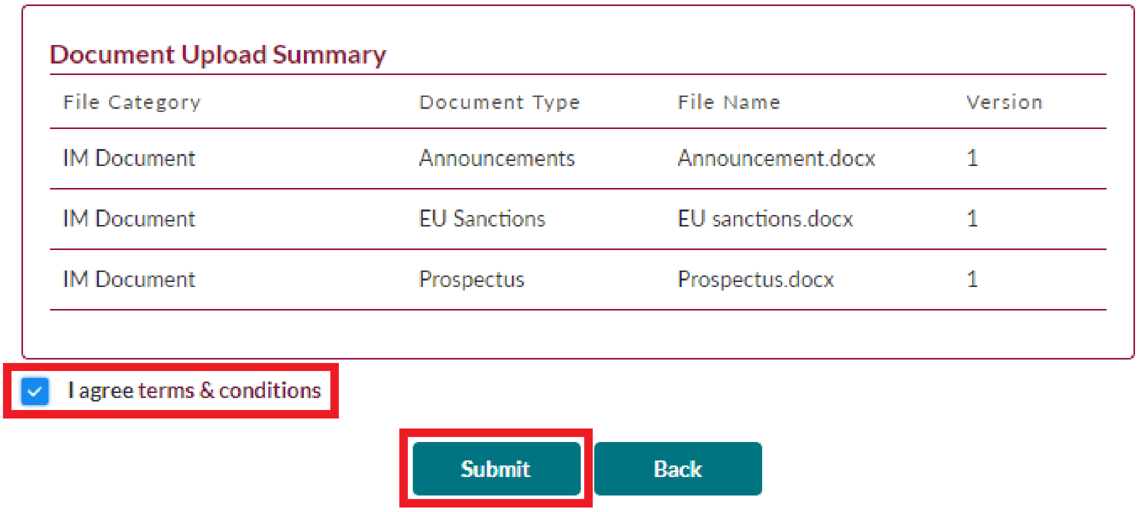
To submit the case, select the **Submit** button.



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



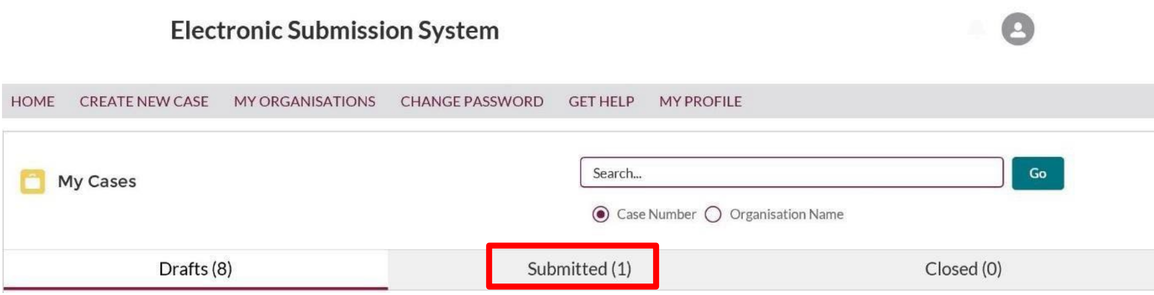
To submit the case, tick the **I agree terms & conditions** box at the foot of the page, then **Submit**.



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. SSR registration request and notification cases

Under the **Short Selling Regulation**, holders of short positions in shares, sovereign debt and sovereign contracts for difference are required to notify their positions to the FCA.

SSR registration request and notification case overview

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

SSR Registration requests:

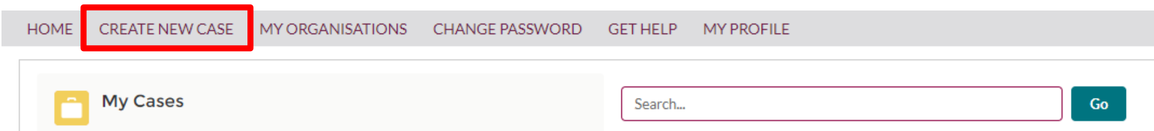
- Registration for Existing Position Holder
- Registration for New Position Holder Firm
- Registration for New Position Holder Individual

SSR Notifications:

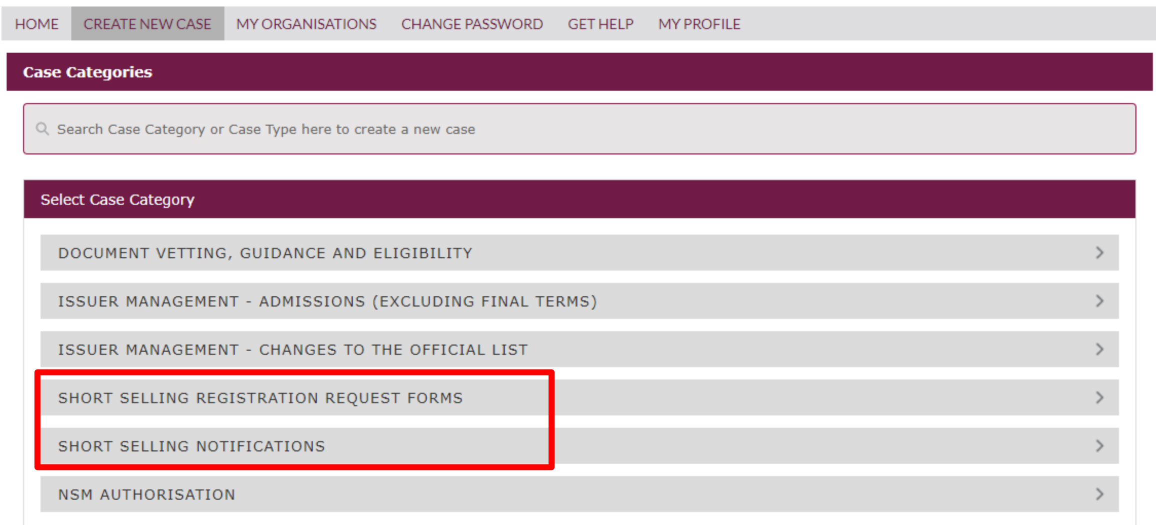
- NSP Share Notification – New
- NSP Share Notification – Correct
- NSP Share Notification – Delete
- NSP Sovereign Debt Notification – New
- NSP Sovereign Debt Notification – Correct
- NSP Sovereign Debt Notification – Delete

Step 1: Create a new SSR case

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



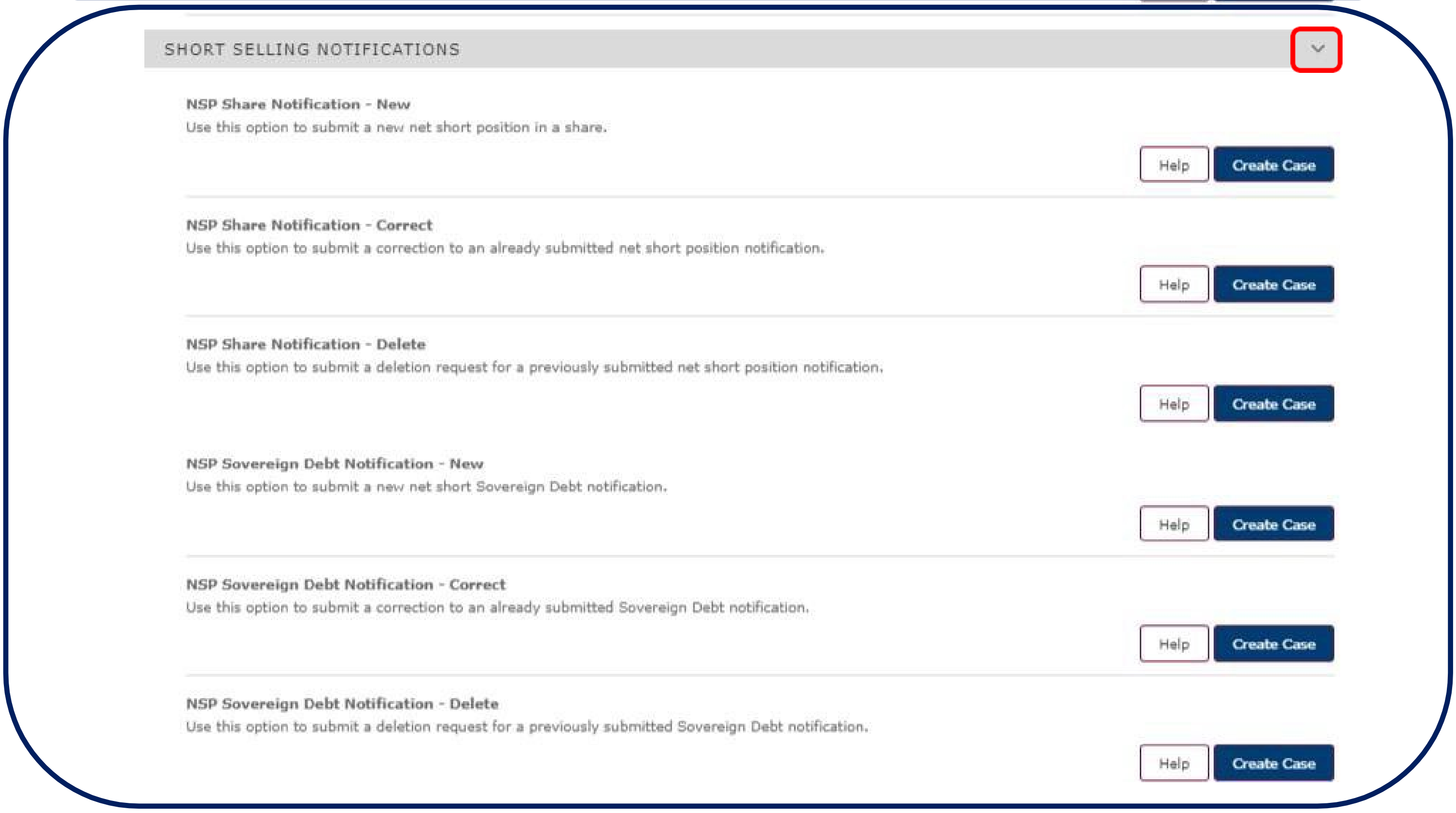
You will be redirected to the following screen:



If you are not already authorised to submit SSR notifications, you will not see the option titled 'Short Selling Notifications.'

Select the correct SSR case type

Click on the SSR case category heading arrows to view the case types you can choose from in each section. A case description is provided for you.



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.

Step 2: Complete the necessary Case form

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.

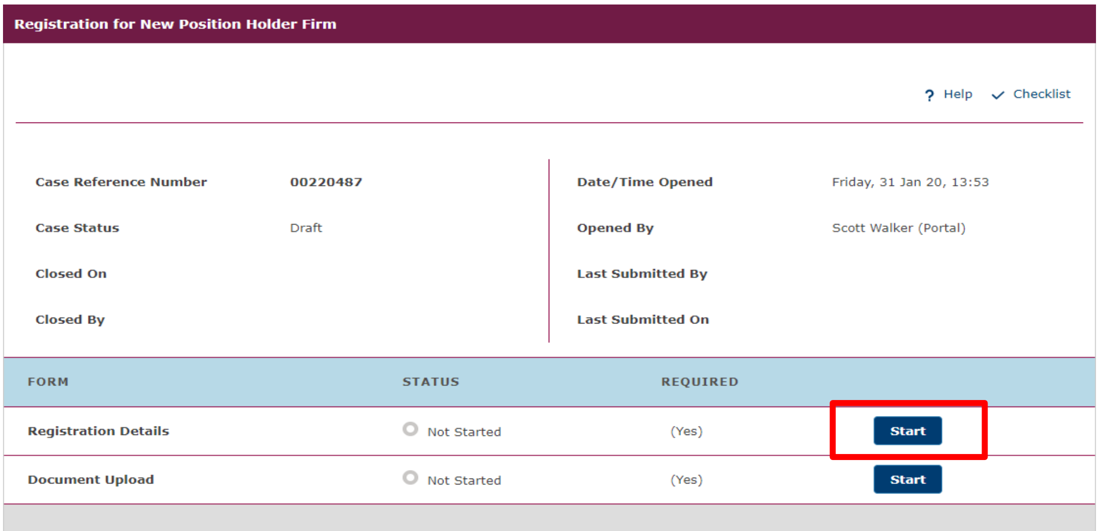
Short selling registration request forms

Each of the three available SSR registration forms are split into 2 sections:

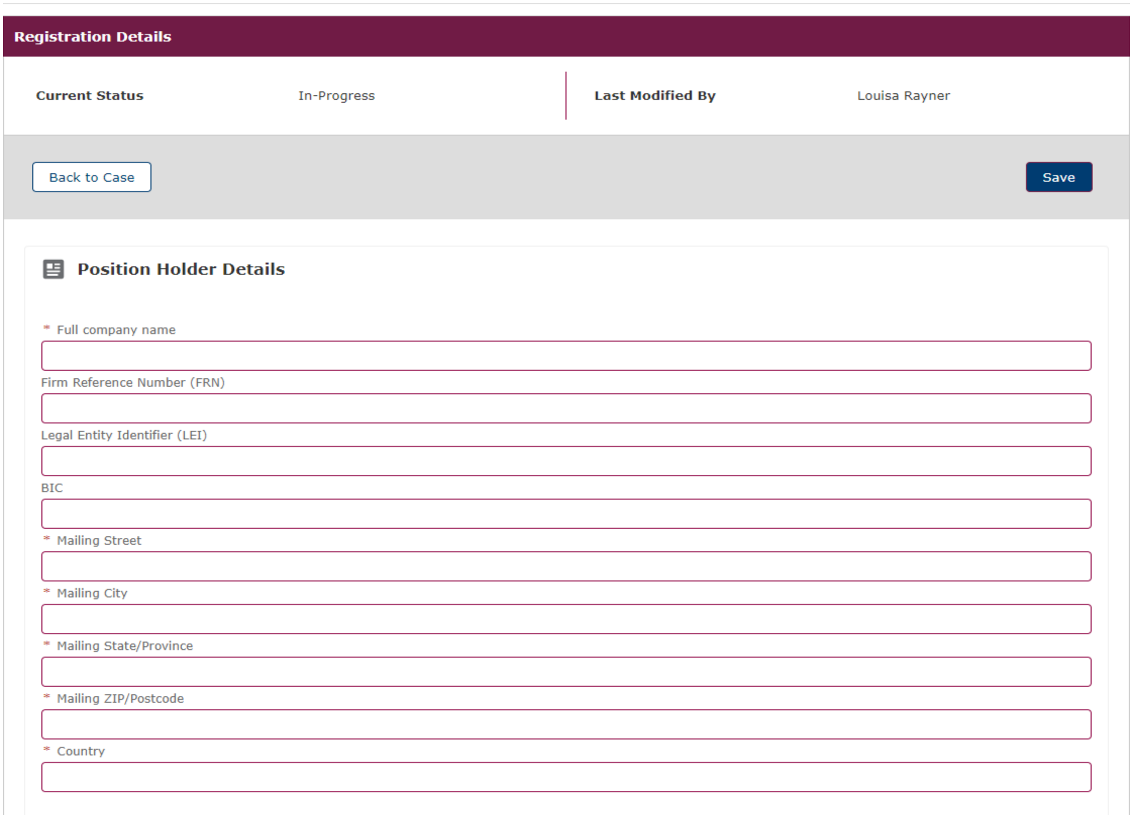
- **'Registration Details'** – complete Position Holder, Contact Person and Reporting Person data fields in this section.
- **'Document upload'** – upload supporting documents in this section.

Complete the Registration Details section:

Select the '**Start**' button in the **'Registration Details'** row.



Position Holder Details - complete all data fields to ensure we have comprehensive details.



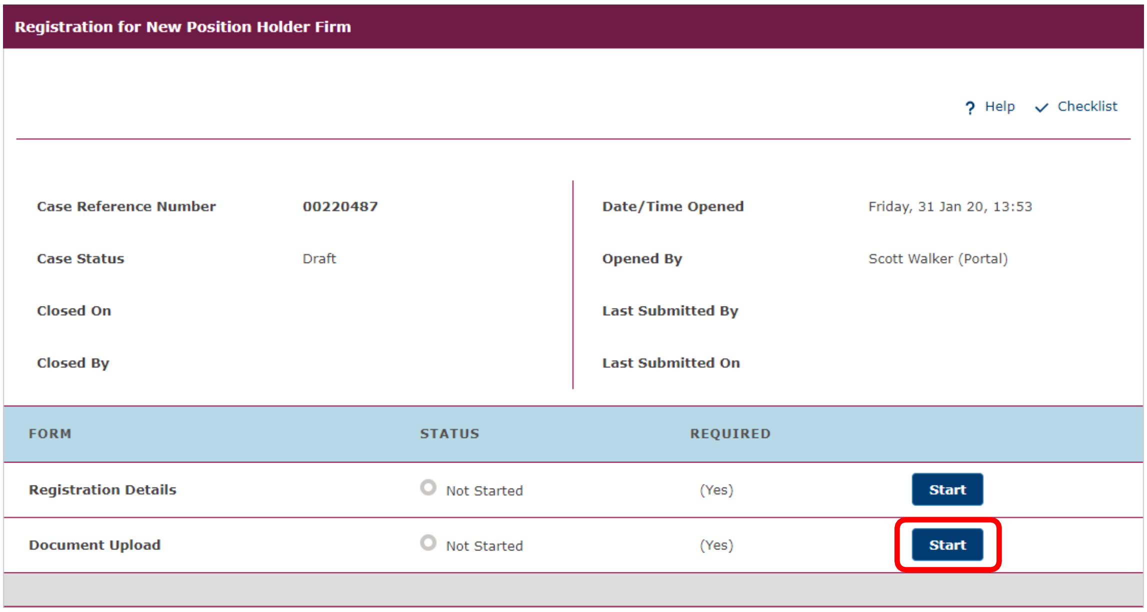
Contact Person:

- If you are the primary contact for the Position Holder then in the **'Is contact person different from reporting person?'** data field, select '**No**'.
- If the primary contact is not yourself then you should select '**Yes**.' You must then complete the primary contact person details section (as shown below)

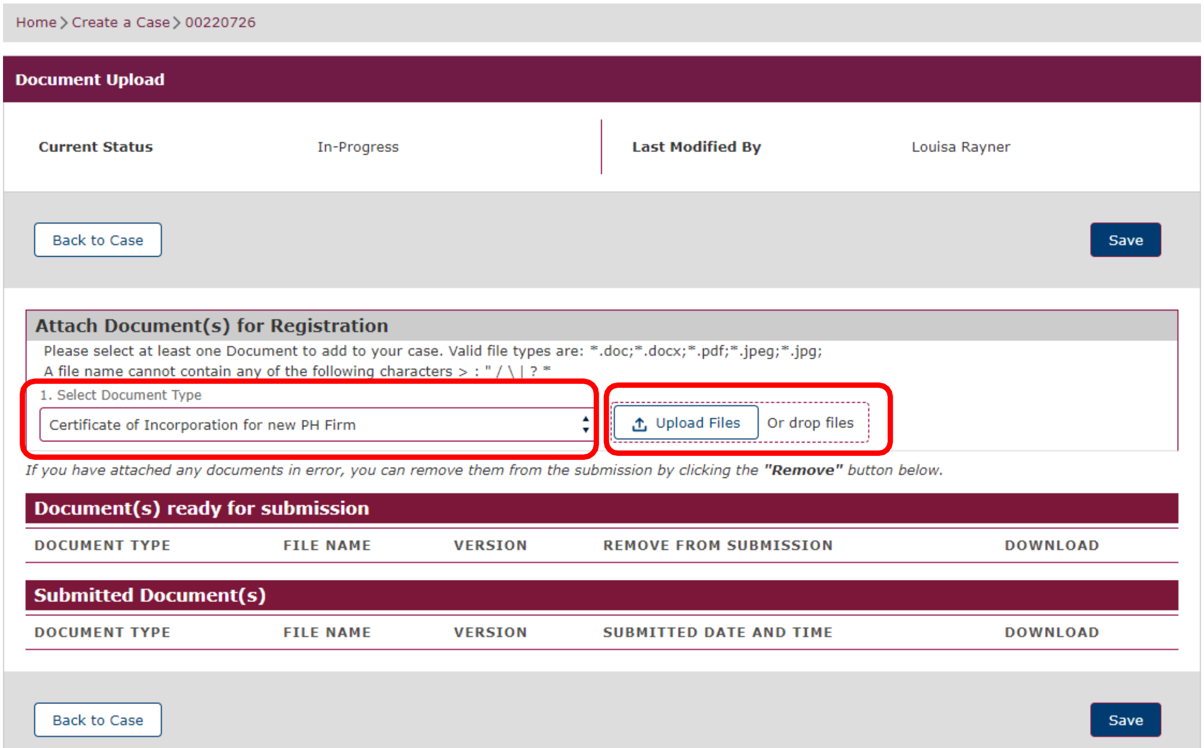
Once you have completed all mandatory data fields correctly, the status of the case will now change to **'Ready to Submit.'**

Complete the Document Upload section:

Select the '**Start'** button in the **'Document Upload'** row.



Upload all necessary documents to the case.



Select the relevant value from the drop-down list titled '**Select Document Type**.' Document types vary depending on the type of registration case you are working on. The available values across the 3 case types are:

Document types to upload to a case	SSR registration case type	Mandatory or optional to upload
Certificate of Incorporation - This is a document that proves the incorporation of the Position Holder and their address	Registration for New Position Holder	Mandatory

Authorisation Letter - This document must be on signed company letterhead and confirms that the individual reporting person is authorised to submit notifications on behalf of the Position Holder	Registration for Existing Position Holder	Mandatory
	Registration for New Position Holder	Mandatory
Proof of Identity –	Registration for New Position Holder Individual	Mandatory
Supporting Document – Any supporting document. These are typically proof of name changes from the original registration document.	All SSR Registration Case Types	Optional

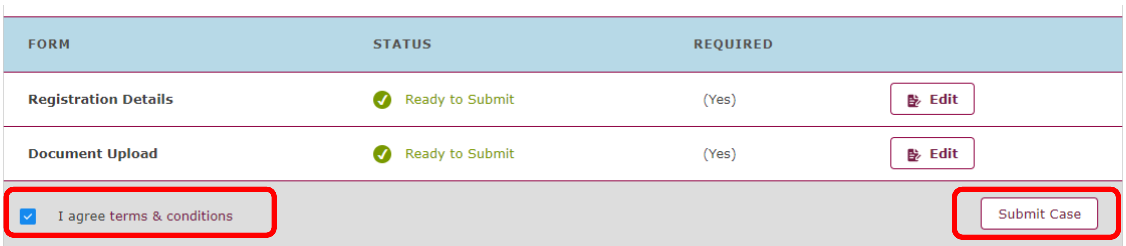
Select the '**Upload Files'** button to browse and select the document/s you wish to upload. Alternatively, drag and drop file/s into the '**Or Drop files**' text area.

Once the files have been uploaded to the case successfully, they will appear in the **'Document(s) ready for submission'** section and the status of the **'Document Upload'** section will change to '**Ready to Submit'**.

Select the **'Save'** button.

Step 3: Submit the Case

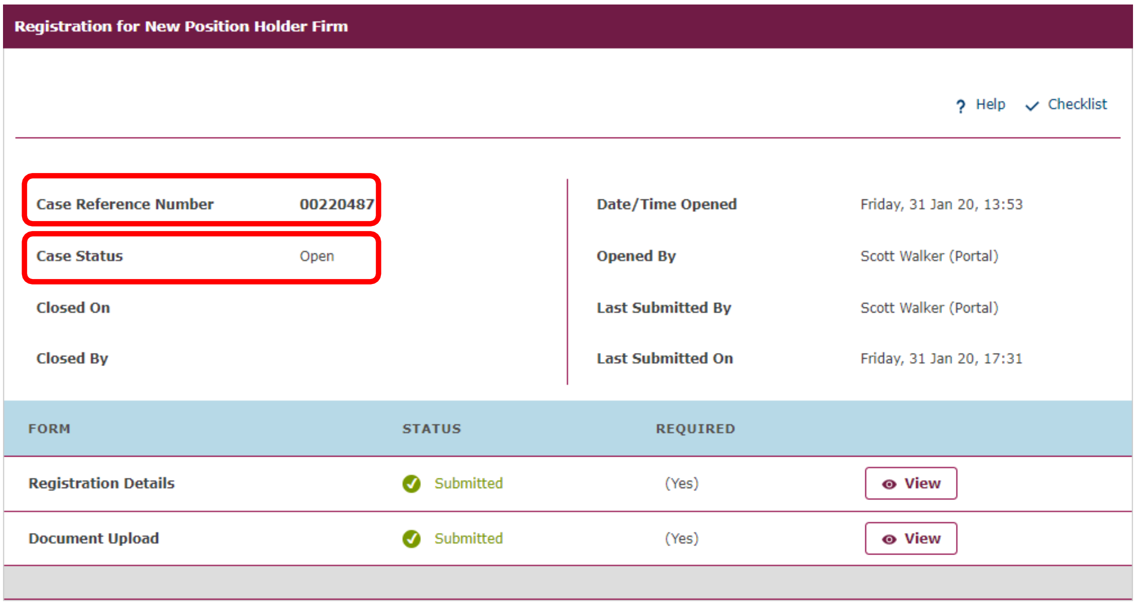
Click into the hyperlinked **'I agree terms & conditions'** text to read the submission terms and conditions. Click into the checkbox to confirm your agreement with the terms and conditions.



Once you have completed all necessary information in the case and agreed to the terms and conditions, the '**Submit Case'** button will be enabled (no longer greyed out). Select the '**Submit Case'** button to submit the case to us for review.

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

You will be redirected to the following page which provides you with a Case Reference Number and a Case Status (shown below).


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

Once a SSR registration 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.

The case status will remain open until a member of the Position Monitoring Unit has reviewed the registration form. Upon review, it will either be approved or rejected and the case will be closed. You will receive an email detailing the case outcome.

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

Short selling notification forms

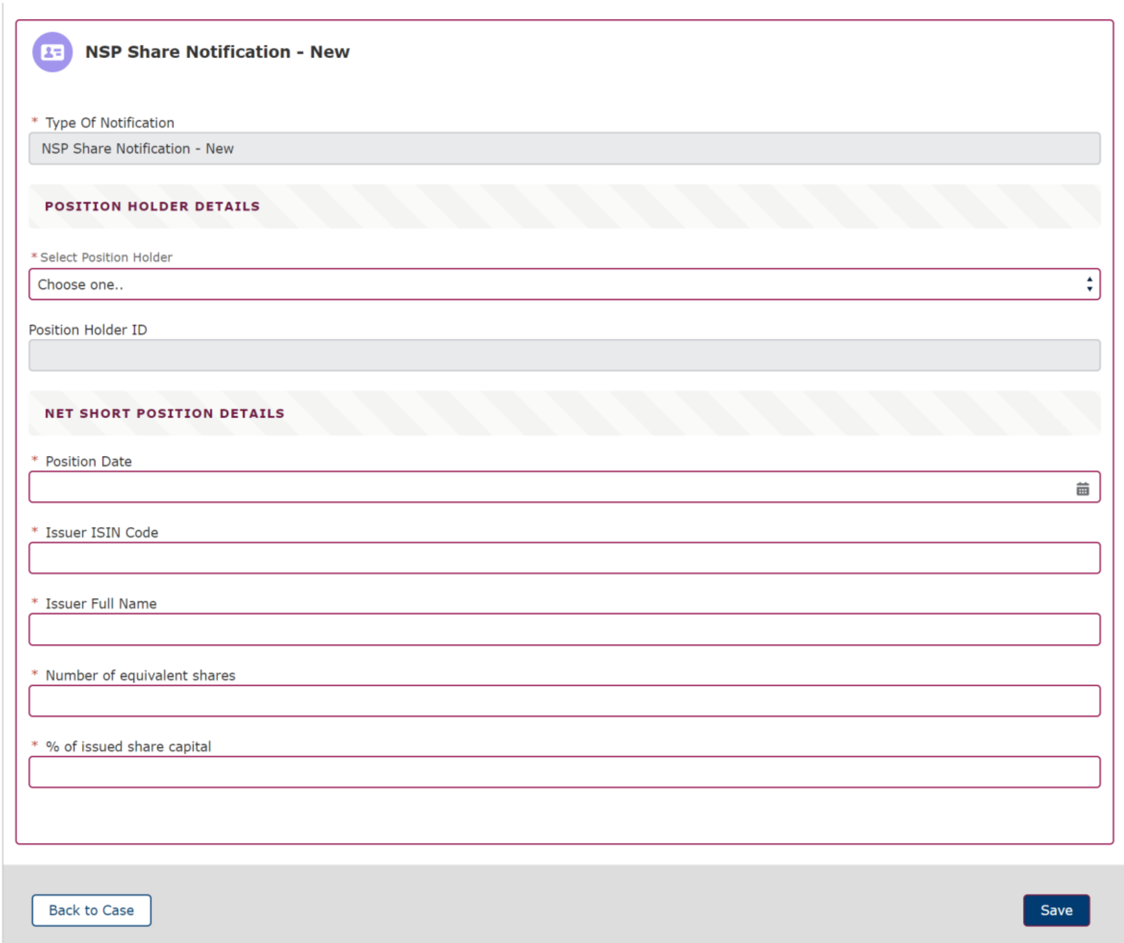
Once you have been registered as a reporting person on behalf of a Position Holder, you will then be able to submit short selling notifications. The option of **'Short Selling Notifications'** will now be available for selection from the **'Select Case Category'** screen.

Firstly, complete [Step 1: Create a new SSR case]

i. NSP Share Notification - New

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

Firstly, complete **[Step 1: Create a new SSR case](#)** and select the **'NSP Share Notification – New'** case type.



You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

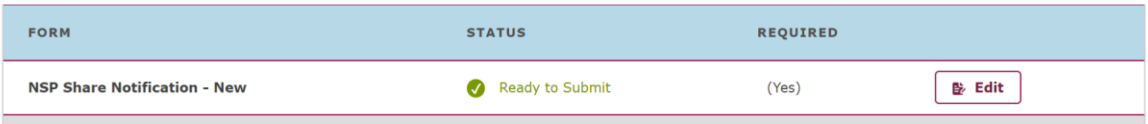
If any of the pre-populated values are incorrect, please notify us at:**pmu@fca.org.uk**

The system fields contain data validation combinations that will not allow you to submit a notification for an invalid scenario based on your last position. For example, if your last position disclosed for an ISIN was below the notifiable threshold of 0.2%, the system will not allow you to submit a notification below 0.2%.

You can save the record at any time by clicking the **'Save'** button.

Once you have entered valid values in all mandatory fields, ensure you click on the **'Save'** button. This will allow you to submit the notification.

The status of the case will now change to **'Ready to Submit'**.



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

Next complete **[Step 3: Submit the Case]** to send us your notification.

Once an SSR notification 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 once submitted.Please see the table below to understand what happens next.

Case Status		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 PMU.
Draft	The case will now be listed on the **Draft** tab of the **My Cases** page.	Your notification has not yet been submitted.

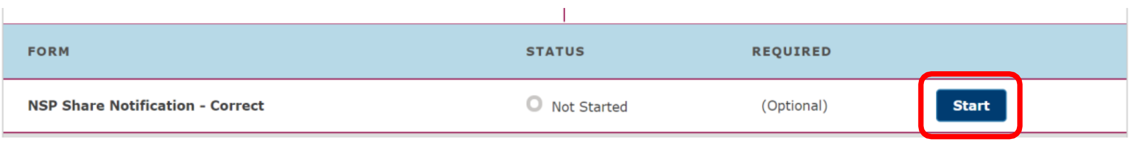
Once a notification case is submitted, you can still view the notification details.
You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

ii. NSP share notification – correct

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.

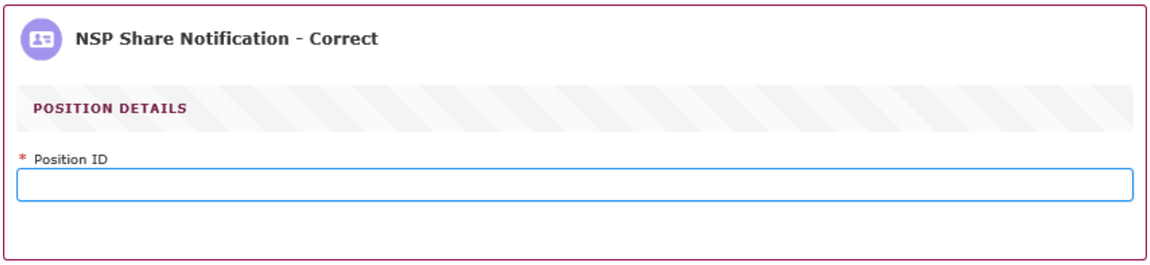
Firstly complete **[Step 1: Create a new SSR case]** and select the **'NSP Share Notification – Correct'** case type.

You will be redirected to an online case form. Select the **'Start'** button to continue.



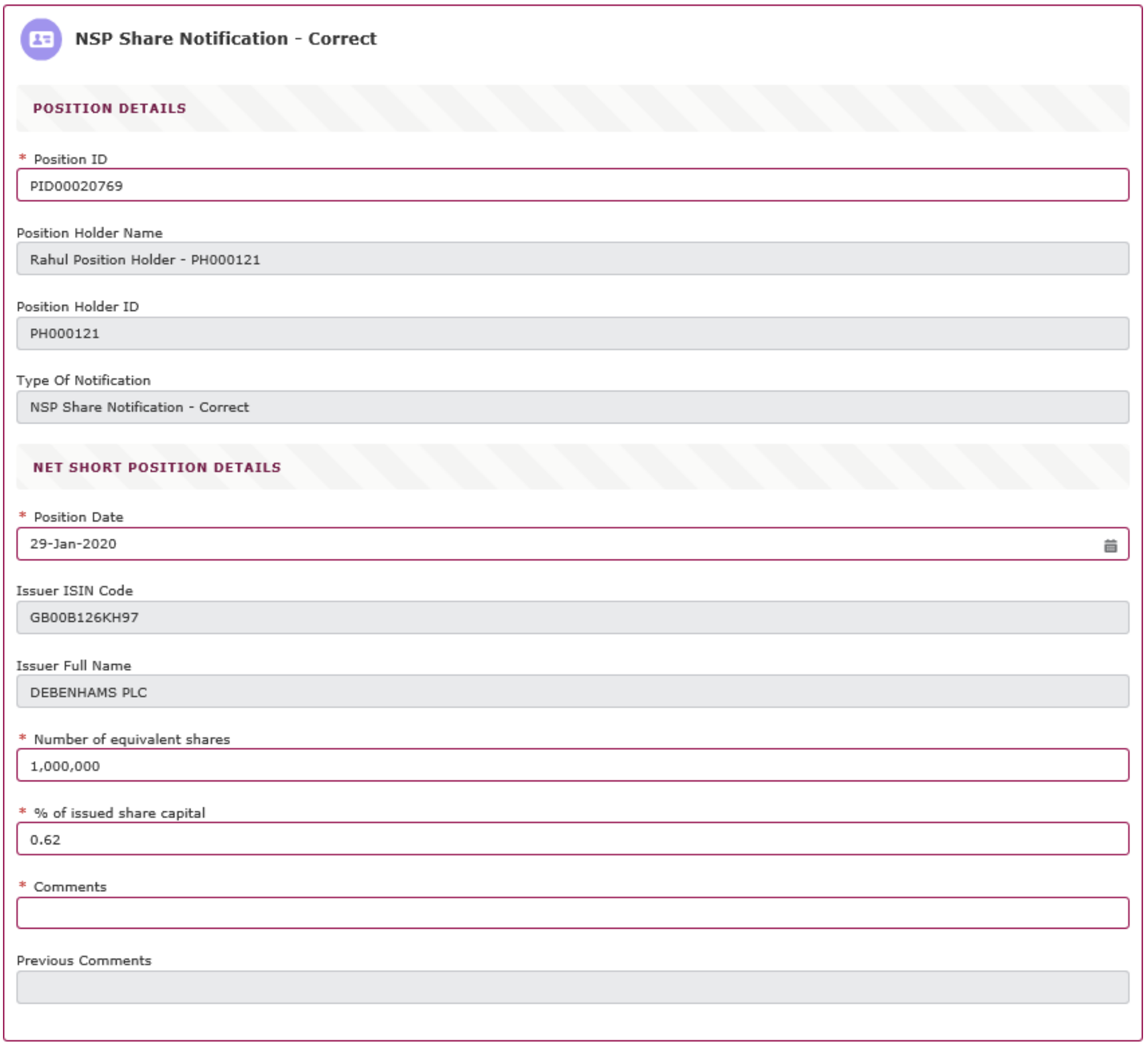
FORM	STATUS	REQUIRED	
NSP Share Notification - Correct	Not Started	(Optional)	Start

You will be redirected to the following screen:



Enter the **'Position ID'** related to the notification you would like to correct.

You will be redirected to the following online case form (shown below):



Complete the remainder of the form and then complete **[Step 3: Submit the Case](#)**.

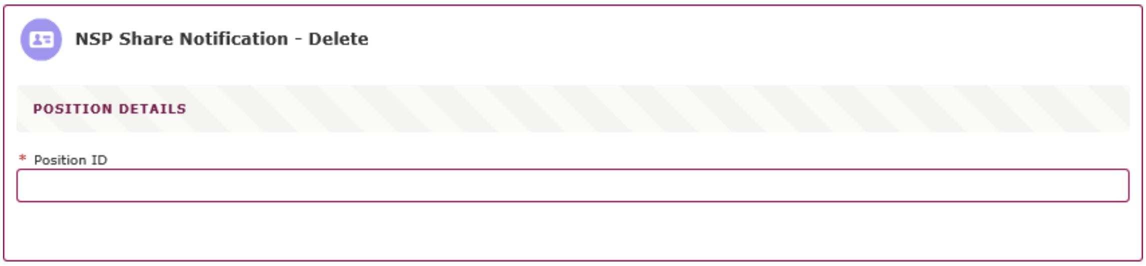
All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases.**

iii. NSP share notification - delete

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.

Firstly complete **Step 1: Create a new SSR case** and select the **'NSP Share Notification - Delete'** case type.

You will be redirected to the following screen:

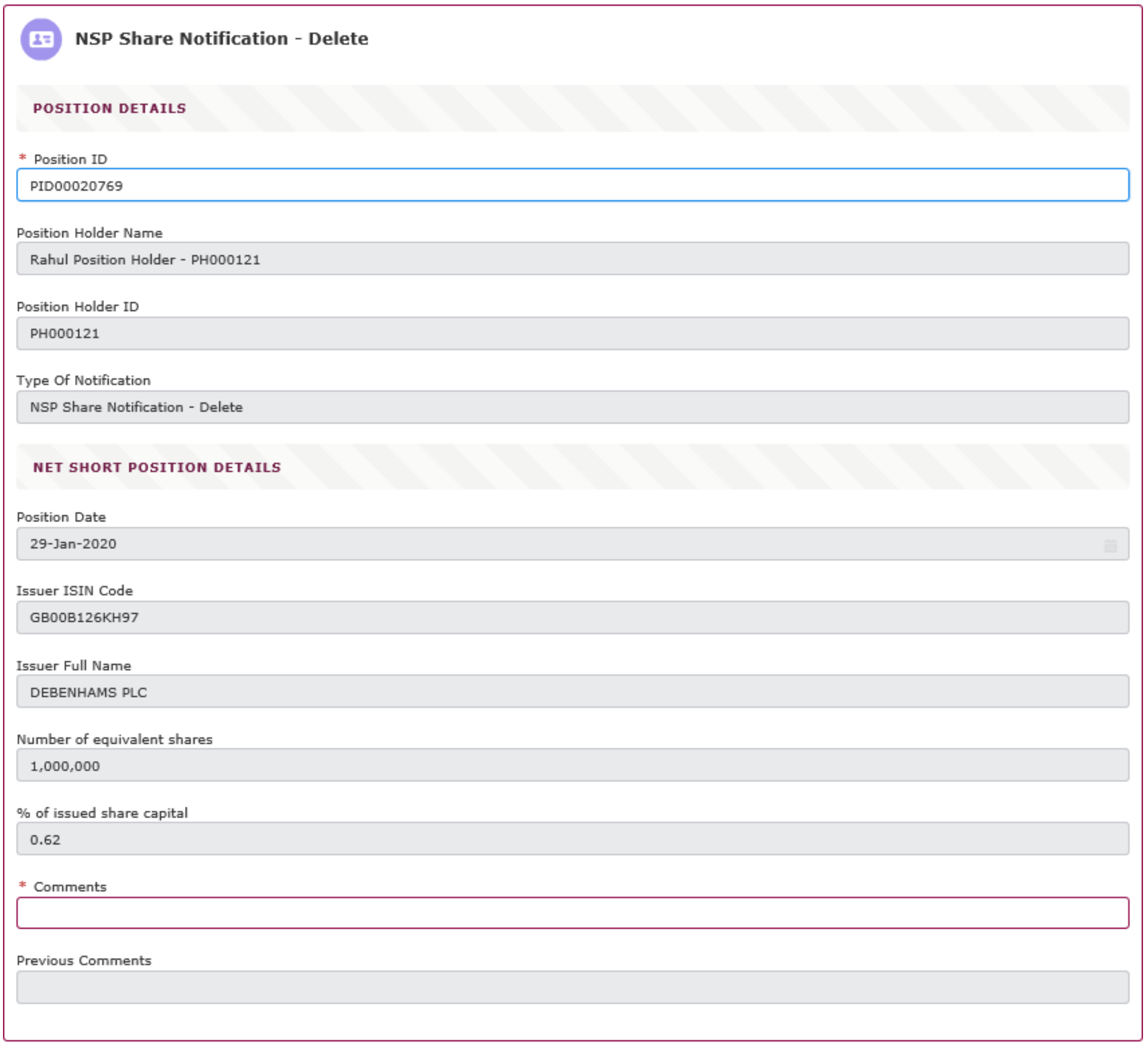

NSP Share Notification - Delete

POSITION DETAILS

* Position ID

Enter the **'Position ID'** related to the notification you would like to delete.

You will be redirected to the following online case form (shown below).


NSP Share Notification - Delete

POSITION DETAILS

* Position ID
PID00020769

Position Holder Name
Rahul Position Holder - PH000121

Position Holder ID
PH000121

Type Of Notification
NSP Share Notification - Delete

NET SHORT POSITION DETAILS

Position Date
29-Jan-2020

Issuer ISIN Code
GB00B126KH97

Issuer Full Name
DEBENHAMS PLC

Number of equivalent shares
1,000,000

% of issued share capital
0.62

* Comments

Previous Comments

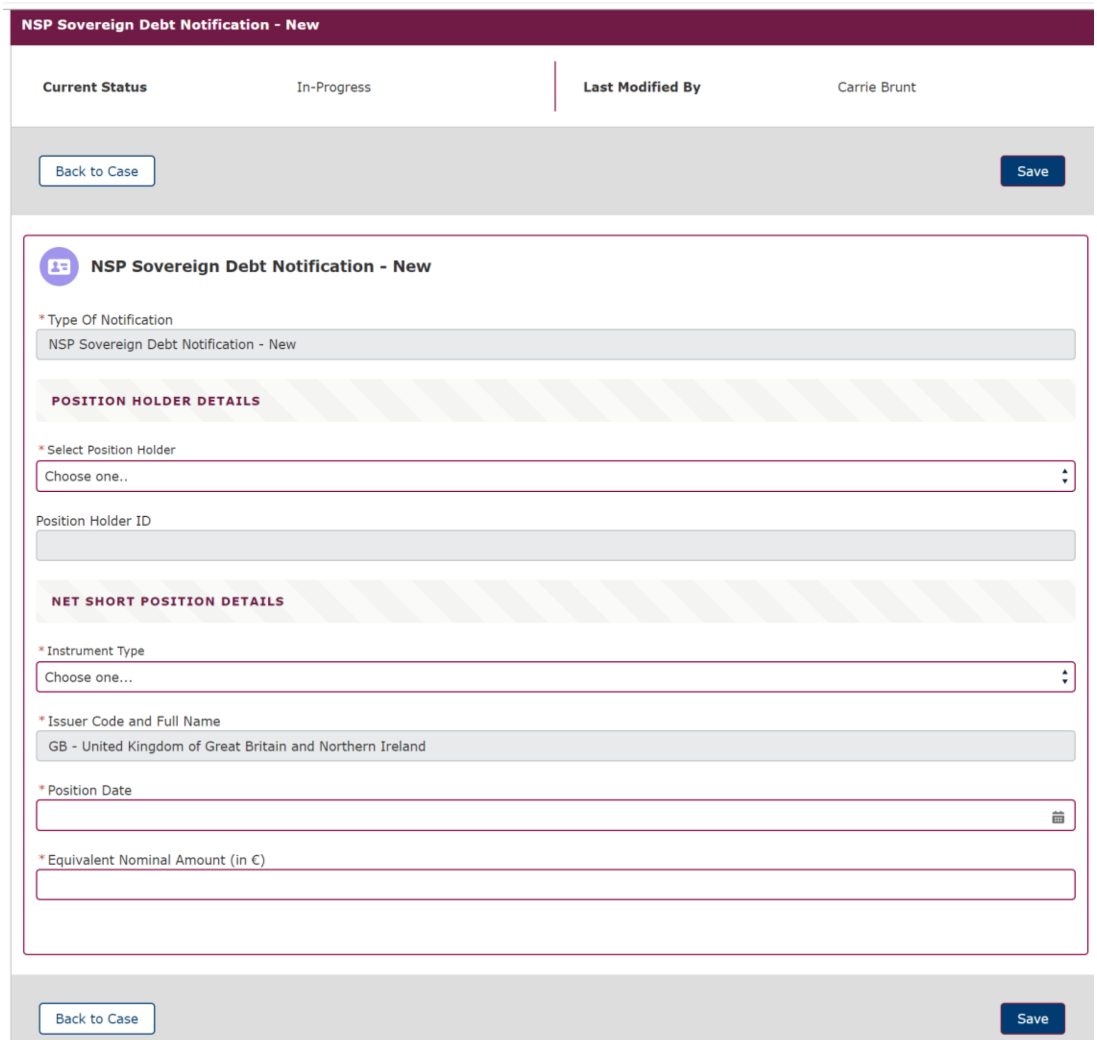
Complete the remainder of the form and then complete **Step 3: Submit the Case**.

All notification **delete cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases.**

iv. NSP sovereign debt notification – new

To notify us of a new sovereign debt position, you must complete the necessary fields within the **'NSP Sovereign Debt Notification – New'** online form (shown below).

Firstly complete **Step 1: Create a new SSR case** and select the **'NSP Sovereign Debt Notification – New'** case type.



You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

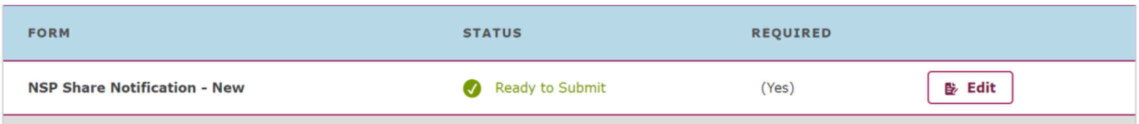
The Position Holder ID will be auto-populated and non-editable once you complete the **'Select Position Holder'** field.

If any of the pre-populated values are incorrect, please notify us at **pmu@fca.org.uk**.

You can save the record at any time by clicking the **'Save'** button.

Once you have entered valid values in all mandatory fields, ensure you click on the **'Save'** button. This will allow you to submit the notification.

The status of the case will now change to **'Ready to Submit'**.



Next complete **Step 3: Submit the Case** to send us your notification.

Once a NSP sovereign debt notification 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 once submitted. Please see the table below to understand what happens next.

Case Status		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 PMU.
Draft	The case will now be listed on the **Draft** tab of the **My Cases** page.	Your notification has not yet been submitted.

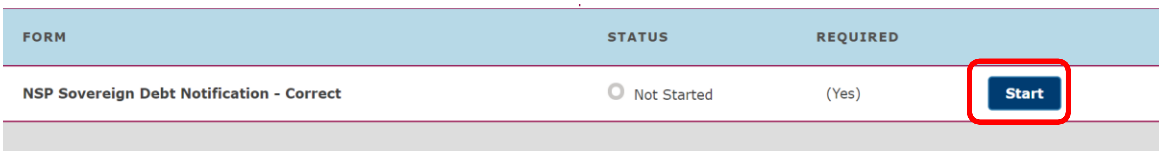
Once a notification case is submitted, you can still view the notification details. You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

v. NSP sovereign debt notification - correct

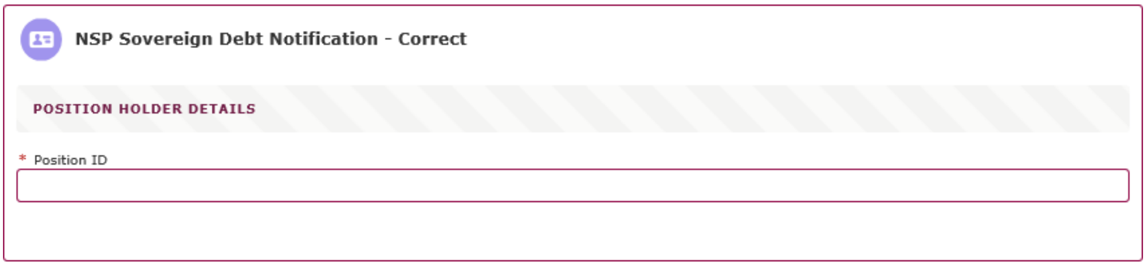
If you have submitted a **'NSP Sovereign Debt – New'** notification to us but some of the details were incorrect, you must notify us by completing and submitting a **'NSP Sovereign Debt Notification – Correct'** case type.

Firstly complete **Step 1: Create a new SSR case** and select the **'NSP Sovereign Debt Notification – Correct'** case type.

You will be redirected to the following screen. Select the **'Start'** button to continue.

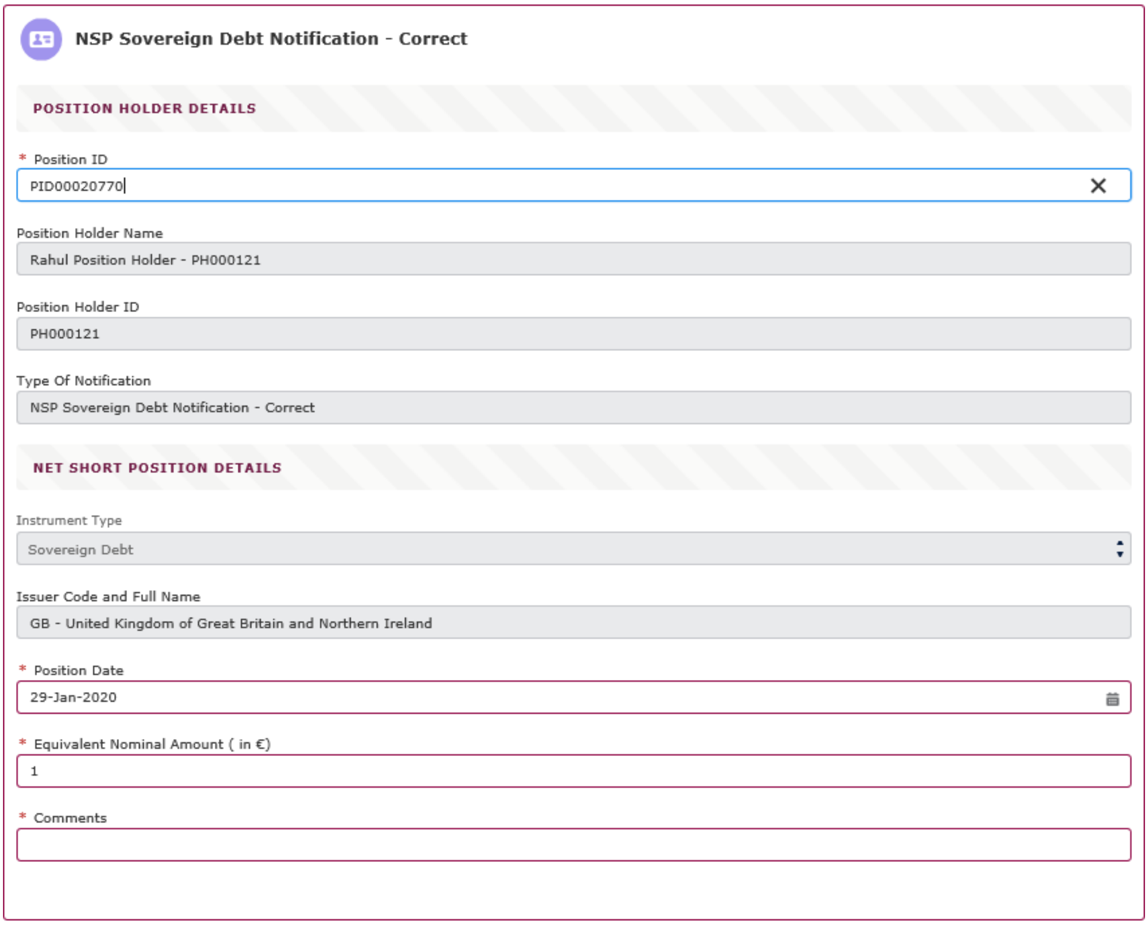


You will be redirected to the following screen:



Enter the **'Position ID'** related to the notification you would like to correct.

You will be redirected to the following online case form (shown below).



NSP Sovereign Debt Notification - Correct

POSITION HOLDER DETAILS

* Position ID
PID00020770

Position Holder Name
Rahul Position Holder - PH000121

Position Holder ID
PH000121

Type Of Notification
NSP Sovereign Debt Notification - Correct

NET SHORT POSITION DETAILS

Instrument Type
Sovereign Debt

Issuer Code and Full Name
GB - United Kingdom of Great Britain and Northern Ireland

* Position Date
29-Jan-2020

* Equivalent Nominal Amount (in €)
1

* Comments

Complete the remainder of the form and then complete **Step 3: Submit the Case**.

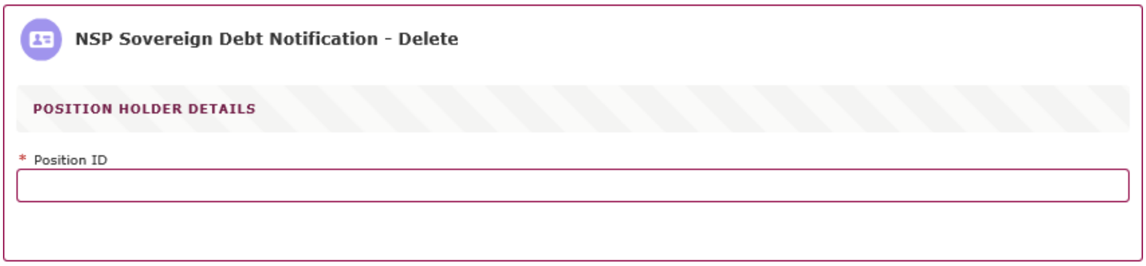
All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**

vi. NSP sovereign debt notification – delete

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

Firstly complete **Step 1: Create a new SSR case** and select the **'NSP Sovereign Debt Notification – Delete'** case type.

You will be redirected to the following screen:

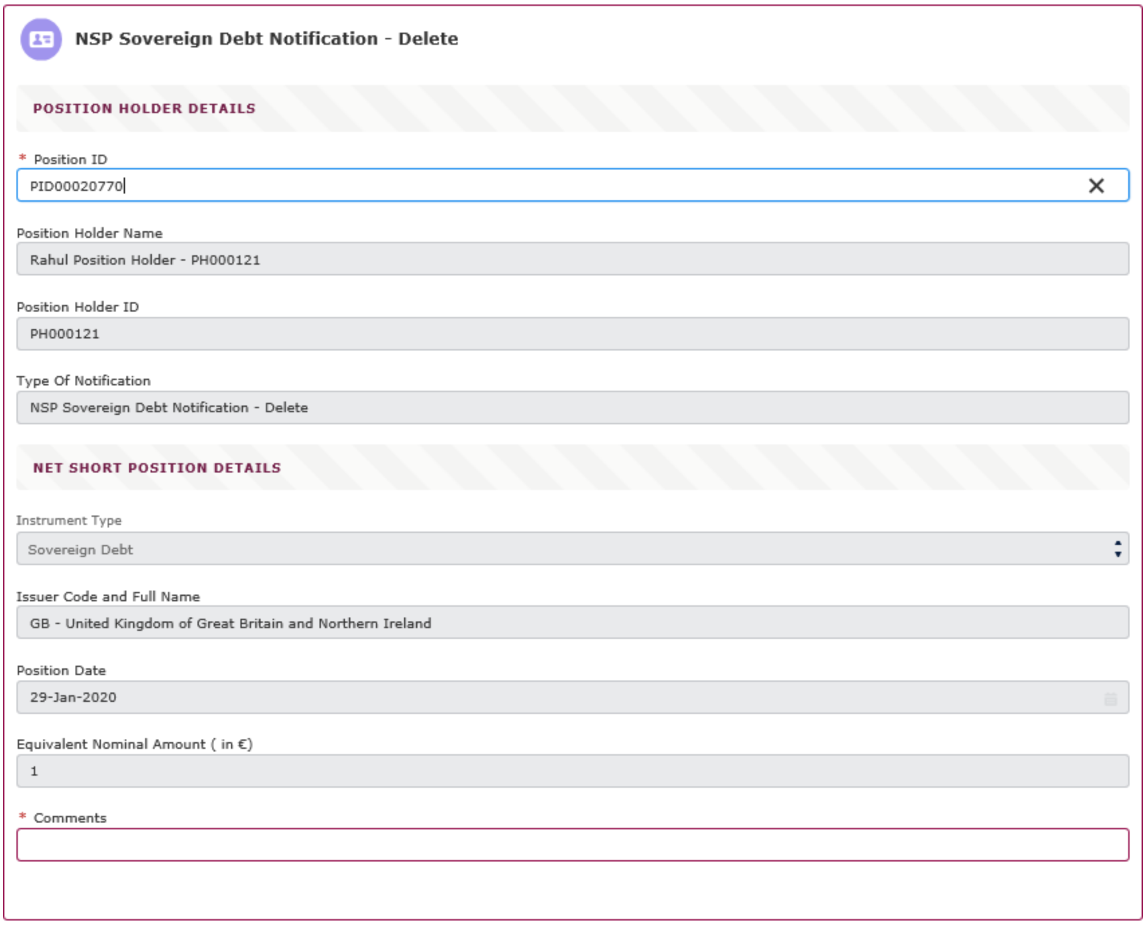

NSP Sovereign Debt Notification - Delete

POSITION HOLDER DETAILS

* Position ID

Enter a valid **'Position ID'** related to the notification you would like to delete.

You will be redirected to an online case form (shown below).


NSP Sovereign Debt Notification - Delete

POSITION HOLDER DETAILS

* Position ID
PID00020770

Position Holder Name
Rahul Position Holder - PH000121

Position Holder ID
PH000121

Type Of Notification
NSP Sovereign Debt Notification - Delete

NET SHORT POSITION DETAILS

Instrument Type
Sovereign Debt

Issuer Code and Full Name
GB - United Kingdom of Great Britain and Northern Ireland

Position Date
29-Jan-2020

Equivalent Nominal Amount (in €)
1

* Comments

Complete the remainder of the form and then complete **Step 3: Submit the Case .**

All notification delete cases will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, itis either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the Closed section of My Cases.

SSR 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 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 webpages or contact the Position Monitoring Unit (PMU) on:
PMU@fca.org.uk