

## Breach Notification Form

This form should be completed by firms where an adviser, who holds a current LIBF Statement of Professional Standing (SPS), is deemed to have breached FCA Regulations.

Once complete the form should be sent to: [spsbreaches@libf.ac.uk](mailto:spsbreaches@libf.ac.uk)

### REPORTING FIRM

Please include information about your firm and the representative who informs us of this breach

Name of Firm / Company \_\_\_\_\_

Firms Address \_\_\_\_\_

Postcode \_\_\_\_\_

Firms FCA Number (FRN) \_\_\_\_\_

### REPRESENTATIVE REPORTING THE BREACH

Name \_\_\_\_\_

Job position \_\_\_\_\_

Email \_\_\_\_\_

Phone Number \_\_\_\_\_

Signature \_\_\_\_\_

We will use this information to send an acknowledgement of your report and any other future correspondence in this matter. If you wish us to correspond with a different representative at your firm please let us know their name, email address and phone number

Name \_\_\_\_\_

Email \_\_\_\_\_

Phone Number \_\_\_\_\_

### ADVISER BEING REPORTED

Please include information about the adviser who is being reported for a breach of FCA regulations

LIBF Reference Number \_\_\_\_\_

Name \_\_\_\_\_

FCA Number (IRN) \_\_\_\_\_

SPS expiry date \_\_\_\_\_

Job description within your firm \_\_\_\_\_

Email address \_\_\_\_\_

Phone Number \_\_\_\_\_

The adviser needs to be aware that we may contact them directly in order to carry out our commitments to the FCA.

## THE BREACH

Please give key dates below (DD MM YYYY):

Incident occurred on or around \_\_\_\_ \_\_\_\_ \_\_\_\_\_

Date confirmed as 'reportable' \_\_\_\_ \_\_\_\_ \_\_\_\_\_ (this may be the same as date occurred)

Reported to the FCA on \_\_\_\_ \_\_\_\_ \_\_\_\_\_ by Name \_\_\_\_\_

Job Position \_\_\_\_\_

What rule / point of rule was breached \_\_\_\_\_

Who identified the breach (eg customer, colleague, supervisor etc) \_\_\_\_\_

## DETAILS OF THE BREACH

Please detail below information you have supplied to the FCA which has not been already requested on this form.

Including any actions taken / to be taken.

## UPDATES

Firms can use this section to record any updates the AB may need to know in the progress of any breach and its investigations