

Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5)

User Guide

2.1

March 2023

Contents

Overview	3
Before you start	3
Step 1 - How to complete the Electronic Submission System (ESS) registration	4
1.1 Accessing the ESS system	4
1.2 Registering for system access	4
1.3 Activating your ESS registration	8
1.4 If your ESS registration request is rejected.....	9
1.5 Logging in.....	9
1.6 Logging out.....	10
1.7 Help with using ESS.....	10
Step 2 - How to complete the Major Shareholdings Registration – DTR 5.....	11
2.1 Accessing the ESS system	11
2.2 Do you need to complete the registration process for Short Selling Regulation (SSR)?	12
2.3 Selecting your DTR 5 Registration Process.....	12
2.4 Registration for Existing Position Holder	14
2.5 Registration for New Position Holder Firm.....	20
2.6 Registration for New Position Holder Individual.....	25
3.0 Major Shareholdings Notification.....	32
3.1 Overview	32
3.2 My Cases Page.....	32
3.3 My Organisation – Position Holder View.....	33
3.4 Submitting a New Notification	33
3.4.1 Notification Details – New.....	36
Q1 - Issue Details.....	37
3.4.2 Shareholder and Voting Rights Details – New	42
3.4.3 Uploading a CSV File	50
3.4.4 Subsidiary Information and Additional Details – New	51
3.5 How to send a subsequent notification	58
3.6 How to correct an existing notification	61
3.6.1 Notification Details – Correct	63
3.7 How to delete an existing notification.	67
3.7.1 Notification Details – Delete.....	70
3.8 How to download the TR-1 Form.....	72
4.0 Help and Support	77

Overview

Under the Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5), shareholders and holders of financial instruments falling within DTR 5.3.1R (1) must submit a notification when a reportable threshold is crossed (DTR 5.1.2).

This User Guide has been prepared to enable you to complete the following activities:

- register to use the Electronic Submission System (ESS).
- register to submit a Major Shareholdings Notification under DTR 5.
- submit a new Major Shareholdings Notification.
- upload financial instruments by using a CSV file.
- send a subsequent Major Shareholdings Notification.
- correct an existing Major Shareholdings Notification.
- delete a Major Shareholdings Notification.

You can find additional information on submitting a Major Shareholdings Notification by visiting the [Shareholding notification and disclosure pages on the FCA.org.uk](#).

You can access the Disclosure Guidance and Transparency Rules Chapter 5 [here](#).

Before you start

We recommend you use **Google Chrome** or **Microsoft Edge (Chromium)** as your browser when accessing the Electronic Submission System (ESS).

Step 1 - How to complete the Electronic Submission System (ESS) registration



If you are already registered to use the Electronic Submission System (ESS) you do not need to complete Step 1 and can proceed immediately to Step 2.

1.1 Accessing the ESS system

If you wish to submit documents securely to the FCA, you will have to first register with the **Electronic Submission System** for access.

1.2 Registering for system access

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



The ESS does not accept group email addresses as it poses security risks so 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 simple procedures

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

Electronic Submission System Login

Important Notices
Any important notices will be displayed here.

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

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

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

EU Withdrawal
"The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and the EU. The FCA's Interpretative Guide on completing our forms after the UK's withdrawal from the EU Interpretative Guide on completing our forms after the UK's withdrawal from the EU does not apply during the implementation period and we have not amended our forms. Please complete forms as previously until further notice."

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Enter your registration details as required on ESS, 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 *

First Name *

Last Name *

Email Address *
Your email address will be your username. Please enter an individual work email address and not a group or consolidated email address.

Confirm Email Address *

Company Information

Company Name *

Mailing Street *

Mailing City *

Mailing State/Province

Mailing Zip/Postal Code *

Mailing Country *

Contact Number *
This must be your direct line telephone number, not a switchboard number.

Fax Number

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

When providing your registration details, please note:

- Your email address 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 named as 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 on the "Company Name" field.



Please note – If you are an individual who will only use ESS to submit Short Selling and/or Major shareholdings notifications, and are not associated to a firm, you can register for an ESS account with a personal email domain address, e.g. @ hotmail, @gmail etc. If you do so, you will not be permitted to submit any other notification type.

Click on **I Accept** to accept the terms and conditions



Electronic Submission System

Electronic Submission System - User Registration Request

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited. Please refer to the FCA Privacy Statement [here](#).

I Accept

Cancel

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When you click **I Accept**, you will see the **Registration confirmation** message and an email will be sent to your registered email address. At this point, your request is now with us for approval. Click on **OK** to complete the registration process.

Registration Confirmation

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

OK

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

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

1.3 Activating your ESS 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.

Change Your Password

Enter a new password for **david@bigcompanyplc.com**. Your password must have at least:

- ☐ 8 characters
- ☐ 1 uppercase letter
- ☐ 1 lowercase letter
- ☐ 1 number
- ☐ 1 special character ⓘ

* New Password

* Confirm New Password

Change Password

Password was last changed on 18.04.2018 16:37.

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

1.4 If your ESS 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.

1.5 Logging in

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.



Electronic Submission System

Electronic Submission System Login

Important Notices

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

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

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.

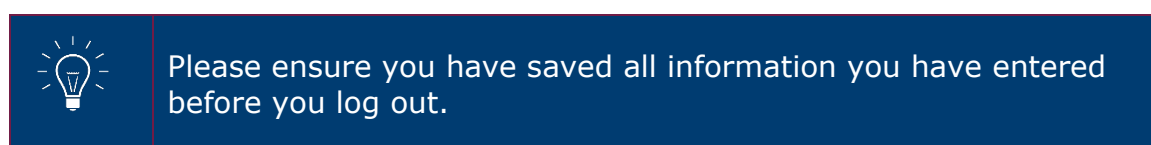
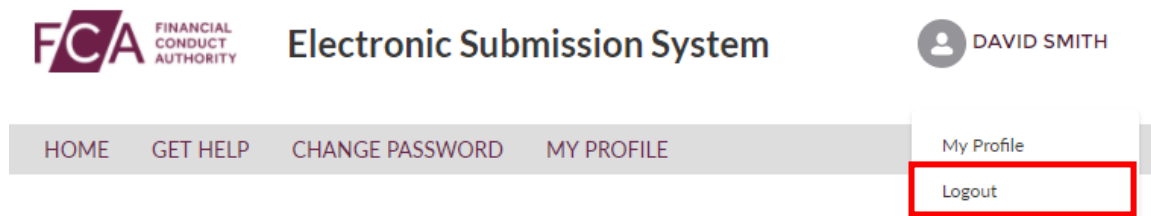
david@bigcompanyplc.com [Log Out](#)

Electronic Submission System Login
This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited.
Please refer to the FCA Privacy Statement [here](#).
☒ I Accept

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

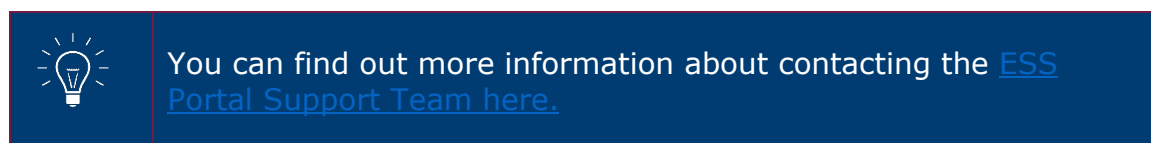
1.6 Logging out

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.



1.7 Help with using ESS.

If you need help or advice about using ESS then you can contact us.



Step 2 - How to complete the Major Shareholdings Registration – DTR 5

Once your ESS registration has been confirmed and you have activated your ESS account you are now able to complete Step 2 Major Shareholdings Registration – DTR 5 on ESS.

2.1 Accessing the ESS system

To begin the Step 2 registration process you will need to log into [ESS](#).

Login

Login to Electronic Submission System. [Need help?](#)

Username

?

Password

?

[Forgot Your Password?](#) | [Register for System Access](#)

Login

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

Electronic Submission System

ANGELA CORNELI

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

My Cases

Search...

Go

☒ Case Number ☐ Organisation Name

Drafts (2)

Submitted (2)

Closed (0)

Show 10 Search in 2 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00368777	PMU	Registration for New Position Holder Firm		12/11/2020 20:13
00368776	PMU	Registration for New Position Holder Firm		12/11/2020 20:11

Prev 1 Next

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[Accessibility Statement](#)

2.2 Do you need to complete the registration process for Short Selling Regulation (SSR)?

To be able to submit a net short position notification to us on behalf of a position holder (whether a firm or an individual), the person making the notification (the reporting person) must be registered with us.

If you are making notifications for yourself as an individual, you will still need to be registered as a reporting person beforehand.

You will not be able to send any notifications until we have accepted your registration.

You can complete your Short Selling Regulation Registration at the same time as completing your DTR 5 Registration.

2.3 Selecting your DTR 5 Registration Process

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

Electronic Submission System

ANGELA CORMELI

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

My Cases

Search...

Go

☒ Case Number ☐ Organisation Name

Drafts (2) Submitted (2) Closed (0)

Show 10 Search in 2 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00368777	PMU	Registration for New Position Holder Firm		12/11/2020 20:13
00368776	PMU	Registration for New Position Holder Firm		12/11/2020 20:11

Prev 1 Next

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Accessibility Statement

This will take you to the case categories page shown below

The screenshot shows the 'Electronic Submission System' interface. At the top right, a user profile for 'ANGELA CORMELI' is visible. A navigation bar contains links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this is a 'Case Categories' section with a search bar labeled 'Search Case Category or Case Type here to create a new case'. Underneath the search bar is a 'Select Case Category' menu with four options: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY', 'ISSUER MANAGEMENT', 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', and 'NATIONAL STORAGE MECHANISM'. Each option has a right-pointing chevron. At the bottom of the page, there is a copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved.' and a link to the 'Accessibility Statement'.

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

This is a close-up of the 'Select Case Category' menu from the previous screenshot. It shows the same four options. The option 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS' is highlighted with a red rectangular box.

You will then need to choose the appropriate case which best describes your situation, from the displayed list and then select the create case button.

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

You will also be able to complete your SSR: Short Selling Regulation registration process at the same time if you wish to do so.

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

ISSUER MANAGEMENT

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS

Registration for Existing Position Holder

Use this option to register as a reporting person for an already registered Position Holder.

Help

Create Case

Registration for New Position Holder Firm

Use this option to register a new Position Holder that is a firm, not an individual.

Help

Create Case

Registration for New Position Holder Individual

Use this option to register a new Position Holder Individual.

Help

Create Case

NATIONAL STORAGE MECHANISM

2.4 Registration for Existing Position Holder

Use this option to register as a reporting person for an already registered Position Holder

Once you have selected the Registration for Existing Position Holder you will be taken to the Registration Overview page as shown below.

Registration for Existing Position Holder

?

Help

✓

Checklist

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

Registration Details

Current Status

In-Progress

Last Modified By

Angela Cormell

Back to Case

Save

 **Position Holder Details**

* Position Holder ID

* Position Holder Full Company Name

 **Reporting Person Details**

First Name

Angela

Last Name

Cormell

Full company name

FCA

Mailing Street

The Financial Conduct Authority, 12 Endeavour Square

Mailing City

London

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for Existing Position Holder

 Help

 Checklist

Case Reference Number

00368784

Case Status

Draft

Closed On

Closed By

Date/Time Opened

Friday, 13 Nov 20 13:37

Opened By

Angela Cormell

Last Submitted By

Last Submitted On

FORM

STATUS

REQUIRED

Registration Details

 Ready to Submit

(Yes)

 Edit

Document Upload

 Not Started

(Yes)

Start

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

Document Upload

Current Status

In-Progress

Last Modified By

Angela Cornell

Back to Case

Save

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

☐

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☐

DTR5: Disclosure Guidance and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files

Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (Mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☒

DTR5: Disclosure and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files

Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document from the drop-down menu and then select Upload File to upload the document from your computer files.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --
Certificate of Incorporation
Authorisation Document for DTR5
Authorisation Letter for SSR or Combined Request
Supporting Document
Proof of Identity

Upload Files Or drop files

mission by clicking the "Remove" button below.

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
---------------	-----------	---------	------------------------	----------

Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **Save**.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Document(s) ready for submission

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Authorisation Document for DTR5	Authorisation Document for DTR 5.docx	1	Remove	Download

Submitted Document(s)

DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD
---------------	-----------	---------	-------------------------	----------

Back to Case
Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for Existing Position Holder

[? Help](#) [✓ Checklist](#)

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

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

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If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for Existing Position Holder

[? Help](#) [✓ Checklist](#)

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Open

Opened By

Angela Cornell

Closed On

Last Submitted By

Angela Cornell

Closed By

Last Submitted On

Friday, 13 Nov 20 14:40

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

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[Accessibility Statement](#)

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

2.5 Registration for New Position Holder Firm

Use this option to register a new Position Holder that is a firm, not an individual.

Once you have selected the Registration for New Position Holder Firm, you will be taken to the Registration Overview page as shown below.

Registration for New Position Holder Firm

[? Help](#) [✓ Checklist](#)

Case Reference Number	00368785	Date/Time Opened	Friday, 13 Nov 20 16:03
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

Position Holder Details

* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

* Mailing Street

* Mailing City

* Mailing State/Province

* Mailing ZIP/Postcode

* Country

REPORTING PERSON & CONTACT PERSON DETAILS

Contact Person

* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for New Position Holder Firm

? Help
✓ Checklist

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Draft	Opened By	Angela Cormell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	☐ Not Started	(Yes)	Start
Document Upload	☐ Not Started	(Yes)	Start

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

Document Upload

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

Back to Case
Save

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

☐ **SSR: Short Selling Regulation**
You will require the following documents
- Authorisation Letter (mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☐ **DTR5: Disclosure Guidance and Transparency Rules, Chapter 5**
You will require the following documents
- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration
Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *
1. Select Document Type
-- None --
Upload Files
Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (Mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☒

DTR5: Disclosure and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

📁

Upload Files

Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document from the drop-down menu and then select Upload File to upload the document from your computer files.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --
Certificate of Incorporation
Authorisation Document for DTR5
Authorisation Letter for SSR or Combined Request
Supporting Document
Proof of Identity

📁

Upload Files

Or drop files

mission by clicking the "Remove" button below.

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD

Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **Save**.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files
Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the **"Remove"** button below.

Document(s) ready for submission				
DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Authorisation Document for DTR5	Authorisation Document for DTR 5.docx	1	Remove	Download

Submitted Document(s)				
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

Back to Case
Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for New Position Holder Firm

? Help
✓ Checklist

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	✓ Ready to Submit	(Yes)	Edit

☒ I agree terms & conditions
Submit Case

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for New Position Holder Firm

[? Help](#)
[✓ Checklist](#)

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Open	Opened By	Angela Cormell
Closed On		Last Submitted By	Angela Cormell
Closed By		Last Submitted On	Friday, 13 Nov 20 20:52

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

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

2.6 Registration for New Position Holder Individual

Use this option to register a new Position Holder individual.

Once you have selected the Registration for New Position Holder Individual you will see the following advisory information has shown below. The box headed up 'Before you start' sets out the documents you will need to upload to ESS in order to complete the registration. For clarification, the advice is detailed below.

For short selling only:

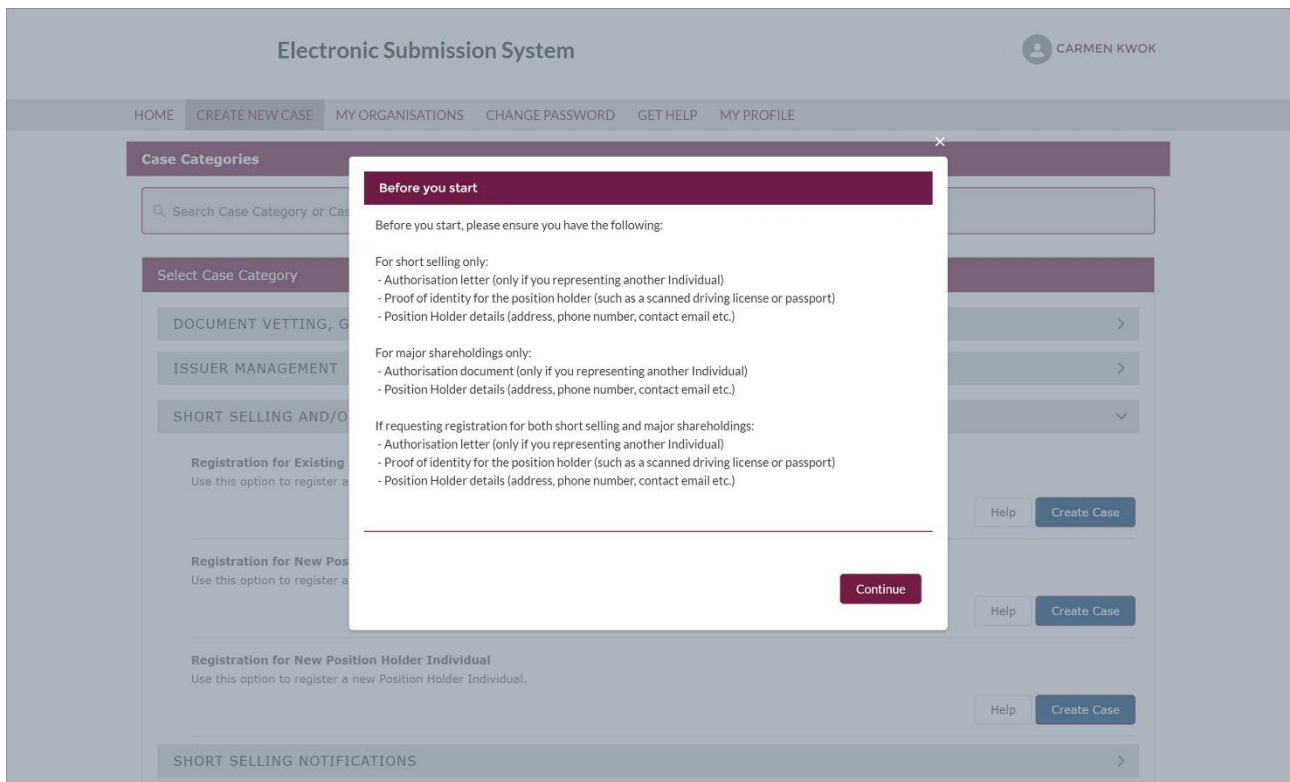
- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)

For major shareholdings only:

- Authorisation document (only if you are representing another Individual)
- Position Holder details (address, phone number, contact email etc.)

If requesting registration for both short selling and major shareholdings:

- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)



Once you have select **Continue** you will be taken to the Registration Overview page as shown below.

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

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

N.B Although the displayed proforma asks you to enter the full company name when registering as an individual please enter your personal details.

 **Position Holder Details**

If Request is for New Position Holder Individual, Please enter Individual Full name

Full company name

1

BIC

 **Position Holder Details**

* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

* Mailing Street

* Mailing City

* Mailing State/Province

* Mailing ZIP/Postcode

* Country

REPORTING PERSON & CONTACT PERSON DETAILS

 **Contact Person**

* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for New Position Holder Individual

[? Help](#)
[✓ Checklist](#)

Case Reference Number

00368788

Date/Time Opened

Friday, 13 Nov 20 21:01

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box.

Document Upload

Current Status

In-Progress

Last Modified By

Carmen Kwok

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

☐

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (mandatory if you are representing another individual)
- Proof of Identity (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☐

DTR5: Disclosure and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory if you are representing another individual)
- Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

[Upload Files](#)
Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the **"Remove"** button below.

Document(s) ready for submission				
DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD

Submitted Document(s)				
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒
SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (Mandatory)
 - Certificate of Incorporation (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☒
DTR5: Disclosure and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory)
 - Any other supporting documents (optional)

Attach Document(s) for Registration
 Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *
 1. Select Document Type

-- None --

Upload Files
 Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

Document Upload

Current Status

In-Progress

Last Modified By

Carmen Kwok

Back to Case

Save

☐
SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (mandatory if you are representing another individual)
 - Proof of Identity (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☐
DTR5: Disclosure and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory if you are representing another Individual)
 - Any other supporting documents (optional)

Attach Document(s) for Registration
 Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *
 1. Select Document Type

-- None --

Upload Files
 Or drop files

Proof of Identity

Supporting Document for new PH Individual

DOCUMENT TYPE

FILE NAME

VERSION

REMOVE FROM SUBMISSION

DOWNLOAD

Submitted Document(s)

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for New Position Holder Individual

[? Help](#) [✓ Checklist](#)

Case Reference Number	00368788	Date/Time Opened	Friday, 13 Nov 20 21:01
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	✓ Ready to Submit	(Yes)	Edit

☒ I agree terms & conditions

Submit Case

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for New Position Holder Individual

? Help
✓ Checklist

Case Reference Number	00368788	Date/Time Opened	Friday, 13 Nov 20 21:01
Case Status	Open	Opened By	Angela Cormell
Closed On		Last Submitted By	Angela Cormell
Closed By		Last Submitted On	Friday, 13 Nov 20 21:14

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

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

3.0 Major Shareholdings Notification

3.1 Overview

Section 3 provides step by step guidance on the processes you will need to complete in order to:

- submit a new notification – [section 3.4](#)
- upload financial instruments by using a CSV file – [section 3.4.3](#)
- send a subsequent notification – [section 3.5](#)
- correct an existing notification – [section 3.6](#)
- delete a notification – [section 3.7](#)
- download a submitted TR-1 Form – [section 3.8](#)

3.2 My Cases Page

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

Electronic Submission System 

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

 My Cases

☒ Case Number ☐ Organisation Name

Drafts (9) Submitted (1) Closed (1)

Show 10 Search in 9 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00221077	NSM	NSM Authorisation		13/02/2020 08:05
00220957	NSM	NSM Authorisation		10/02/2020 14:37
00220956	NSM	NSM Authorisation		10/02/2020 14:36
00220774	NSM	NSM Authorisation		06/02/2020 14:19
00220662	NSM	NSM Authorisation		04/02/2020 13:09
00220660	NSM	NSM File Upload		04/02/2020 13:07
00220581	NSM	NSM Authorisation		03/02/2020 16:25
00219942	PMU	Registration for Existing Position Holder		20/01/2020 10:57
00219125	PMU	Registration for Existing Position Holder		17/12/2019 15:13

Prev 1 Next

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

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

3.3 My Organisation – Position Holder View

This view displays your Position Holder information, your Position Holder ID, the Permission level you hold, and details of your Organisation. You will also be able to view the other Position Holders that you are registered for from this screen.

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

 1 it

Show 10

Search in 1 records

ORGANISATION	ORGANISATION TYPE	POSITION HOLDER ID	LEI	MY PERMISSIONS
FCA Smoke Test Position Holder	Position Holder	PH002158		Reporting Person - DTR5;Contact Person;Reporting Person - SSR

Prev

1

Next

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[Accessibility Statement](#)

3.4 Submitting a New Notification

Select **Create a New Case** from the Menu. The following page will be displayed, you will then need to select **Major Shareholdings Notification** section as shown below.

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

Case Categories

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

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >

ISSUER MANAGEMENT >

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >

SHORT SELLING NOTIFICATIONS >

MAJOR SHAREHOLDINGS NOTIFICATION >

NATIONAL STORAGE MECHANISM >

ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

The following screen will be displayed from which you will select **Major Shareholdings Notification – New**.

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION** v

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

Help Create Case

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

Help Create Case

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

Help Create Case

Once you have selected **Create Case** the following pop-up notification will be displayed, you will need to select continue to close the pop-up box.

Before you start

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

Continue

The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form which has been divided into three mandatory sections:

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

To begin the submission process, you should navigate to 'Notification Details – New' and select the Start button which will take you to the first part of the form.

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

Major Shareholdings Notification - New

?

 Help

✓

 Checklist

Case Reference Number

00370651

Case Status

Draft

Closed On

Closed By

Date/Time Opened

Thursday, 04 Mar 21 11:14

Opened By

Angela Cornell

Last Submitted By

Last Submitted On

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

3.4.1 Notification Details – New

Home > Create a Case > 00370758

Notification Details - New

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

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

Notification Details - New

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTRS) available on the following link:
[DTRS - FCA Handbook](#)

1. Issuer Details

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

[Search by ISIN](#) [Search](#) [Clear](#)

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

* ISIN

* Issuer Name

* UK or Non-UK Issuer

2. Reason for Notification

* Select Option(s) ⓘ

Available

Chosen

An acquisition or disposal of voting rights

An acquisition or disposal of financial instruments

An event changing the breakdown of voting

Other

3. Details of person subject to the notification obligation

ⓘ

* Name

City of registered office (if applicable)

Country of registered office (if applicable)

[Add](#)

4. Details of the shareholder

* Is the shareholder the same as the person subject to the notification obligation, above?

5. Date on which the threshold was crossed or reached

* Select Date ⓘ

6. Date on which Issuer notified

* Select Date ⓘ

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

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](#).

Q1 - Issue Details

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

Notification Details - New

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link: [DTR5 - FCA Handbook](#)

1. Issuer Details

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

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

* ISIN
GB000687A123

* Issuer Name

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

Search Results

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

LEI	Issuer Name	Action
213800AWDQ43JNVGGI23	WILLIAM SMITH A FIRM	<button>Select</button>

Cancel

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

This will complete the **ISIN** and **Issuer Name** boxes. You will then need to complete the final box by choosing if the Issuer is a **UK or Non-UK Issuer** from the drop- down list.

1. Issuer Details

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

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

* ISIN
GB000687A123

* Issuer Name
WILLIAM SMITH A FIRM

* UK or Non-UK Issuer
UK

Q2 - Reason for Notification

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

2. Reason for Notification

* Select Option(s) ⓘ

Available

- An acquisition or disposal of financial instruments
- An event changing the breakdown of voting
- Other

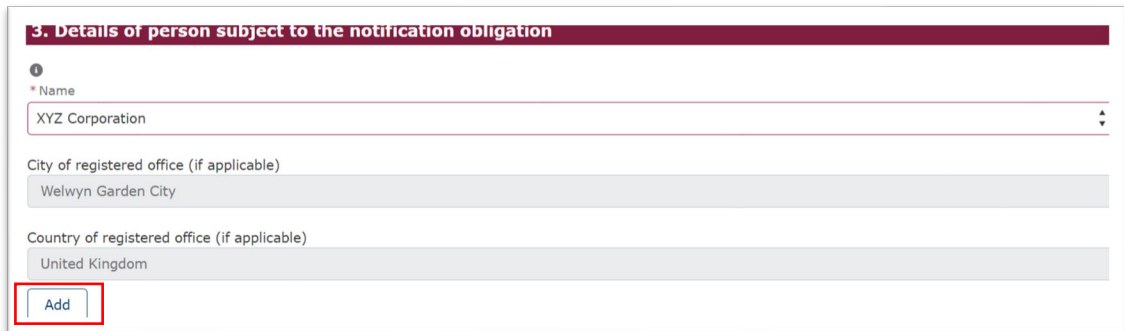
Chosen

An acquisition or disposal of voting rights

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

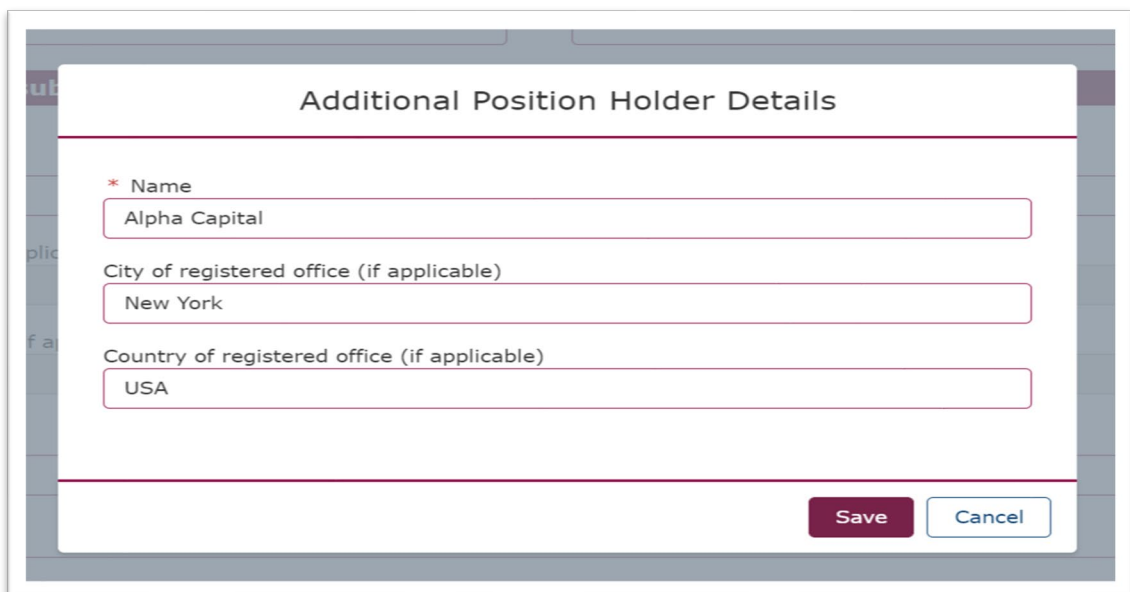
Q3 - Details of person subject to the notification obligation

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.



The screenshot shows a form titled "3. Details of person subject to the notification obligation". It contains three input fields: "Name" with a dropdown menu showing "XYZ Corporation", "City of registered office (if applicable)" with a text box containing "Welwyn Garden City", and "Country of registered office (if applicable)" with a text box containing "United Kingdom". Below these fields is a red-bordered button labeled "Add".

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.



The screenshot shows a dialog box titled "Additional Position Holder Details". It contains three input fields: "Name" with a text box containing "Alpha Capital", "City of registered office (if applicable)" with a text box containing "New York", and "Country of registered office (if applicable)" with a text box containing "USA". At the bottom right of the dialog are two buttons: "Save" and "Cancel".

3. Details of person subject to the notification obligation

* Name

XYZ Corporation

City of registered office (if applicable)

Welwyn Garden City

Country of registered office (if applicable)

United Kingdom

Add

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

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

Additional persons subject to the notification obligation

* Name

Mark Morgan

City of registered office (if applicable)

Country of registered office (if applicable)

Save

Cancel

Q4 - Details of the shareholder

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

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

4. Details of the shareholder

* Is the shareholder the same as the person subject to the notification obligation, above?

No

Add

Additional Shareholder Details

* Full name of shareholder ⓘ

XYZ Subsidiary 1

City of registered office (if applicable)

New York

Country of registered office (if applicable)

USA

Save Cancel

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

4. Details of the shareholder

* Is the shareholder the same as the person subject to the notification obligation, above?

No

Add

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

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

Q5 – Date on which the threshold was crossed or reached

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

5. Date on which the threshold was crossed or reached

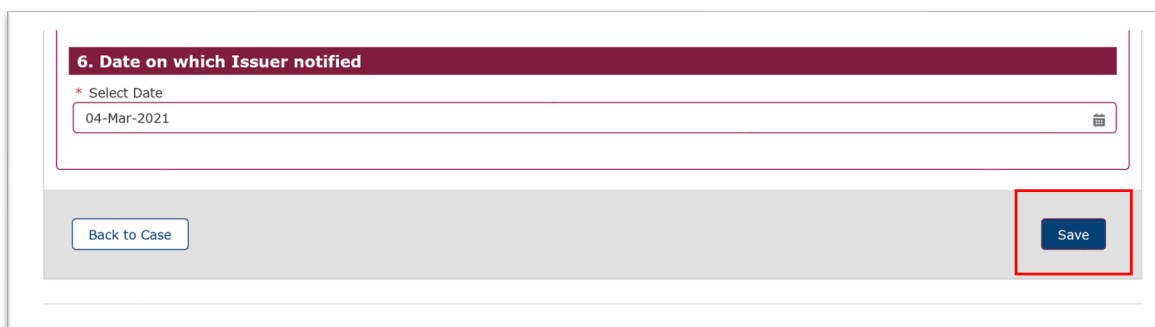
* Select Date ⓘ

03-Mar-2021

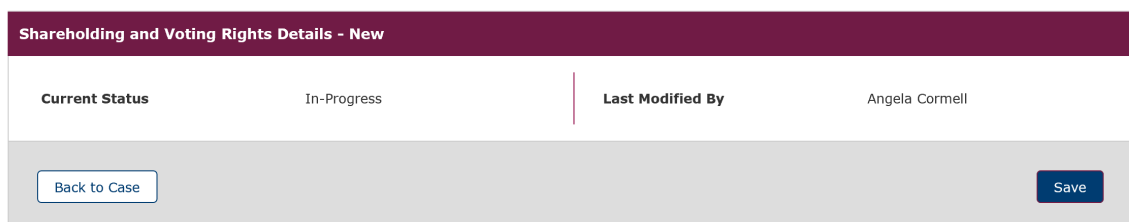
× 📅

Q6 – 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.



3.4.2 Shareholder and Voting Rights Details – New

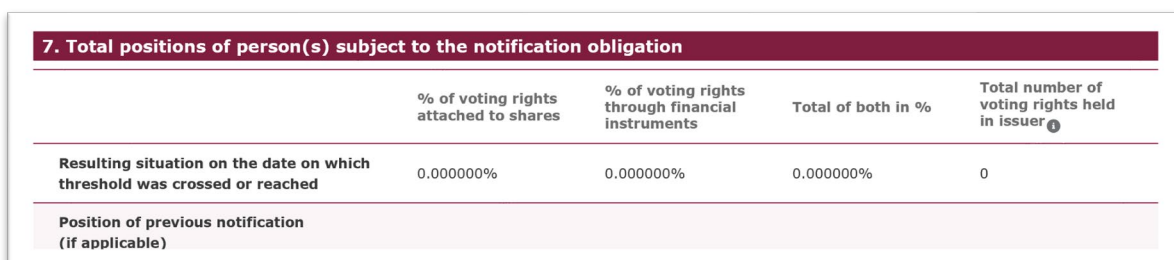


This section requires the completion of 2 questions:

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.



	% of voting rights attached to shares	% of voting rights through financial instruments	Total of both in %	Total number of voting rights held in issuer ①
Resulting situation on the date on which threshold was crossed or reached	0.000000%	0.000000%	0.000000%	0
Position of previous notification (if applicable)				

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

Select the reason for notifications from the **Available** (left hand box) and move this to the **Chosen** (right hand box) by clicking on the arrow icon.
Each selection will open a corresponding box which you will need to complete.

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

* 8.1 Which of the following sections will you complete? ⓘ

Available

Chosen

▶ Section 8B2

◀ Section 8A

Section 8B1

8A. Voting rights attached to shares

Add

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☐

No

Add

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

Do you want to upload records using csv template ☐

No

Add

Question 8A – Voting rights attached to shares

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

The screenshot shows a web form titled "Voting rights attached to shares" with an information icon. The form contains the following fields and values:

Field Label	Value
Class/Type of Shares (ISIN Code)	GB2345678901
Number of Direct Voting Rights (DTR5.1)	1,000,000
Number of Indirect Voting Rights (DTR5.2.1)	500,000
% of Direct Voting Rights (DTR5.1)	5.000000%
% of Indirect Voting Rights (DTR5.2.1)	2.500000%

At the bottom right, there are "Save" and "Cancel" buttons.

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:

The screenshot shows a web form titled "Financial Instruments according to (DTR5.3.1R.(1) (a))" with an information icon. The form contains the following fields and values:

Field Label	Value
Type of financial instrument	Securities Lending
Expiration date	Open
Exercise/conversion period	any time
Number of voting rights that may be acquired if the instrument is exercised/converted	250,000
% of voting rights	1.250000%

At the bottom right, there are "Save" and "Cancel" buttons.

Alternatively, you can also select the option to upload a CSV file. This will require you to download a CSV file template, populate this with the information as required in the description, save it on your desktop and then upload it correctly. See the below example:

Click on the toggle to upload records using a csv file

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).
b. Expiration date (if available – non-mandatory).
c. Exercise/conversion period (if available – non-mandatory).
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

[Click here to download template for Section 8B1](#)

Please upload the CSV template

Download a CSV file template

* 8.1 Which of the following sections will you complete? ⓘ

Available

Section 8A
Section 8B2

Chosen

Section 8B1

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).
b. Expiration date (if available – non-mandatory).
c. Exercise/conversion period (if available – non-mandatory).
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

[Click here to download template for Section 8B1](#)

Please upload the CSV template

Do you want to save **Section 8B1.csv** (177 bytes) from **elsu-fcmarketoversight.cs81.force.com?**

Correctly populate CSV file and save it on your desktop:

	A	B	C	D	E	F
1	Type of financial instrument	Expiration date	Exercise/conversion period	Number of voting	% of voting rights	
2	Shares on loan	Open	any time	200000	1.00001	
3	Futures	14/12/2021	any time	100000	0.5	
4	Repurchase agreement	20/08/2021		250000	1.25	
5						
6						

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

Click here to download template for Section 8B1

Please upload the CSV template

Section 8B1 DEMO.csv

Confirmation

3 Out of 3 record(s) passed validation. 0 Out of 3 record(s) failed validation. Do you want to upload the record(s) that passed validation?

TYPE OF FINANCIAL INSTRUMENT

% OF VOTING RIGHTS

Records will be uploaded in Section 8B1 as follows:

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☐ No

Show Search in 4 records

TYPE OF FINANCIAL INSTRUMENT	EXPIRATION DATE	EXERCISE/CONVERSION PERIOD	NUMBER OF VOTING RIGHTS THAT MAY BE ACQUIRED IF THE INSTRUMENT IS EXERCISED/CONVERTED	% OF VOTING RIGHTS	
Securities Lending	Open	any time	250000	1.250000%	v
Shares on loan	Open	any time	200000	1.000010%	v
Futures	14/12/2021	any time	100000	0.500000%	v
Repurchase agreement	20/08/2021		250000	1.250000%	v

1

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

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

Financial Instruments with similar economic effect according to (DTR5.3.1R.(1) (b))

Type of financial instrument

Equity swap

Expiration date ⓘ

31/07/2021

Exercise/conversion period ⓘ

Physical or cash settlement ⓘ

Cash ▼

Number of voting rights

250,000

Save Cancel

Alternatively, you can also select the option to upload a CSV file. This will require to download a CSV file template, populate this with the information as required in the description and then upload the correct file. See the below example:

Click on the toggle to upload records using a csv file

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

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).

b. Expiration date (if available – non-mandatory).

c. Exercise/conversion period (if available – non-mandatory).

d. Physical or cash settlement is (mandatory, enter either Physical or cash).

e. Number of voting rights is (mandatory, accepts only whole Numeric Value).

f. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B2

Please upload the CSV template

Upload

Validate

Download a CSV file template

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

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).
b. Expiration date (if available – non-mandatory).
c. Exercise/conversion period (if available – non-mandatory).
d. Physical or cash settlement is (mandatory, enter either Physical or cash).
e. Number of voting rights is (mandatory, accepts only whole Numeric Value).
f. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B2
Please upload the CSV template

Section 8B2 (10).csv

Correctly populate CSV file:

	A	B	C	D	E	F	G
1	Type of financial instrument	Expiration date	Exercise/conversion	Physical or	Number of	% of voting rights	
2	CFD	25/08/2021		Cash	100000	0.51	
3	CFD	12/01/2022		Cash	100000	0.51	
4	Equity swap	30/06/2021		Cash	100000	0.51	
5	Equity swap	15/07/2021		Physical	100000	0.51	
6	Call option	20/12/2021		Physical	100000	0.51	
7							
8							

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

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

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).
b. Expiration date (if available – non-mandatory).
c. Exercise/conversion period (if available – non-mandatory).
d. Physical or cash settlement is (mandatory, enter either Physical or cash).
e. Number of voting rights is (mandatory, accepts only whole Numeric Value).
f. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B2
Please upload the CSV template

Section 8B2 DE

Confirmation

5 Out of 5 record(s) passed validation. 0 Out of 5 record(s) failed validation. Do you want to upload the record(s) that passed validation?

Records will be uploaded in Section 8B2 as follows:

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

Do you want to upload records using csv template ☐ No

Add Remove All

Show 10 Search in 6 records

TYPE OF FINANCIAL INSTRUMENT	EXPIRATION DATE	EXERCISE/CONVERSION PERIOD	PHYSICAL OR CASH SETTLEMENT	NUMBER OF VOTING RIGHTS	% OF VOTING RIGHTS	
Equity swap	31/07/2021		Cash	250000	1.250000%	▼
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:

7. Total positions of person(s) subject to the notification obligation				
Note: the information in this section will be calculated automatically using information provided in previous notifications and in Section 8 below.				
	% of voting rights attached to shares	% of voting rights through financial instruments	Total of both in %	Total number of voting rights held in issuer ⓘ
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.

3.4.3 Uploading a CSV File

You are able to upload a CSV File in respect of Questions 8B1 and 8B2.

You will need to toggle onto yes.

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

* 8.1 Which of the following sections will you complete? ⓘ

Available

Chosen

Section 8A

Section 8B2
Section 8B1

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☐

No

Add

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

Do you want to upload records using csv template ☐

No

Add

You will then see the following screen which allows you to upload a CSV file.

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

* 8.1 Which of the following sections will you complete? ⓘ

Available

Section 8A

Chosen

Section 8B2
Section 8B1

8B1. Financial Instruments according to (DTR5.3.1R.(1) (a))

Do you want to upload records using csv template ☒ Yes

a. Type of financial instrument (mandatory).
b. Expiration date (if available – non-mandatory).
c. Exercise/conversion period (if available – non-mandatory).
d. Number of voting rights is (mandatory, accepts only whole Numeric Value).
e. % of voting rights (mandatory). It should be positive numeric value(6 decimal) and cannot be more than 100.

Click here to download template for Section 8B1

Please upload the CSV template

3.4.4 Subsidiary Information and Additional Details – New

This section requires the completion of 5 questions:

9. Information in relation to the person subject to the notification obligation.
10. In case of proxy voting.
11. Additional Information
12. Date of Completion
13. Place of Completion

Subsidiary Information and Additional Details - New

Current Status

In-Progress

Last Modified By

Angela Cornell

Back to Case

Save

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

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

Subsidiary Information and Additional Details - New

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

* The person subject to the notification obligation is (select one) ⓘ
Note: Please hover the cursor on below dropdown value to see complete text.

1. Person subject to the notification obligation is not controlled by any natural person or legal entity and does not control any other undertaking(s) hol X ▾

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

Please note that the field titled 'Ultimate controlling person' is mandatory.

You can add records manually or upload records using the csv feature. You can also use a combination of these.

Information in relation to the person subject to the notification obligation

Ultimate controlling person
XYZ Corporation (chain 1)

Name of controlled undertaking ⓘ
XYZ Subsidiary 1

% of voting rights if it equals or is higher than the notifiable threshold
5.000000%

% of voting rights through financial instruments if it equals or is higher than the notifiable threshold
2.500000%

Save **Cancel**

You can add as many chains as you need. **Multiple chains** have to be presented chain by chain by numbering each chain accordingly (e.g.: A (chain 1), B, C; A (chain 2), B, D; A (chain 3), E, F; etc). See the below example:

2. Full chain of controlled undertakings through which the voting rights and/or the financial instruments are effectively held starting with the ultimate cont ▼

Add

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)				0.000000%	Edit	Remove
	XYZ Subsidiary 1	5.000000%	2.500000%	7.500000%	Edit	Remove
	XYZ Subsidiary 3	5.000000%	2.500000%	7.500000%	Edit	Remove
XYZ Corporation (chain 2)				0.000000%	Edit	Remove
	XYZ Subsidiary 1	2.500000%	2.500000%	5.000000%	Edit	Remove
	XYZ Subsidiary 4	2.500000%	2.500000%	5.000000%	Edit	Remove
XYZ Corporation (chain 3)				0.000000%	Edit	Remove
	XYZ Subsidiary 2	1.250000%		1.250000%	Edit	Remove

Once you provide information on the chains of controlled undertakings, the system will recall this in subsequent submissions, and you will be able to update and edit this section.

Alternatively, you can also select the option to upload a CSV file. This will require to download a CSV file template, populate this with the information as required in the description and then upload the correct file. See the below example:

Click on the toggle to upload records using a csv file

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

* The person subject to the notification obligation is (select one) ⓘ

Note: Please hover the cursor on below dropdown value to see complete text.

2. Full chain of controlled undertakings through which the voting rights and/or the financial instruments are effectively held starting with the ultimate cont ▼

Do you want to upload records using csv template ☒ Yes

a. Ultimate Controlling Person (mandatory).

b. Name of controlled undertaking (if available – non-mandatory).

c. % of voting rights if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

d. % of voting rights through financial instruments if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

e. Total of both if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

Click here to download template for Section 9
Please upload the CSV template

Upload

Validate

Download a CSV file template

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

* The person subject to the notification obligation is (select one) ¹

Note: Please hover the cursor on below dropdown value to see complete text.

2. Full chain of controlled undertakings through which the voting rights and/or the financial instruments are effectively held starting with the ultimate cont

Do you want to upload records using csv template ☒ Yes ☐ No

a. Ultimate Controlling Person (mandatory).
b. Name of controlled undertaking (if available – non-mandatory).
c. % of voting rights if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)
d. % of voting rights through financial instruments if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)
e. Total of both if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

Click here to download template for Section 9

Please upload the CSV template

Section 9 (2).csv

Correctly populate CSV file:

Ultimate controlling person	Name of controlled undertaking	% of voting rights	% of voting rights	Total of both if it equals or is higher than the notifiable threshold					
XYZ Corporation (Chain 1)	XYZ Subsidiary 1	5	2.5	7.5					
XYZ Corporation (Chain 1)	XYZ Subsidiary 3	5	2.5	7.5					
XYZ Corporation (Chain 2)	XYZ Subsidiary 4	2.5	2.5	5					
XYZ Corporation (Chain 2)	XYZ Subsidiary 2	1.35	2	3.35					
XYZ Corporation (Chain 2)	XYZ Subsidiary 5	1.35	2	3.35					

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

Subsidiary Information and Additional Details - New

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

The person subject to the notification obligation is (select one) ¹

Note: Please hover the cursor on below dropdown value to see complete text.

2. Full chain of controlled und

Do you want to upload records

a. Ultimate Controlling Person (
b. Name of controlled undertaki
c. % of voting rights if it equals
d. % of voting rights through fi
more than 100.)
e. Total of both if it equals or is higher than the notifiable threshold. (It should be positive numeric value (6 decimal) and cannot be more than 100.)

Click here to download template for Section 9

Please upload the CSV template

Section 9.csv

Confirmation

5 Out of 5 record(s) passed validation. 0 Out of 5 record(s) failed validation. Do you want to upload the record(s) that passed validation?

Records will be uploaded in Section 9.2 as follows:

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

Prev 1 Next

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

Question 11 - Additional Information

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

11. Additional Information

Additional Information 

Question 12 - Date of Completion

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

12. Date of Completion

Date Of Completion

Question 13 - Place of Completion

You will enter the place of completion

13. Place Of Completion

* Place Of Completion

Back to Case

Save

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

You are now ready to make the submission and so you must tick the box to agree the **terms and conditions** and then select **Submit Case**.

Major Shareholdings Notification - New

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

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

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

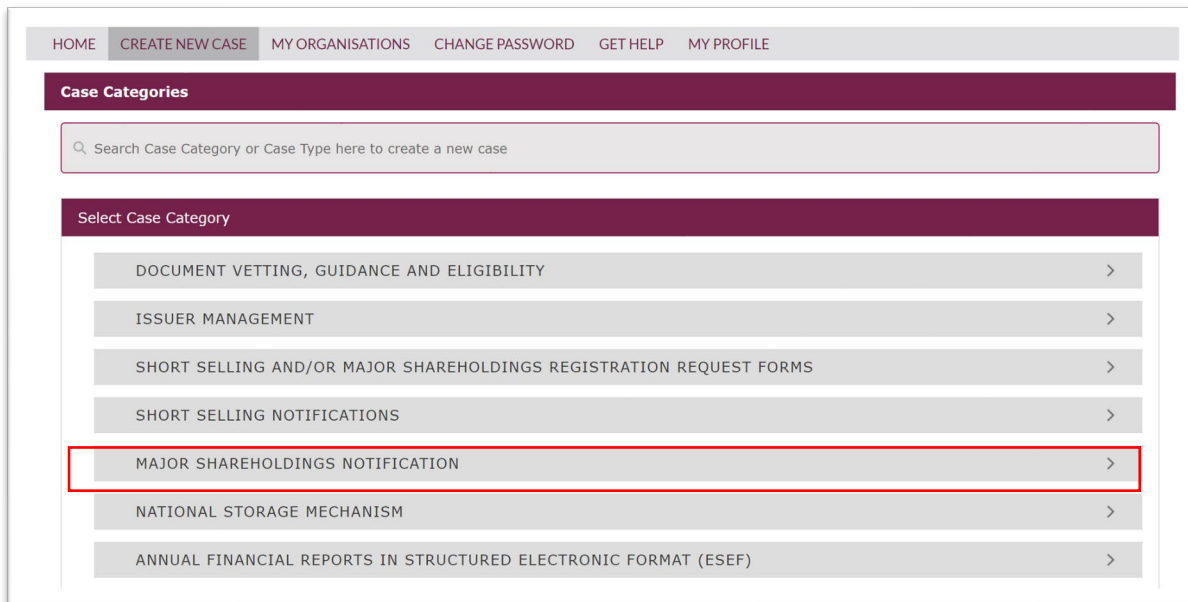
☐ I agree terms & conditions

Submit Case

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

3.5 How to send a subsequent notification

In order to add to, remove or make a change to an existing notification (this does not include correcting an error, which is handled separately) you will need to Select **Create a New Case** from the Create a New Case Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.



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

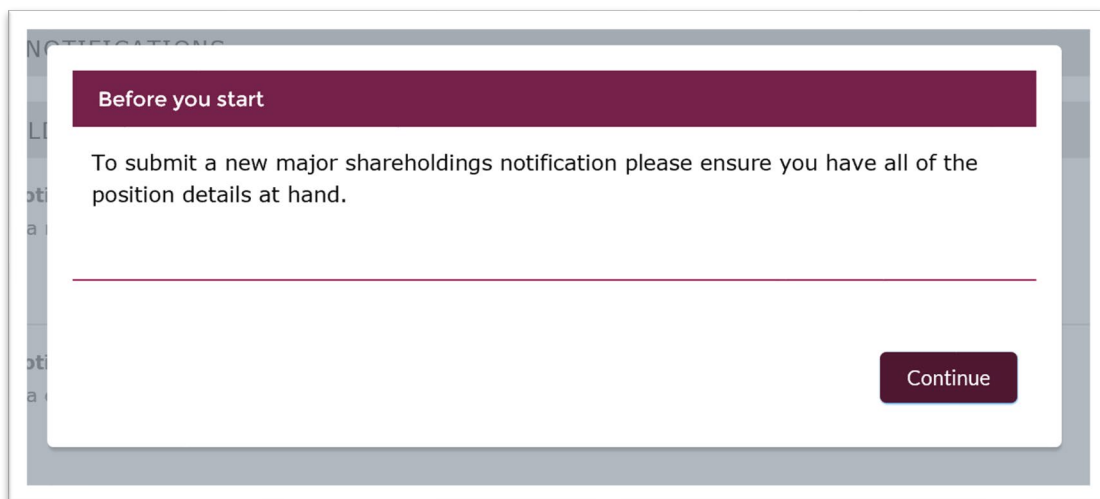
Case Categories

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

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION >**
- NATIONAL STORAGE MECHANISM >
- ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

Once you have selected **Create Case** the following pop-up notification will be displayed, you will need to select continue to close the pop-up box.



Before you start

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

Continue

The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form with the new details. The TR-1 Form has been divided into three mandatory sections:

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

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

You should return to Section 7.3.1 and follow the instructions to submit a New Notification. You must take care to enter the correct Issuer Number, ISIN (as shown below) to ensure that the information you enter is added to your existing Notification / Position.

1. Issuer Details

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

[Search by ISIN](#) [Search](#) [Clear](#)

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

* ISIN
GB000687A123

* Issuer Name

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

LEI	Issuer Name	Action
213800AWDQ43JNVGGI23	WILLIAM SMITH A FIRM	Select

The search will return the details of the Issuer companies. You will need to select the appropriate company from the search results.

This will complete the **ISIN** and **Issuer Name** boxes. You will then need to complete the final box by choosing if the Issuer is a **UK or Non-UK Issuer** from the drop- down list.

1. Issuer Details

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

Search by ISIN | ISIN Search e.g. GB0000123456 | Search | Clear

Please Note : If you have already updated ISIN & Issuer name & you want to replace the details by searching different ISIN, Please click on **Clear** button to reset the details & search again.

* ISIN
GB000687A123

* Issuer Name
WILLIAM SMITH A FIRM

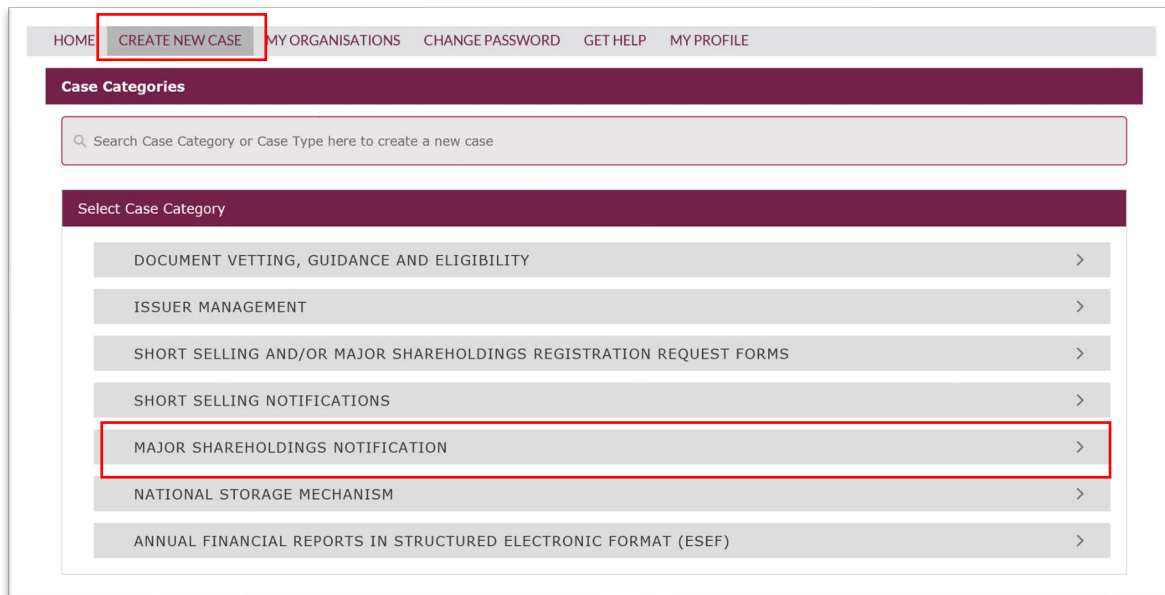
* UK or Non-UK Issuer
UK

In order to complete the **subsequent notification transaction**, you should return to Section 7.3.1 and follow the instructions on how to complete the 13 questions of the TR-1 Form

3.6 How to correct an existing notification

This 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.

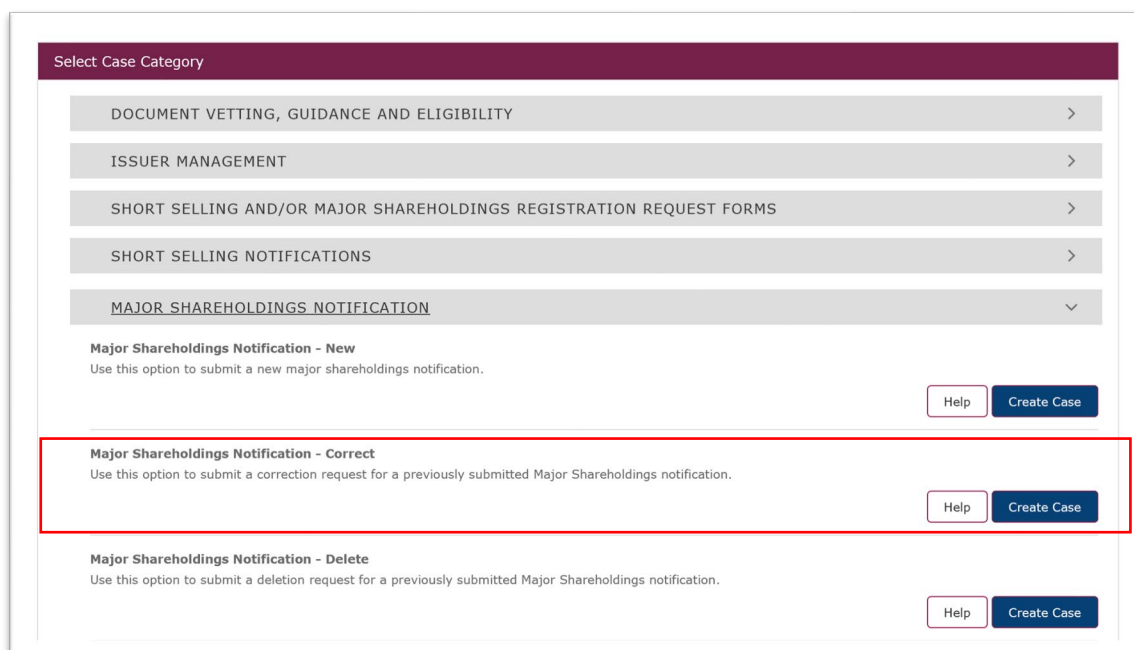
Select **Create a New Case** from the Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.



The screenshot shows the top navigation bar with links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this is a section titled 'Case Categories' with a search bar. A list of case categories follows, with 'MAJOR SHAREHOLDINGS NOTIFICATION' highlighted by a red box.

Case Categories	
Search Case Category or Case Type here to create a new case	
Select Case Category	
DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY	>
ISSUER MANAGEMENT	>
SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS	>
SHORT SELLING NOTIFICATIONS	>
MAJOR SHAREHOLDINGS NOTIFICATION	>
NATIONAL STORAGE MECHANISM	>
ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF)	>

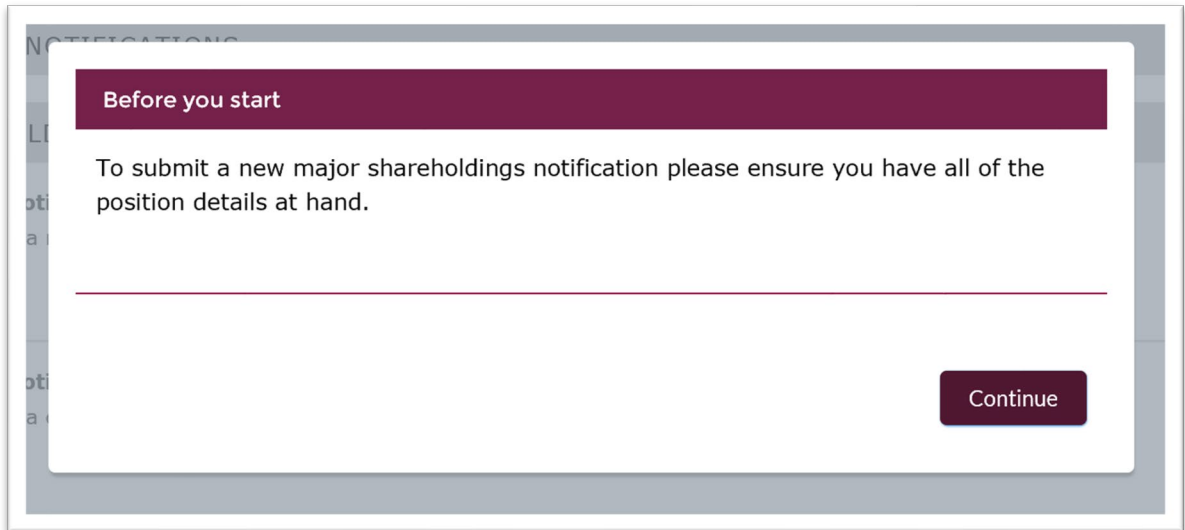
The following screen will be displayed from which you will select **Major Shareholdings Notification – Correct**.



The screenshot shows the 'Select Case Category' page with 'MAJOR SHAREHOLDINGS NOTIFICATION' expanded. It displays three options: 'New', 'Correct', and 'Delete'. The 'Correct' option is highlighted by a red box.

Select Case Category	
DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY	>
ISSUER MANAGEMENT	>
SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS	>
SHORT SELLING NOTIFICATIONS	>
MAJOR SHAREHOLDINGS NOTIFICATION	▼
Major Shareholdings Notification - New Use this option to submit a new major shareholdings notification.	
Help Create Case	
Major Shareholdings Notification - Correct Use this option to submit a correction request for a previously submitted Major Shareholdings notification.	
Help Create Case	
Major Shareholdings Notification - Delete Use this option to submit a deletion request for a previously submitted Major Shareholdings notification.	
Help Create Case	

Once you have selected **Correct Case** the following pop-up notification will be displayed, you will need to select **Continue** to close the pop-up box.



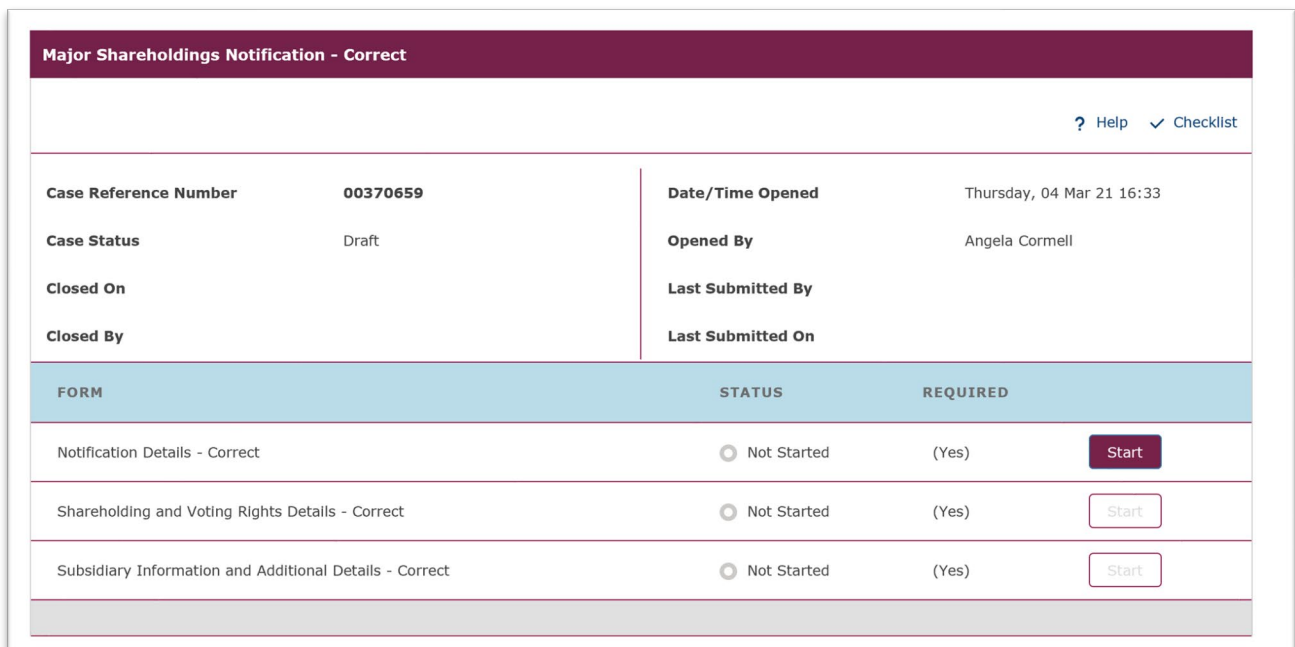
Before you start

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

[Continue](#)

The Major Shareholdings Notification – 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



Major Shareholdings Notification - Correct

[? Help](#) [✓ Checklist](#)

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

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

3.6.1 Notification Details – Correct

To correct or amend a previously submitted notification, you will need the Position ID of the notification you wish to amend. To find the relevant Position ID, go to 'My Organisations', then click on the relevant position holder name:

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE				
 My Organisations 3 items		Show 10 Search in 3 records		
ORGANISATION	ORGANISATION TYPE	POSITION HOLDER ID	LEI	MY PERMISSIONS
XYZ Corporation	Position Holder	PH001837		Reporting Person - DTR5;Contact Person
Position Monitoring Unit	Position Holder	PH001515		Reporting Person - DTR5;Contact Person;Reporting Person - SSR
ABC Corporation	Position Holder	PH001513		Reporting Person - DTR5;Contact Person;Reporting Person - SSR

Then, go to 'Major shareholdings'.

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

You will see the position ID on the first column left:

Major Shareholdings								
Position Date:		From	To	Search		Show	10	Search in 11 records
		Select Date	Select Date					
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

Once you have the Position ID of the position you wish to amend you can go back to the 'Correct' case, enter the position ID and click 'Save'.

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

Home > Create a Case > 00370688

Notification Details - Correct

Current Status

In-Progress

Last Modified By

Angela Cornell

Back to Case

Save

Notification Details - Correct

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:
DTR5 - FCA Handbook

* Enter Position ID

Back to Case

Save

See the below example:

Notification Details - Correct

Current Status

In-Progress

Last Modified By

Yvonka Hurtado

Back to Case

Save

 Notification Details - Correct

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:
DTR5 - FCA Handbook

* Enter Position ID

PID00208794

1. Issuer Details

* ISIN

GB2345678901

* Issuer Name

UK Firm Plc

65

Q1 - Issue Details

You will then be shown the notification which you wish to correct. You should work through all sections on the TR-1 from and make the necessary corrections.

In order to complete the **correction to an existing notification**, you should return to **Section 7.3.1** and follow the instructions on how to complete the 13 questions of the TR-1 Form.

 **Notification Details - Correct**

*Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:
[DTR5 - FCA Handbook](#)*

* Enter Position ID

PID00208773

1. Issuer Details

* ISIN

GB000687A123

* Issuer Name

WILLIAM SMITH A FIRM

* UK or Non-UK Issuer

UK

2. Reason for Notification

* Select Option(s) 

Available

An acquisition or disposal of voting rights

An acquisition or disposal of financial instruments

Other

Chosen

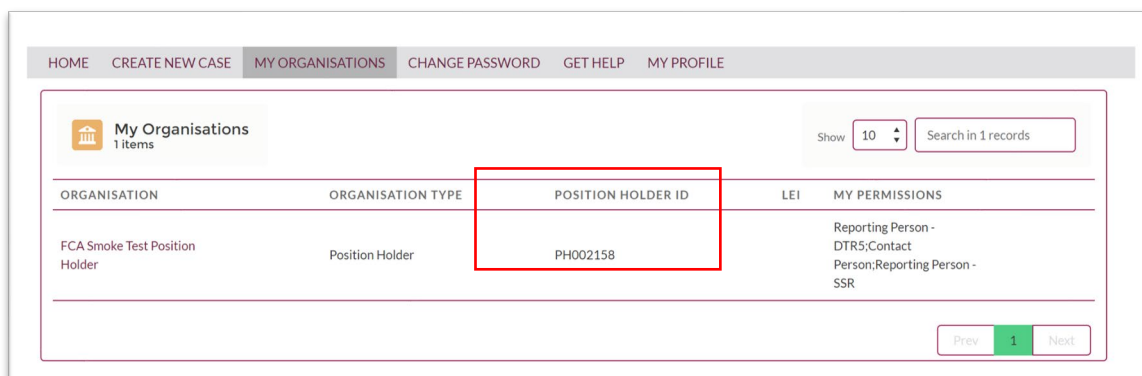
An event changing the breakdown of voting

3. Details of person subject to the notification obligation

3.7 How to delete an existing notification.

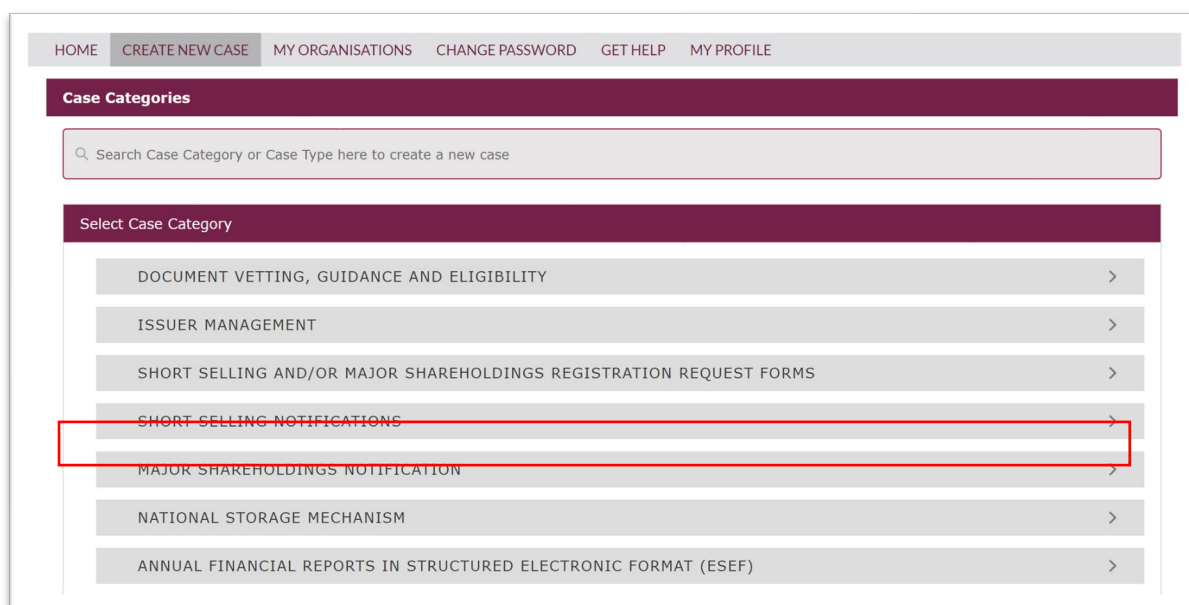
A TR-1 form that has already correctly been notified must never be deleted. However, if a TR-1 notification has been made in error, this function can be used to delete the notification.'

You will need to have a copy of the Position Holder ID available in order to delete an existing notification. If you do not have a record of the Position Holder ID you can view this number by accessing the My Organisation Page. The Position Holder ID is viewable in the third column, an example is shown below.



HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE				
My Organisations 1 items		Show 10 Search in 1 records		
ORGANISATION	ORGANISATION TYPE	POSITION HOLDER ID	LEI	MY PERMISSIONS
FCA Smoke Test Position Holder	Position Holder	PH002158		Reporting Person - DTR5;Contact Person;Reporting Person - SSR
Prev 1 Next				

In order to delete an existing notification, you will need to Select **Create a New Case** from the Create a New Case Menu. The following page will be displayed. You will then need to select **Major Shareholdings Notification** section as shown below.



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

Case Categories

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

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION >
- NATIONAL STORAGE MECHANISM >
- ANNUAL FINANCIAL REPORTS IN STRUCTURED ELECTRONIC FORMAT (ESEF) >

The following screen will be displayed from which you will select **Major Shareholdings Notification – Delete**

Select Case Category

- DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY >
- ISSUER MANAGEMENT >
- SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS >
- SHORT SELLING NOTIFICATIONS >
- MAJOR SHAREHOLDINGS NOTIFICATION** v

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

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

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

Help Create Case

Once you have selected **Delete Case** the following pop-up notification will be displayed, you will need to select **Continue** to close the pop-up box.

Before you start

Before you start, please ensure you have the Position ID ready.

Continue

The Major Shareholdings Notification – New page will be displayed. You will need to complete the electronic TR-1 Form with the new details. The TR-1 Form has been divided into three mandatory sections:

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

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

3.7.1 Notification Details – Delete

Q1 - Issue Details

You will need to enter the Position ID as shown below and then press save.

Home > Create a Case > 00370693

Notification Details - Delete

Current Status

In-Progress

Last Modified By

Angela Cormell

Back to Case

Save

Notification Details - Delete

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:
DTR5 - FCA Handbook

* Enter Position ID

Back to Case

Save


Notification Details - Delete

Please note this form should be read jointly with the applicable Disclosure Guidance and Transparency Rules Chapter 5 (DTR5) available on the following link:
[DTR5 - FCA Handbook](#)

* Enter Position ID

* Comments

1. Issuer Details

* ISIN

* Issuer Name

* UK or Non-UK Issuer

2. Reason for Notification

* Select Option(s) 

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

You should return to Section 7.3.1 and follow the instructions to submit a New Notification. You must take care to enter the correct Issuer Number, ISIN (as shown below) to ensure that the information you enter is added to your existing Notification / Position.

3.8 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.

The process to download a TR-1 Form from the system is outlined within this section.

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

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

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

This will open the page which shows all the submissions that you have made. From this view you should select the case you want to open. This is shown below.

The screenshot shows the 'My Cases' page with the 'Closed' tab selected. The table displays the following data:

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

At the bottom right, there is a pagination bar with 'Prev', '1', and 'Next' buttons.

The Major Shareholdings Notification – New page will be displayed. From this page you will be able to download a copy of the TR-1 Form. The download box is highlighted below.

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

Major Shareholdings Notification - New

Download Form ? Help ✓ Checklist

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

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

You will see the following disclaimer and you should select Yes to proceed.

Download Form ? Help ✓ Checklist

Disclaimer

If you submit the downloaded form to the issuer as part of your reporting obligation under the Disclosure Guidance and Transparency Rules - Chapter 5, it is your responsibility to ensure that the information provided is comprehensive and accurate.

Are you sure you want to download this?

Yes No

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

Major Shareholdings Notification - New

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

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

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

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[Accessibility Statement](#)

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

Open
Save
Cancel

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)				0.000000
	XYZ Subsidiary 1	2.000000	1.000000	3.000000
	XYZ Subsidiary 3	2.000000	1.500000	3.500000
XYZ Corporation (chain 2)				0.000000
	XYZ Subsidiary 1			0.000000
	XYZ Subsidiary 4	4.500000	2.500000	7.000000
XYZ Corporation (chain 3)				0.000000
	XYZ Subsidiary 2	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

16-Mar-2021

13. Place Of Completion

London

4. Help & Support

If you require assistance with any aspect of the registration process, please send your email as follows.



For Queries on Step 1 Registration on ESS– Please contact the Operational Support team on:

- **020 7066 8348**
- **LTadmin@fca.org.uk**

For Step 2 Registration on DTR 5 Portal – Please email PMU@fca.org.uk

For Step 2 SSR Registration – Please email PMU@fca.org.uk