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| --- | --- | --- | --- |
| **Appointed Representative Name** |  | **Submission Date** |  |

**This form must be completed and submitted to the Optimum ELITE Helpdesk. An application will then be made to the FCA\*. You must not use the proposed Trading style or name, until you receive written confirmation from the Compliance Team that the name has been registered (and is associated with your firm) on the FCA Register.**

***The Optimum ELITE Compliance Team***

PLEASE COMPLETE **ALL** SECTIONS

|  |  |
| --- | --- |
| **NEW/ PROPOSED TRADING STYLE OR NAME1)** | |
| **Name of legal entity** |  |
| **If you currently trade under any other names, please detail ALL of them here:** | 1)  2)  3)  4)  5) |
| **Full proposed name of the new Trading Style/ Name(s):** |  |
| **Please give details of how you intend to use this trading style** | |
| **This should include (as relevant)**   1. **Your target market for the trading style** 2. **What business you intend to conduct via the trading style, including intended communication channels (e.g. face-to-face, on-line, telephone sales etc).** 3. **Your expectations for the amount of business to be conducted via the trading style.** 4. **any additional product types that you have not provided in the past, but may offer under this trading style.** 5. **how/why the activities conducted under this trading style/ name will differ from any of your current trading styles/names.** 6. **Whether the new trading name/ style will replace or impact any existing trading styles (we must keep the FCA up-to-date, so please be clear on whether existing trading styles/ names will continue, and if so, whether business will increase or decrease)?** 7. **whether you wish (either now or at any time in the future) to use this trading style to undertake activities that are regulated by the FCA.** |  |
| **Please state if this trading name will be used to introduce business to any other firm (whether regulated or not).** |  |
| **Detail all Approved Persons and/ or Advisers who will use this trading style or name? (detail all that apply).** |  |
| **After checking, do you know of/ are you aware of any similar trading names used for this type of business, including whether these are restricted or indicated by geographical area? Please detail any that are similar.** |  |

**In submitting this application, you are explicitly confirming the following:**

**I/We confirm that the information provided above is accurate and complete. I/We will inform Optimum ELITE if any information changes, either now or in the future, in line with regulatory principles and expectations.**

**I/We are aware that we must submit any future financial promotions for approval using this trading name on the basis of the products detailed above.**

**I/We confirm that use of this trading style/ name (if approved) will not obstruct the way in which Optimum ELITE are able to monitor any business generated.**

**I/We confirm that the trading style will operate under the direct control and supervision of the approved persons of the firm. It will not operate in an autonomous or semi-autonomous way.**

**The trading style will not be used to undertake any regulated activities, and the trading style will only be used by the Optimum ELITE Network entity and not by any other firm.**

Full name: Signed : Dated :

Full name: Signed : Dated :

Full name: Signed : Dated :

Full name: Signed : Dated :