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TO : **Regulated Entities:**

- i. **Cyprus Investment Firms ('CIFs')**
- ii. **Administrative Service Providers ('ASPs')**
- iii. **UCITS Management Companies ('UCITS MC')**
- iv. **Self-Managed UCITS ('SM UCITS')**
- v. **Alternative Investment Fund Managers ('AIFMs')**
- vi. **Self-Managed Alternative Investment Funds ('SM AIFs')**
- vii. **Self-Managed Alternative Investment Funds with a Limited Number of Persons ('SM AIFLNPs')**
- viii. **Companies with sole purpose the management of AIFLNPs**
- ix. **Companies that have securities listed on the regulated market of the Cyprus Stock Exchange and whose home member state is Cyprus and**
- x. **Companies that have securities listed on a regulated market of an EEA Country and whose home member state is Cyprus.**

FROM : **Cyprus Securities and Exchange Commission**

DATE : **February 28, 2019**

CIRCULAR No : **C298**

FILE No : **01.13.001.002.002**

SUBJECT : **Request for the electronic submission of information concerning Regulated Entities' contact details and appointed persons.**

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The present Circular is issued pursuant to section 25(1)(c)(ii) & (iii) of the Cyprus Securities and Exchange Commission Law ('the CySEC Law').

The Cyprus Securities and Exchange Commission ('CySEC') wishes to inform the Regulated Entities about the following:

## **1. Information requested by CySEC**

1.1. CySEC requests Regulated Entities to complete **Form RECD** ('the Form'), in [Appendix 1](#), for the submission of information of contact details concerning members of the Board of Directors and Compliance Officers ('the appointed persons').

1.2. The said Form must be submitted **ONLY in electronic form by EMAIL**, at the email address [risk.statistics@cysec.gov.cy](mailto:risk.statistics@cysec.gov.cy) the latest by **Wednesday, March 06, 2019**.

- 1.3. Only **Validated Forms** must be submitted in order to be considered successfully submitted.
- 1.4. The requested information will be used to update CySEC's archives/records.
- 1.5. CySEC emphasises the importance of meeting the deadline of **Wednesday, March 06, 2019 and stresses that NO extension will be granted.**
- 1.6. **Failure to promptly and duly comply with the above will bear the administrative penalties of section 37(5) of the CySEC Law. It is further noted that CySEC will not send any reminders to those who fail to promptly and duly comply.**
- 1.7. **CIFs** must ensure that the submitted information of Form RECD must match the information already submitted by a CIF at the CySEC's CIFs portal. In case of discrepancies, the CIF must immediately proceed with the submission of an updated dataset on the CySEC's portal.

## 2. General Comments for the Form

- 2.1 The Form will be available **only** in the **English language**.
- 2.2 In Point C, Section 'General Info', the Regulated Entities must insert the details of the officer responsible for completing the Form.

### 2.3 Reporting Information

- 2.3.1 Instructions on the completion of the Form can be found in the 'Instructions' worksheet of the Form.
- 2.3.2 Before submitting the Form, please ensure that all validation tests that are included in the Form (Instructions and General Info) are **VALIDATED** or **TRUE** (green colour).

## 3. Submitting the Form to CySEC

It is noted again that the Form must be submitted to CySEC **ONLY electronically by EMAIL** and not through the TRS System. The email address to be used is [risk.statistics@cysec.gov.cy](mailto:risk.statistics@cysec.gov.cy).

**The email's subject title AND the Form's file name should both include ONLY the naming convention, as indicated in the table below:**

	<b>Naming Convention Required</b>
<b>1. Email's subject title</b>	<i>Username_EntityTypeCode_RECD</i>
<b>2. Form's file name</b>	<i>Username_EntityTypeCode_RECD</i>

The information below explains the naming convention:

- (1) **Username** – is the username of the TRS credentials which should already be in the possession of the Regulated Entities that have previously submitted any electronic file to the TRS system. This codification should be entered in capital letters.
- (2) **Entity Type Code** – this denotes the 3-digit code of the type of the Regulated Entity, as follows:
  - For Cyprus Investment Firms – insert code **CIF**
  - For Administrative Service Providers – insert code **ASP**
  - For Management Companies (which includes entity types (iii)-(viii) from the list of recipients of this circular) – insert code **FMC**
  - For Local and International Issuers – insert code **LII**
- (3) **RECD** – this is the coding of the Form RECD that it remains unchanged and should be inserted exactly as it appears.

#### 4. Queries on how to complete the fields

Should you have any queries on the completion of Form RECD, please submit them **PRIOR** to 6<sup>th</sup> of March 2019 **only** in writing at [risk.statistics@cysec.gov.cy](mailto:risk.statistics@cysec.gov.cy). Any enquiries addressed to CySEC under this paragraph should include, in the subject, the Regulated Entity's full name and the TRS coding.

#### 5. Updating of the Form

Following the initial submission of the Form (as per the points above), the Form must be completed with the updated information and submitted to CySEC, on a **six-month basis**, as follows:

Reference Date	Submission Period
30 June 20XX	Within 5 Working Days after the reference day
31 December 20XX	Within 5 Working Days after the reference day

In view of the above, note that the **next submission** must be for the reference date of **30 June 2019** and this must be completed by the 5<sup>th</sup> of July 2019.

Yours sincerely,

Demetra Kalogerou  
Chairman, Cyprus Securities and Exchange Commission