

From: [REDACTED]
To: [REDACTED]
Subject: [To Note] FW: FCA/GC meeting 4 November - notes and actions
Date: 14 December 2020 08:49:09
Attachments: [REDACTED]

Morning all

See below from the FCA following our meeting with them in November. We can discuss in our monthly meeting later today.

[REDACTED]

From: [REDACTED]
Sent: Friday, December 11, 2020 3:52 PM
To: [REDACTED]
[REDACTED]
[REDACTED]
Subject: RE: FCA/GC meeting 4 November - notes and actions

Dear [REDACTED]

It was nice to speak to you on last week. Once again, please accept our sincere apologies for the delay in coming back to you in detail.

Thank you for providing a copy of the [REDACTED] actions from our discussion.

[REDACTED], [REDACTED] and I work within the [REDACTED] in the Unauthorised Business Department. We are responsible for reviewing reports received in respect of firms that may be conducting regulated business without the appropriate authorisation and deciding on the appropriate course of action. That may be adding a firm to our warning list on our website, issuing a consumer alert, or referring for a full investigation.

As such, a number of the points highlighted in your email do not sit within UBD's remit. For your queries on Authorisations, please see the following helpful links:

- FCA Authorisation summary: <https://www.fca.org.uk/firms/authorisation>
- How to apply for authorisation: <https://www.fca.org.uk/firms/authorisation/how-to-apply>
- Application process: <https://www.fca.org.uk/firms/authorisation/process>
- FCA Authorisation application fees: <https://www.fca.org.uk/firms/authorisation/fee>

As per our discussion on Friday, given that you are already in discussions with [REDACTED] in respect of Betindex and it may be worthwhile speaking to him regarding who you can speak with about the overall regulatory/authorisations approach between the GC and the FCA. [REDACTED] should be able to speak with his manager about this as they are likely to be better placed to provide a contact.

For further information regarding Innovate, please see <https://www.fca.org.uk/firms/innovation/direct-support> which contains the email address innovationhub@fca.org.uk. Alternatively, if you could provide us with the name

of the case in which the Innovate team were referred, we can see if we can pin down more specifically who is involved with that case.

Both [REDACTED] and [REDACTED] are supervised by our Flexible Events Team. Please contact [REDACTED] and/or [REDACTED] who should be able to deal with your queries.

For any intelligence you wish to share or request, please contact our Intelligence team at [REDACTED] or for sensitive matters, [REDACTED]. If you are not sure where a matter might sit, then please also direct these through to the Intelligence team who should be able to direct your query appropriately. We have spoken with our colleague [REDACTED] from the Intelligence Team who would be happy to speak to you about how and where to direct your queries that might not obviously sit with UBD or Supervision. She can be contacted at [REDACTED]

If your queries should relate specifically to unauthorised conduct, do feel free to contact me, [REDACTED] or [REDACTED] but if it is intelligence which you wish to share, we would be grateful if you could please refer this to the Intelligence team.

Finally, you mentioned three operators that may require FCA authorisation, please do forward them on to us when you have the details available.

Please do let us know if you have any queries. Perhaps we could arrange a further discussion into the New Year?

We look forward to hearing from you.

Kind regards

[REDACTED]

[REDACTED]

[REDACTED]



12 Endeavour Square
London
E20 1JN

[REDACTED]

www.fca.org.uk

Follow us:



From: [REDACTED]

Sent: 03 December 2020 10:48

To: [REDACTED]

[REDACTED]
[REDACTED]

Subject: FW: FCA/GC meeting 4 November - notes and actions

Good morning all

Hope you are well.

I don't seem to have received a response to my email below and wondered if you could please provide an update and if it's worth putting another meeting in our diaries.

Kind Regards

[REDACTED]

From: [REDACTED]

Sent: Tuesday, November 17, 2020 5:42 PM

To: [REDACTED]

[REDACTED]

[REDACTED]

Cc: [REDACTED]

[REDACTED]

Subject: FCA/GC meeting 4 November - notes and actions

Good afternoon all

Thank you again for your time and the useful discussions at our recent meeting.

[REDACTED]

[REDACTED]

- [REDACTED]
 - [REDACTED] [REDACTED] [REDACTED] [REDACTED] [REDACTED]
- [REDACTED]

Actions

I've extracted the agreed actions below, and added the Commission's updates/comments since we last met.

Action: FCA to obtain contacts for GC within the Authorised Business and Innovate teams.

Action: FCA to direct GC to any website links or guidance that may be useful for our own knowledge and understanding regarding:

1. the application/authorisation process,
2. Application and/or annual fees for business captured under Contracts for Difference – Article 85 of FSMA 2000 Order 2001
3. The territorial application of the FCA.

Action: BetIndex: GC to seek copy of guidance note and contact name/team directly from operator. GC update 17/11/2020: We have obtained a copy of the note issued by [REDACTED] and are liaising with him directly regarding BetIndex matter. However, we would appreciate it if you could confirm an appropriate contact in the Authorisations team (or elsewhere within the FCA) for discussions around an overall agreed regulatory approach between the Commission and FCA. We are particularly keen to take this aspect forward so we can resolve the approach with this operator, so would appreciate it if these details could be forwarded on to us as soon as available even if you do not have updates on the other actions as yet.

Action: FCA to confirm appropriate contacts to include for GC to report potential unauthorised operators/firms

[REDACTED]
[REDACTED]
[REDACTED]

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Action: FCA to raise GC proposed comms internally and revert to advise GC relevant team/contact to progress this with.

I look forward to hearing from you and please do give me a call if you wish to discuss any of the above.

Kind Regards

[REDACTED]

[REDACTED]

[REDACTED]

Gambling Commission
4th Floor Victoria Square House
Victoria Square
Birmingham B2 4BP

[REDACTED]

[REDACTED]

www.gamblingcommission.gov.uk

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