A. APPLICATION OF CONDITIONS

ELM 8 Annex 2R

| 0 | | Α | В |
|---|--|-----|----|
| | Please tick each condition which applies: | Yes | No |
| 1 | The first condition applies if: | | |
| | (1) the small e-money issuer does not issue e-money except on terms that the electronic device on which the monetary value is stored is subject to a maximum storage amount of not more than 150 euro; and | | |
| | (2) the small e-money issuer's total liabilities with respect to issuing e-money do not (and will not) usually exceed 5 million euro and do not (or will not) ever exceed 6 million euro. | Yes | No |
| 2 | The second condition applies if: | 163 | NO |
| | (1) paragraph (1) of the first condition is met; | | |
| | (2) the small e-money issuer's total liabilities with respect to the issuing of e-money do not (or will not) exceed 10 million euro; and | | |
| | (3) e-money issued by the small e-money issuer is accepted as a means of payment only by: | | |
| | (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or | | |
| | (b) other members of the same group as the small e-money issuer (other than subsidiaries of that small e-money issuer). | V | |
| 3 | The third condition applies if: | Yes | No |
| | (1) paragraph (1) of the first condition and (2) of the second condition are met; and | | |
| | (2) e-money issued by the small e-money issuer is accepted as a means of payment, in the course of business, by not more than one hundred persons where: | | |
| | (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or | | |
| | (b) those persons have a close financial or business relationship with the small e-money issuer such as a common marketing or distribution scheme. | | |
| 4 | Have the relevant provisions referred to in A10 to A30 been met throughout the reporting period? (please tick appropriate box) | Yes | No |
| | A | | |
| | If no, please give details. | | |
| | | | |
| | | | |

B. E-MONEY OUTSTANDINGS

| Item No | Item | Amount | | | | | | | | | |
|---------|--|--|----------------------------------|-------------------------|--|--|--|--|--|--|--|
| | C. Outstandings at the | | | Α | | | | | | | |
| | 6 Outstandings at th | e period end | | | | | | | | | |
| | | | | | | | | | | | |
| | 7 Peak e-money ou | | | | | | | | | | |
| | | | | | | | | | | | |
| | | If the first condition (1) applies, indicate the dates on which e-money outstandings exceeded 5 or 6 million | | | | | | | | | |
| | euro, and the amount of e-money outstandings on these dates, in the table below. | | | | | | | | | | |
| | If the second (2) of | or the third condition (3) appl | ies, indicate the dates on which | ch e-monev outstandings | | | | | | | |
| | ` , | ` , | e-money outstandings on the | • | | | | | | | |
| | | | | | | | | | | | |
| | | e on which electronice mone | • | Amount of e-money | | | | | | | |
| | exceeded 5 | exceeded 6 | exceeded 10 | outstandings | | | | | | | |
| | million euro | million euro | million euro | _ | | | | | | | |
| | A | В | С | D | | | | | | | |
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| 2 | | | | | | | | | | | |
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Financial Services Authority



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| as at (eg | 31 | 12 | | 2001 | | Application | Number | | | | | | |] |
| Knowingly or recklessly giving the <i>FSA</i> information, which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). <i>ELM</i> 8.7.12R and <i>ELM</i> 8.7.13R require a <i>small electronic money issuer</i> to take reasonable steps to ensure the accuracy and completeness of information given to the <i>FSA</i> and to notify the <i>FSA</i> immediately if materially inaccurate information has been provided. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the <i>FSA</i> . It should not be assumed that information is known to the <i>FSA</i> merely because it is in the public domain or has previously been disclosed to the <i>FSA</i> or another <i>regulatory body</i> . If there is any doubt about the relevance of information, it should be included. | | | | | | | | | | | | | | |
| I confirm the | informat | on in th | is form | is accu | rate and | complete to | the best of my | knowl | edge | and | belief. | | | |
| Signature of | authoris | ed sigr | natory: | | | | | | | Date | e: | | | |
| Name: | | | | | | Position | n held: | | | | | | | |
| In the event | In the event of a question, the FSA may, in the first instance, contact (Block letter please) | | | | | | | | | | | | | |
| | | | | | | | | | | | | | | |
| Name: | | | | | | Tel No | : | | | İ | Ext: | | | |
| Name: | ompletio | on of th | is for | m | | Tel No | : | | | I | Ext: | | | |
| Notes on co | s to be us | sed for | making | periodi | | under <i>ELM</i> | 8.7.1R and ch | _ | | | ler <i>EL</i> | | .2R |] |
| Notes on co | s to be us .7.3R. nplete an | sed for a | making er the f | periodi | | under <i>ELM</i> | | _ | | | ler <i>EL</i> | | .2R | |
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A. APPLICATION OF CONDITIONS

| Item No | | |
|------------|--|----|
| | Please tick each condition which applies: | |
| A10 | The first condition applies if: | |
| | (1) the small e-money issuer does not issue e-money except on terms that the electronic device on which the monetary value is stored is subject to a maximum storage amount of not more than 150 euro; and | |
| | (2) the small e-money issuer's total liabilities with respect to issuing e-money do not (and will not) usually exceed 5 million euro and do not (or will not) ever exceed 6 million euro. | |
| A20 | The second condition applies if: | |
| | (1) paragraph (1) of the first condition is met; | |
| | (2) the small e-money issuer's total liabilities with respect to the issuing of e-money do not (or will not) exceed 10 million euro; and | |
| | (3) e-money issued by the small e-money issuer is accepted as a means of payment only by: | |
| | (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or | |
| | (b) other members of the same group as the small e-money issuer (other than subsidiaries of that small e-money issuer). | |
| A30 | The third condition applies if: | |
| | (1) paragraph (1) of the first condition and (2) of the second condition are met; and | |
| | (2) e-money issued by the small e-money issuer is accepted as a means of payment, in the course of business, by not more than one hundred persons where: | |
| | (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or | |
| | (b) those persons have a close financial or business relationship with the small e-money issuer such as a common marketing or distribution scheme. | |
| A40 | Have the relevant provisions referred to in A10 to A30 been met throughout the reporting period? (please tick appropriate box) | NO |
| | If no, please give details. | |
| | | |

B. E-MONEY OUTSTANDINGS

| Item No | Item | | | Amount | | | | | |
|------------|---|------------------------------|--|-------------------|--|--|--|--|--|
| B10 | Period end | | | | | | | | |
| B20 | Peak e-money outstand | | | | | | | | |
| | If the first condition (A10) applies, indicate the dates on which <i>e-money outstandings</i> exceeded 5 or 6 million euro, and the amount of <i>e-money outstandings</i> on these dates, in the table below. | | | | | | | | |
| | | | lies, indicate the dates on w ney outstandings on these d | - | | | | | |
| B30 | Г | Date on which electronice mo | onev outstandings | Amount of e-money | | | | | |
| 200 | exceeded 5 | exceeded 6 | exceeded 10 | outstandings | | | | | |
| | million euro | million euro | million euro | | | | | | |
| Α | | | | | | | | | |
| В | | | | | | | | | |
| С | | | | | | | | | |
| D | | | | | | | | | |
| Е | | | | | | | | | |
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- C10 This form must be given to a member of, or addressed for the attention of, the Authorisation Enquiries department of the *FSA* and delivered to the address in C20 or C30 using one of the following methods of delivery:
 - post to the address in C20; or
 - leaving the report at the address in C30 and obtaining a date-stamped receipt; or
 - electronic mail to an address for the firm's usual FSA contact and obtaining an electronic confirmation of receipt; or
 - hand delivery to the firm's usual FSA contact; or
 - fax to the number notified by the *firm*'s usual *FSA* contact, followed by submission by one of the four methods above within five *business days* after the date of the faxed submission.
- C20 The address for postal submission of reports is:

The Financial Services Authority PO Box 35747 London E14 5WP

C30 The address for hand-delivery of reports is:

The Financial Services Authority 25 The North Colonnade Canary Wharf E14 5HS