

Certification – Form A

Application for a periodical publication certificate

Full name of applicant proprietor

Full name of publication

Important information you should read before completing this form

This form should only be used to apply for a certificate under article 54 of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001, when the application relates to a newspaper, journal, magazine or other periodical publication. It should not be used for an application relating to a service comprising regularly updated news or information in writing or other legible form or a TV or radio programme. Separate forms are available for these.

For further information please refer to PERG 7:

<https://www.handbook.fca.org.uk/handbook/PERG/7>

Please keep a copy of the forms you complete and any supporting documents you include with this application for your future reference.

The FCA processes personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notice available on our website:

www.fca.org.uk/privacy .

It is important that you provide accurate and complete information and disclose all relevant information. If you do not, it may call into question your suitability to be certified, you may be committing a criminal offence and could face prosecution under section 398A of FSMA regardless of the status of your application.

Terms in this application pack

In this pack, the FCA uses the following terms:

- 'you' refers to the person(s) signing the form on behalf of the applicant firm
- 'the applicant firm' refers to the firm applying for authorisation
- 'the FCA' , 'we', 'us' or 'our' refers to the Financial Conduct Authority
- FSMA refers to the Financial Services and Markets Act 2000
- RAO refers the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001

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Filling in the form

1 If you are using your computer:

- use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
- print out all the parts of the form you have completed
- sign the declaration

2 If you are filling in the form by hand:

- use black ink
- write clearly
- sign the declaration

3 If you think a question does not apply to you, write 'not applicable' and explain why.

4 If you leave a question blank, do not sign the declaration or attach the required supporting information without telling us why, we will have to treat the application as incomplete. This will increase the time we take to assess your application.

5 If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

6 Post the application consisting of:

- this form
- supporting documents
- the application fee to us at:

**Authorisations Support Team
The Financial Conduct Authority
12 Endeavour Square
LONDON
E20 1JN**

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Contact details

We need this information in case we need to contact you when we assess your application.

1.1 Contact details of the applicant proprietor

Title	
First names	
Surname	
Address	
Postcode	
Phone number (including STD code)	
Mobile number (optional)	
Fax number (including STD code)	
Email address	

1.2 Name of publication

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1.3 Contact details of publisher
 Tick if same as 1.1

Title	
First names	
Surname	
Address	
Postcode	
Phone number (including STD code)	
Fax number (including STD code)	
Email address	

1.4 Contact details of editor

Title	
First names	
Surname	
Address	
Postcode	
Phone number (including STD code)	
Fax number (including STD code)	
Mobile number (optional)	
Email address	

1.5 Contact details for the person handling this application Tick if same as 1.1

Title	
First names	
Surname	
Address	
Postcode	
Phone number (including STD code)	
Fax number (including STD code)	
Mobile number (optional)	
Email address	

2 Information about your publication

2.1 How is it published?

If the electronic version differs materially from the hard copy, the two versions will need to be considered in separate applications.

- Hard copy
 Electronic form
 Both

2.2 How often is it published?

- Daily
 Weekly
 Monthly
 Quarterly
 Biannual
 Annual
 Other ▶ Give details below

2.3 What is the purpose(s) of the publication?

Please give details of the principal purpose and indicate if this is likely to change in the near future.

2.4 Attach any evidence to support the information given in Question 2.3 and please include details of the documents you have attached below.

- Business plan
 Statements of editorial policy
 Marketing literature
 Other ▶ Give details below

2.5 Why is the publication considered to qualify for the exclusion?

2.6 Why are you applying for a certificate?

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2.7 Give details of the estimated average proportion (based on a representative sample of the publication) of material falling within each of the following categories.¹

a) Investment advice ²	%
b) Material which leads to or enables dealing in or acquiring financial products (which is not investment advice) ³	%
c) Material relating to financial products (which is neither advice nor material leading to/enabling dealing in or acquiring financial products investments) ³	%
d) Material that has nothing at all to do with financial product ³	%

Please give details of the criteria you use to distinguish material in (b) and (c). You must include examples of the material contained in the publication to illustrate the allocation of material to each category.

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¹ For further information please refer to PERG 7:

<https://www.handbook.fca.org.uk/handbook/PERG/7>

² Investment advice means advice of the kind covered by articles 53, 53A, 53B, 53C or 53D RAO taking no account of the exclusion in article 54 RAO.

³ ie securities or relevant investments, as defined in article 3 RAO or regulated mortgage contracts, home reversion plans, home purchase plans or sale and rent back agreements.

2.8 What are your circulation figures?

For hard copy publications, give the most recent figures. Show separately any publications available only or partly in electronic form. If the publication is new, give the estimated circulation figures.

	Hard copy	Electronic copy
Number (UK)		
Number (Overseas)		
Period (From) (dd/mm/yyyy)		
Period (To) (dd/mm/yyyy)		

2.9 How have the figures in Question 2.8 been calculated?**2.10 What is the estimated readership in the UK?**

Please give details of the basis on which your estimate was made.

2.11 Please provide information about the readership profile.

Please include details of the source and basis of this information.

2.12 Are you producing monthly or more frequent publications?

- Yes ▶ You must attach six representative samples of the publication.
- No ▶ You must attach three representative samples of the publication.
- Samples attached

Please note, we may ask for further samples.

3 Application fee

You must send a cheque for the appropriate application fee in full with this application pack; otherwise the application will not be processed.

The application fee is £2000

You must pay the full application fee by cheque. **It is not refundable** (even if you decide to withdraw your application).

How to pay

- 1 Make the cheque payable to the Financial Conduct Authority. We cannot accept post-dated cheques.
- 2 Write the name of the applicant firm on the back of the cheque.
- 3 Write 'Application for certification' on the back of the cheque.
- 4 Send the cheque with the application pack.

4 Declaration of applicant

This declaration must be signed on behalf of the applicant by the editor.

I undertake to notify the FCA of any significant change in the information provided in this form which occurs after the date of submission of the application and prior to my receiving notification of the FCA's decision concerning the application.

I confirm that the information given in this application is complete and correct to the best of my knowledge and belief.

Signature	
Name	
Date	(dd/mm/yyyy)