

Certification – Form C

Application for news or information service certificate

Full name of applicant proprietor

Full name of news or information service

Important information you should read before completing this form

This form should only be used if your application is for a certificate under article 54 of the Financial Services and Markets Act 2000 (Regulated Activities) Order 2001 when the application relates to a service comprising regularly updated news or information reading writing or other legible form. This form should not be used for an application relating to a newspaper or other periodical publication 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 the supporting documents that you include with this application pack 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, and you may be committing a criminal offence and could face prosecution under section 398A of the FSMA regardless of the status of your application.

Terms in this application pack

In this application 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 to 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 do not 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 the 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 service

--

1.3 Contact details of service provider

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 person in day-to-day control of the service

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 the service

2.1 How is the service provided?

Please state whether the service is provided through a website, intranet, teletext or other. Is the service also available in another form?

2.2 How frequent is it?

Is the service available 24 hours per day? If not, indicate dates and times of availability.

2.3 What is the purpose(s) of the broadcast / transmission?

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

2.4 Please attach any supporting evidence to support the information given in Question 2.3. Please give details of the documents you have attached below.

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

2.5 Why do you consider the service as qualifying for the exclusion?

2.6 Why are you applying for a certificate?

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2.7 Does the certificate cover the whole service? If not, how much of it does it cover?

Please define how much of the service the certificate will apply to e.g. if it is a website, will the certificate apply to the whole service or just part of it. If only part, how is the distinction made.

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2.8 Give details of the estimated average proportion of material featured in the service which falls 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) ³	%
d) Material that has nothing at all to do with financial products ³	%

¹ PERG 7 contains FSA guidance on material – see <https://www.handbook.fca.org.uk/handbook/PERG/7/>

² Investment advice means advice of the kind covered by article 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.

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

2.9 What period was used for the estimate given in Question 2.8? (dd/mm/yyyy)

From

		/			/				
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To

		/			/				
--	--	---	--	--	---	--	--	--	--

2.10 On what basis do you consider that this offers a representative view?

2.11 Please provide us with your audience figures

Give the most recent figures. If the service is new, give the estimated audience figures. Indicate the period to which the figures relate.

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

2.12 How have the figures in Question 2.11 been calculated?

2.13 Please provide information about the profile and motives of the audience / readership.

Please give details of the source and basis of information.

2.14 Please confirm that you have contacted the FCA to agree the means by which we can access samples of your service.

Yes

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 £2,000

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 person in day-to-day control of the service.

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)