



Certification Form A

The Financial Services and Markets Act 2000
(Regulated Activities) Order 2001, Article 54

**Certification of newspapers, journals, magazines
and other periodical publications**

Application for a certificate for a periodical publication

December 2001

Name of applicant proprietor

Name of publication

The Financial Services Authority
Authorisation Enquiries
10th Floor
25 The North Colonnade
Canary Wharf
London E14 5HS
United Kingdom
Telephone +44 (0) 20 7676 4608
Facsimile +44 (0) 20 7676 4609
Website <http://www.fsa.gov.uk>

Registered as a Limited Company in England and Wales No 1920623. Registered Office as above

Contact details

1 Applicant proprietor

a Name

b Address

Postcode

c

Telephone

d

Fax

e

E-mail

2 Name of publication

3 Publisher (if different from 1)

a Name

b Address

Postcode

c

Telephone

d

Fax

e

E-mail

4 Editor

a Name

b Address

Postcode

c

Telephone

d

Fax

e

E-mail

5 Person handling this application
(contact point for the FSA)

a Name

b Address

Postcode

c

Telephone

d

Fax

e

E-mail

Information about the publication

6 Means of publication

[Say whether it is produced in hard copy or electronic form, or both.

*Note that 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

7 Frequency of publication

Daily

Weekly

Monthly

Quarterly

Biannual

Annual

Other

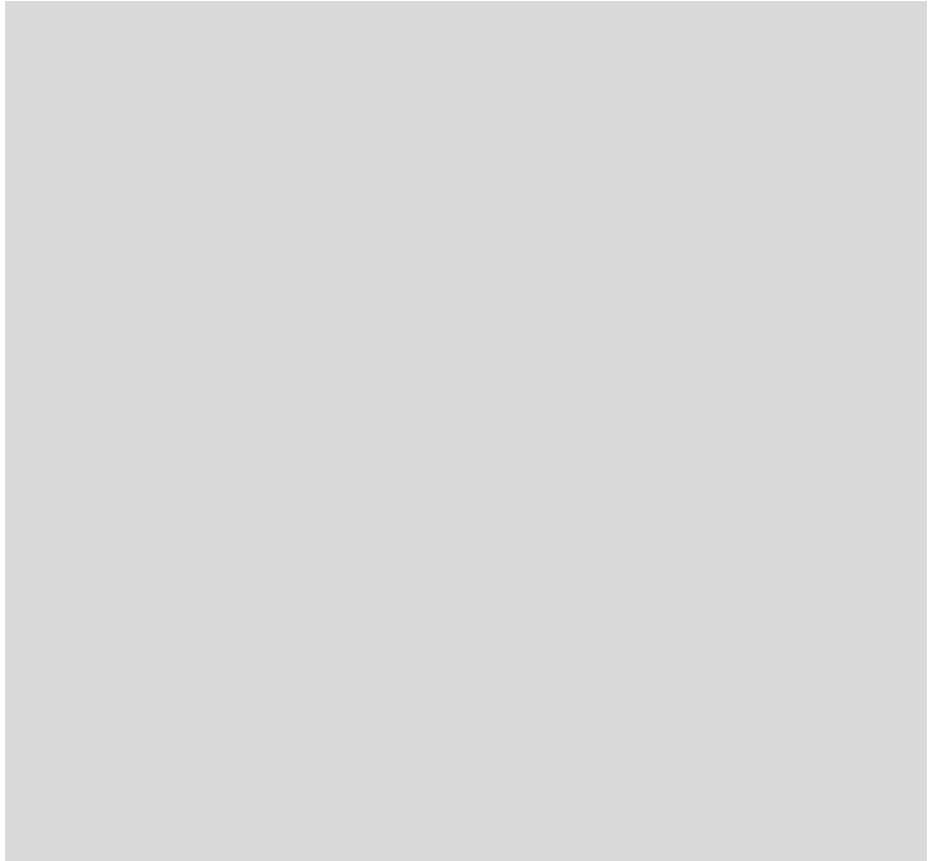
If 'Other', please specify

**8 Purpose(s) of the publication.
Indicate the principal purpose, if any.**

9 Information supporting the reply to question 8

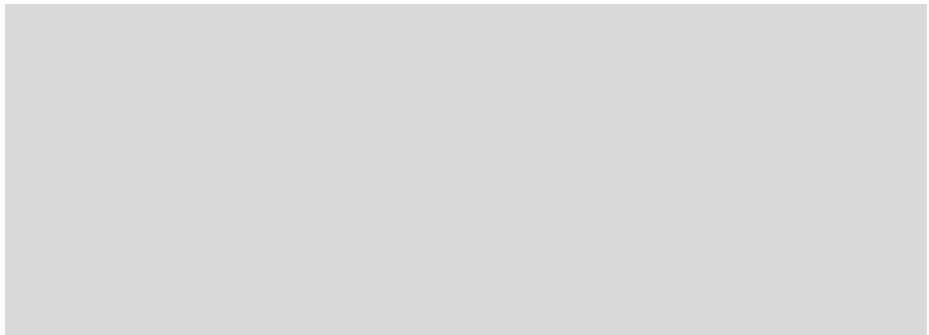
[Say whether the principal purpose, if so identified, is likely to change over the foreseeable future.

Where possible, enclose appropriate supporting evidence – e.g. in the form of business plans, statements of editorial policy, marketing literature etc]

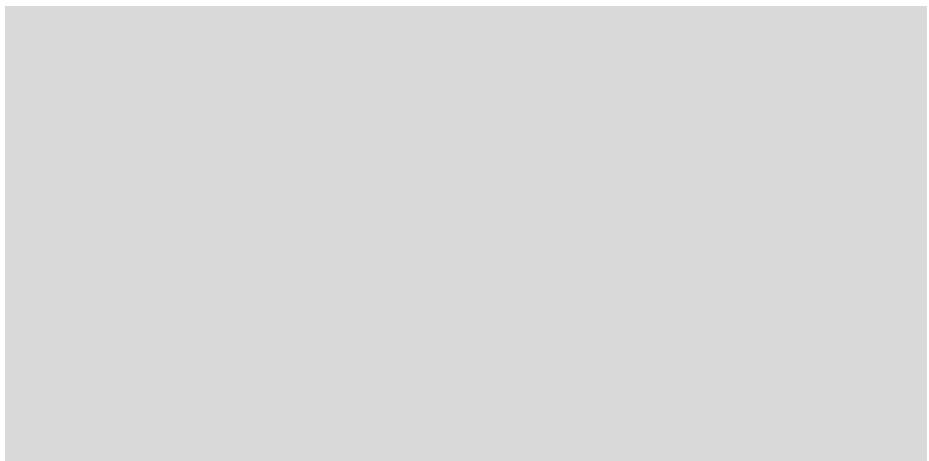


10 Grounds for the application

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



b Why is it considered that a certificate may be called for?



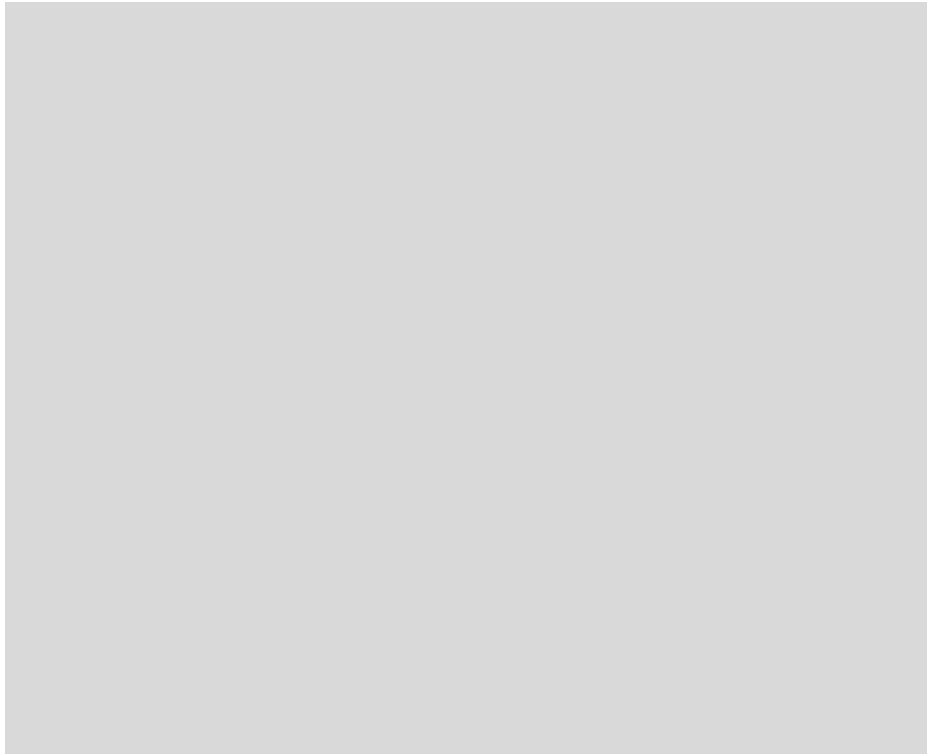
11 Categories of material in the publication

Estimated average proportion (based on a representative sample of the publication) of material falling within each of the following categories¹

a	investment advice ²	%	<i>A 'representative sample' means</i>
			<i>Daily</i> <i>1 month's issues</i>
			<i>Weekly</i> <i>2 months' issues</i>
b	material which leads to or enables dealing in investments ³ (which is not investment advice ²)	%	<i>Monthly</i> <i>6 issues</i>
			<i>Quarterly</i> <i>4 issues</i>
c	material relating to investments ³ (which is neither advice nor material leading to/enabling dealing in investments ³)	%	<i>Biannual</i> <i>4 issues</i>
			<i>Annual</i> <i>2 issues</i>
d	material that has nothing at all to do with investments ³	%	

12 Criteria used in distinguishing material in paragraphs (b) and (c) of question 11

[Give generalised examples of material contained in the publication to illustrate the allocation of material to each category]



¹ AUTH 2.7.15 and 16 contain FSA guidance on material within question 11(a). AUTH 7.4. 9 to 11 contain FSA guidance on material within questions 11(b) and (c).

² "investment advice" means advice of the kind covered by article 53 RAO taking no account of the exclusion in article 54 RAO.

³ i.e. securities or contractually based investments, as defined in article 3 RAO.

13 Circulation		Hard copy	Electronic copy	
<p><i>[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. In all cases, indicate the period to which the figures relate]</i></p>	Number (UK)			
	Number (Overseas)			
	Period	From		
		To		

14 How have the figures in reply to question 13 been calculated?

15 Estimated readership in the UK

Indicate basis of estimate

16 Provide information about the readership profile

[Indicate source and basis of information]

The application should be accompanied, in the case of monthly or more frequent publications, by six representative samples of the publication. In other cases, only three representative samples are required.

The FSA may ask for additional samples.

Declaration of applicant

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

I undertake to notify The Financial Services Authority ("the FSA") 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 FSA'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 [in BLOCK letters]

Date

Completed application forms, together with any supporting material and the application fee of £2000, should be sent to:

Richard Butters
Authorisation Enquiries
The Financial Services Authority
10th Floor
25 The North Colonnade
Canary Wharf
London E14 5HS

Enquiries about an application may be made to the address above or by telephone to 020 7676 4608.