



# Certification Form B

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

**Certification of advice given by way of a service consisting  
of the broadcast or transmission of TV or radio programmes**

## **Application for a certificate for a TV or radio service**

December 2001

Name of applicant proprietor

Name of TV or radio service

The Financial Services Authority  
Authorisation Enquiries  
10<sup>th</sup> Floor  
25 The North Colonnade  
Canary Wharf  
London E14 5HS  
United Kingdom  
Telephone +44 (0) 20 7676 4068  
Facsimile +44 (0) 20 7676 4069  
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 TV or radio service**

**3 Contact details of TV/radio station (if different from 1)**

**a** Name

**b** Address

Postcode

**c**

Telephone

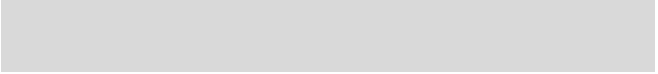
**d**

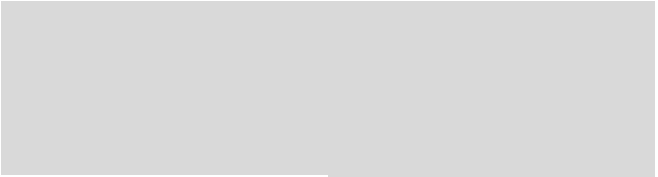

Fax


**e**


E-mail


**4 Person in day-to day control of the service**

**a** Name 


**b** Address   
Postcode 

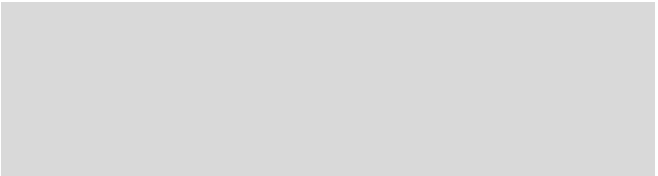
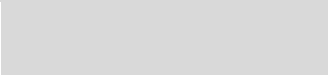
**c** Telephone 


**d** Fax 


**e** E-mail 


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

**a** Name 

**b** Address   
Postcode 

**c** Telephone 

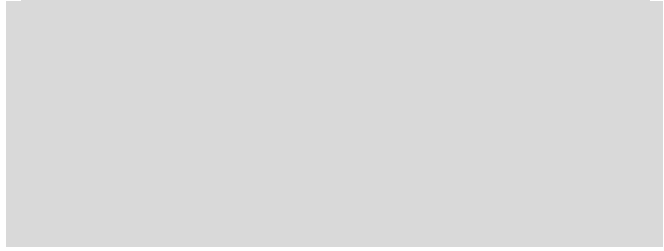
**d** Fax 

**e** E-mail 

## Information about the service

**6 Means of provision of service**

*[Say whether the service is provided solely by means of broadcast/transmission or is also available in some other form]*



**7 Details of broadcasting/transmission times**



**8 Purpose(s) of the broadcast/transmission.**

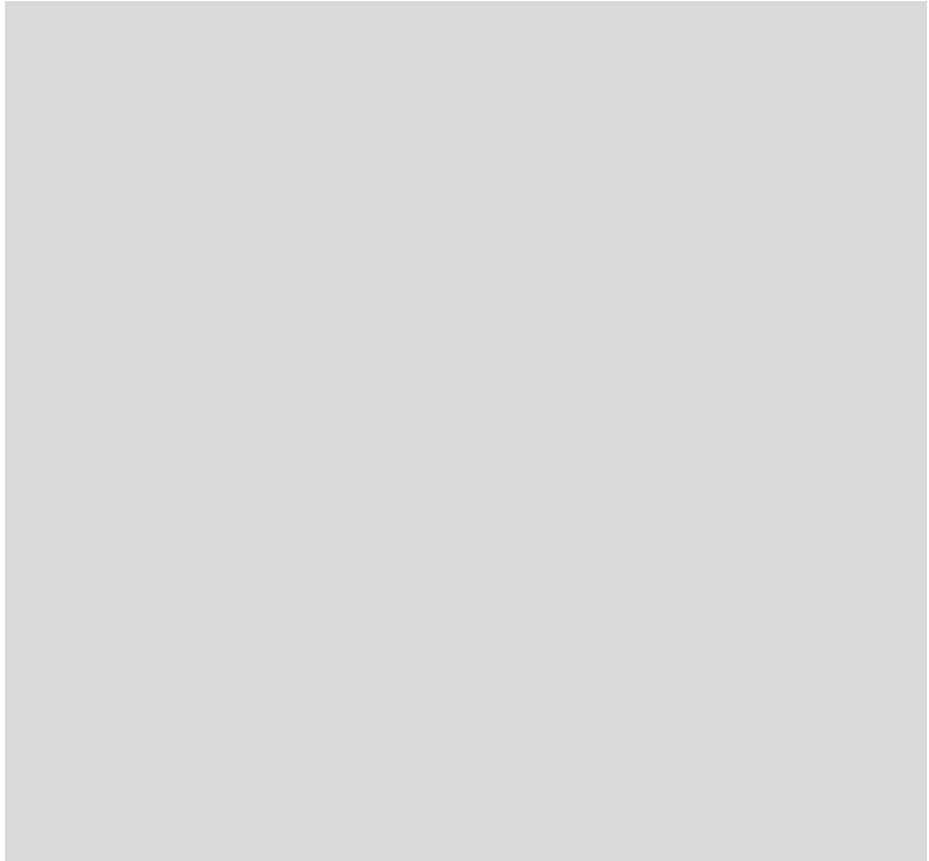
**Indicate the principal purpose, if any.**



**9 Information supporting the reply to question 8**

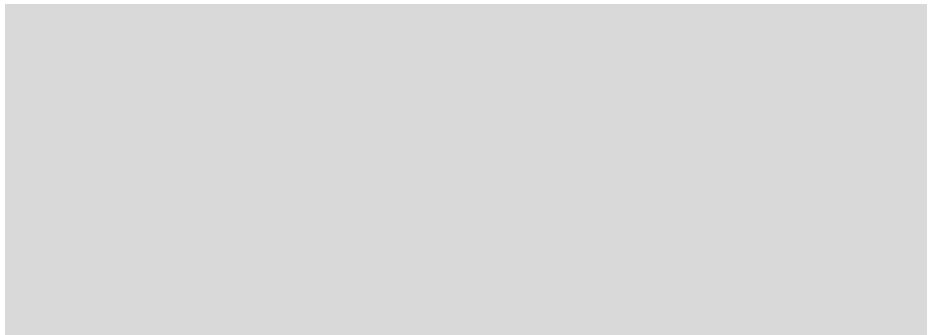
*[Say whether the principal purpose, if so identified, is likely to change over the foreseeable future.*

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

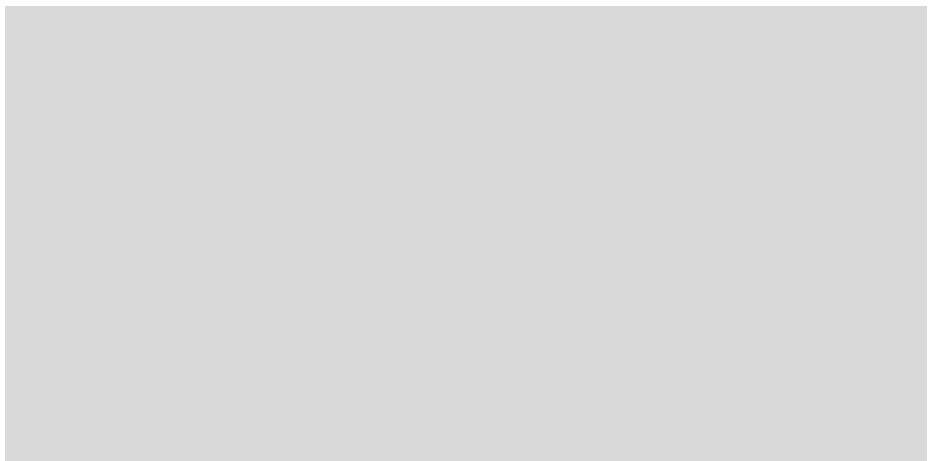


**10 Grounds for the application**

**a** Why is the service considered to qualify for the exclusion?



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



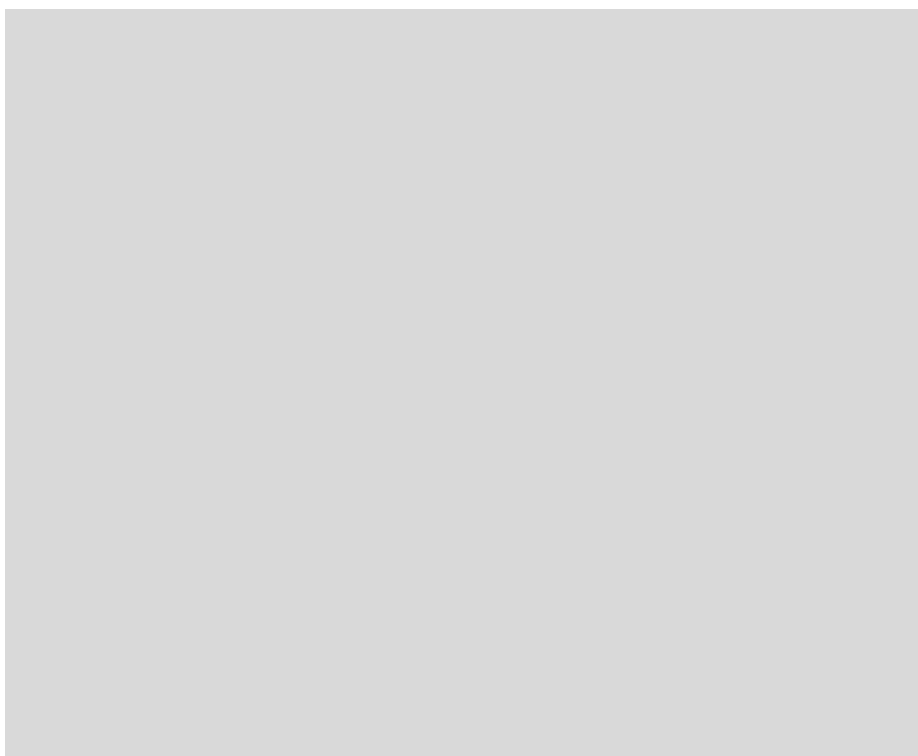
**11 Categories of material in the service**

Estimated average proportion of material featured in the service which falls within each of the following categories<sup>1</sup>

<b>a</b>	investment advice <sup>2</sup>	%
<b>b</b>	material which leads to or enables dealing in investments <sup>3</sup> (which is not investment advice <sup>2</sup> )	%
<b>c</b>	material relating to investments <sup>3</sup> (which is neither advice nor material leading to/enabling dealing in investments <sup>3</sup> )	%
<b>d</b>	material that has nothing at all to do with investments <sup>3</sup>	%

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

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



---

<sup>1</sup> 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).

<sup>2</sup> “investment advice” means advice of the kind covered by article 53 RAO taking no account of the exclusion in article 54 RAO.

<sup>3</sup> i.e. securities or contractually based investments, as defined in article 3 RAO.

**13 Information supporting the reply to question 11**

- a** What period was used for the estimate in reply to question 11? From  To
- b** On what basis is this considered to give a representative view?

**14 Audience**

*[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

To

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

**16 Provide information about the listener/viewer profile**

*[Indicate source and basis of information]*

The applicant should contact the FSA to agree the means by which the FSA may have access to samples of the service concerned.

## Declaration of applicant

*This declaration should be signed on behalf of the applicant by the person in day-to-day control of the service.*

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  
10<sup>th</sup> 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.*