



Certification Form C

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

Certification of advice given by way of a service (other than by means of a periodical publication or a TV or radio programme) comprising regularly updated news or information which can be read

Application for a certificate for a news or information service

December 2001

Name of applicant proprietor

Name of news
or information service

The Financial Services Authority
Authorisation Enquiries
10th 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 service

3 Service provider (if different from 1)

a Name

b Address

Postcode

c

Telephone

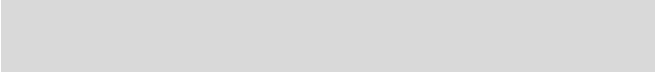
d

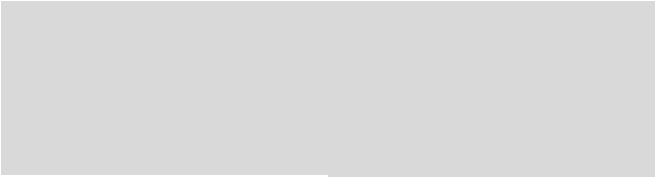
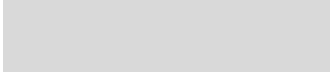
Fax

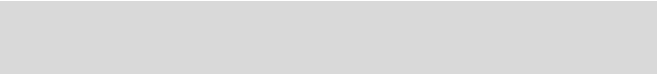
e


E-mail


4 Person in day-to day control of the service

a Name 


b Address 
Postcode 

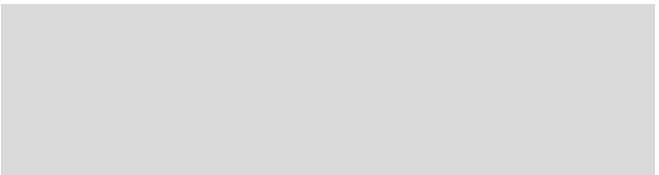

c Telephone 


d Fax 


e E-mail 


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

a Name 

b Address 
Postcode 

c Telephone 

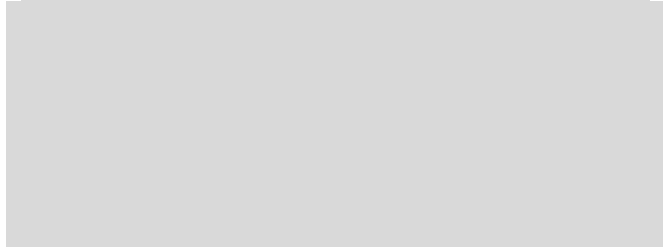
d Fax 

e E-mail 

Information about the service

6 Means of provision of service

[Say whether it is provided through a web site, intranet, teletext or other. Is the service also available in another form?]



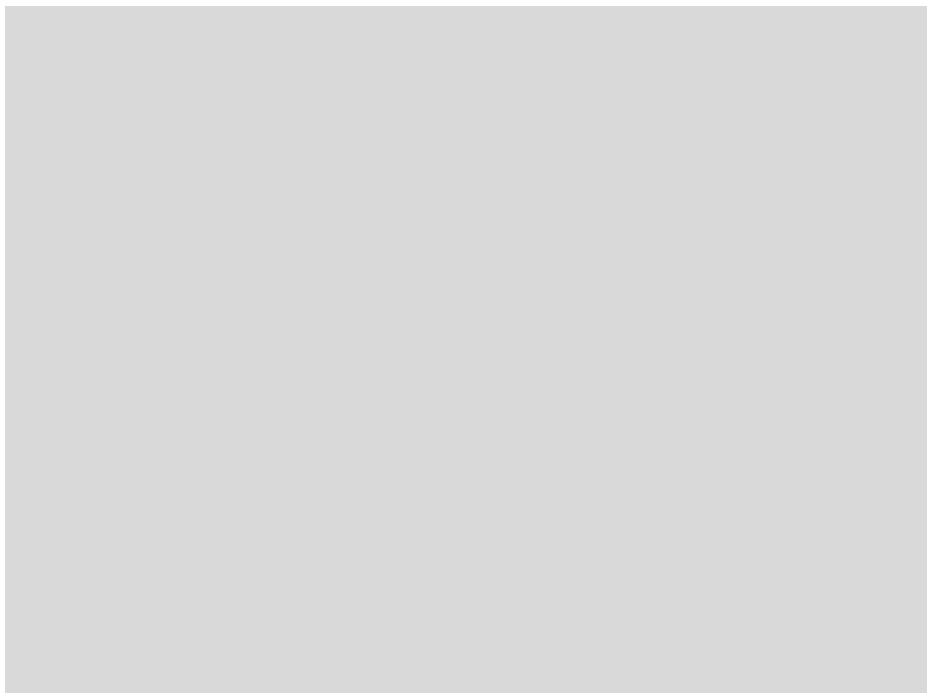
7 Frequency of service

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



8 Purpose(s) of the broadcast/transmission.

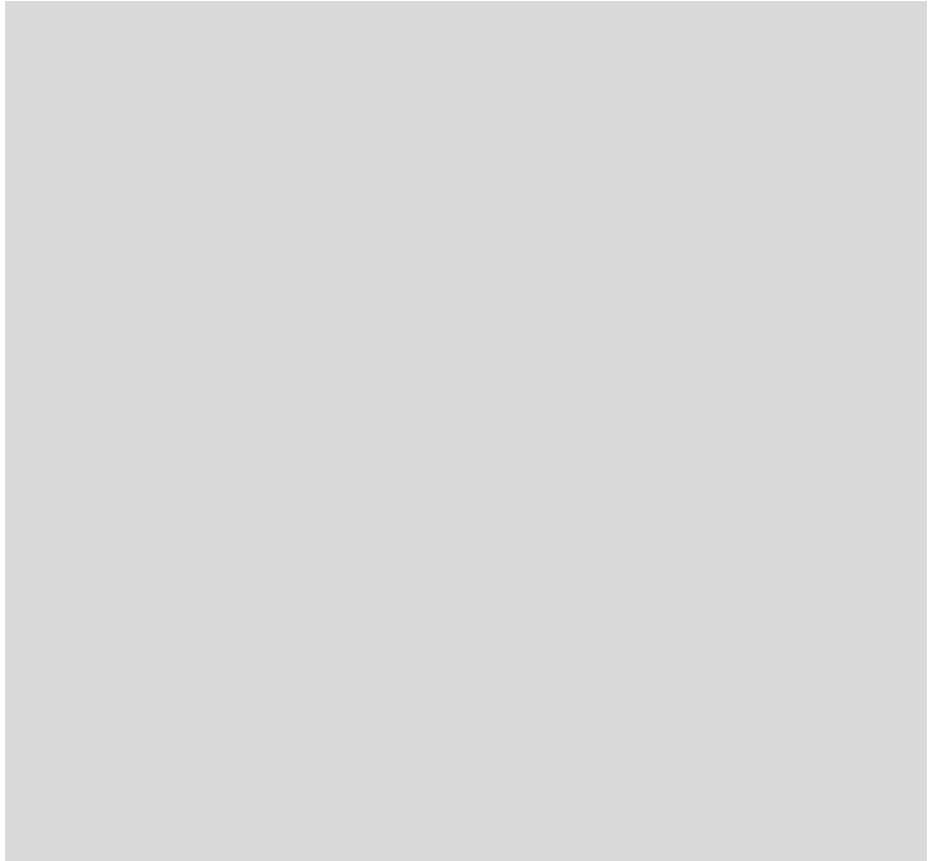
Indicate the principal purpose, if any.



9 Information supporting the reply to question 8

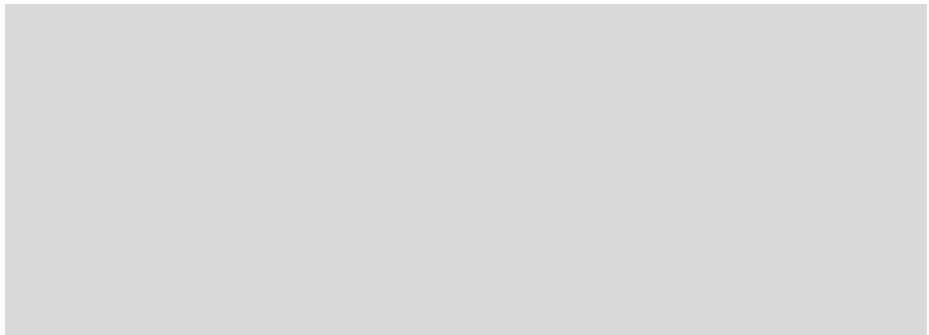
[Say whether the principal purpose, if so identified, is likely to change over the foreseeable future.

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

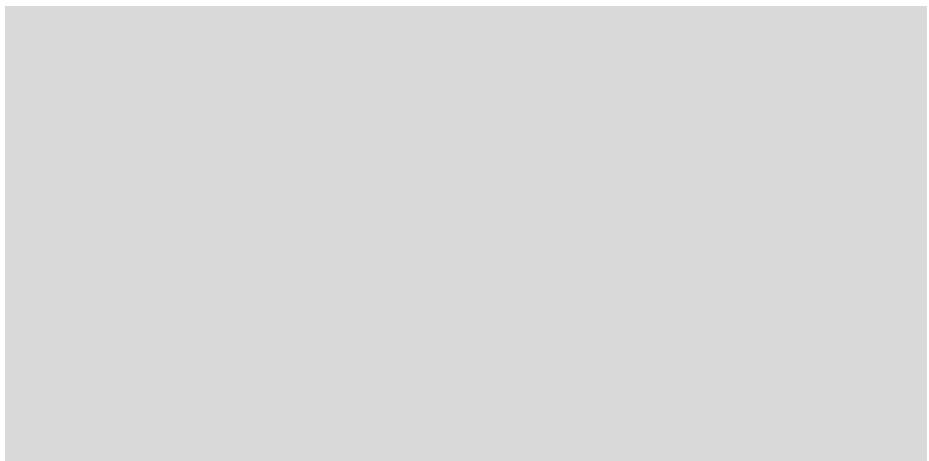


10 Grounds for the application

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



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



11 **Extent of service for which certificate is sought**

[Define what the service comprises – e.g. if it is a web site, does it comprise the whole service or merely part of it? If the latter, how is the distinction drawn?]

12 **Categories of material in the service**

Estimated average proportion of material featured in the service which falls within each of the following categories¹

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

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

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

¹ AUTH 2.7.15 and 16 contain FSA guidance on material within question 12(a). AUTH 7.4. 9 to 11 contain FSA guidance on material within questions 12(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.

14 Information supporting the reply to Question 12

- a What period was used for the estimate in reply to question 12? From To

- b On what basis is this considered to give a representative view?

15 Audience/readership

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

Number (UK)	<input type="text"/>
Number (Overseas)	<input type="text"/>
Period	From <input type="text"/>
	To <input type="text"/>

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

17 Provide information about the profile and motives of the audience/readership

[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
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.