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New FSMA/Consumer Credit/Payment Services Authorisation/ Registration Application

Create and submit FSMA, Consumer Credit limited/full permission and Payment Services authorisation and registration applications

Forms



Suspicious Transaction and Order Report

This form is for the use of persons professionally arranging or executing transactions, market operators and investment firms that operate a trading venue to make a report to the FCA under Article 16(1) and 16(2) of Regulation (EU) No 596/2014 of the European Parliament and of the Council on market abuse ("The Market Abuse Regulation").



Commodity Position Limit Exemption Form

This form is for the use of a non-financial entity holding a qualifying position in a commodity derivative, who wishes to apply for an exemption from position limits, as referred to under Article 57 MiFID II and Commission Delegated Regulation (EU) 2017/591.



MiFID II Ancillary Activity Exemption: Notification Form

This form is for use by persons who are exempt from the requirement for authorisation under MiFID II, to notify the FCA annually that they make use of this exemption, as required by Article 2(1)(j) MiFID II.

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Start New Application

You are creating an application for a Commodity Position Limit Exemption

Commodity Position Limit Exemption Form

Important information you should read before completing this form

This form should be used if you are:

- Applying for a position limit exemption;
 Notifying the FCA of a significant change in commercial or trading activities;
- 3. Cancelling a position limit exemption.

Please keep a copy of your completed forms and any supporting documents you include in your application pack for future reference.

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under the Markets in Financial Instruments Regulations 2017 and other relevant legislation and may be disclosed to third parties for those purposes.

It is important that you provide accurate and complete information. Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be an offence under [Regulation 43 of the Markets in Financial Instruments Regulations 2017]. If necessary, please take appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete this application may take longer to be processed.

You must notify us immediately of a significant change to the nature or value of the non-financial entity's commercial activities or its trading activities in commodity derivatives, and submit a new application for the exemption if you intend to continue to use it, as required under article 8(4) RTS 21.

Terms in this application pack

In this application pack we use the following terms:

- · 'you' refers to the person(s) signing the form on behalf of the applicant firm
- 'the applicant firm' refers to the relevant non-financial entity applying for the position limit
- 'we', 'us', 'our' or 'FCA' refers to the Financial Conduct Authority
- 'MIFID' refers to the Markets in Financial Instruments Directive (Directive 2014/65/EU of the European Parliament and of the Council)
- 'VPC' refers to Venue Product Code
 'RTS 21' refers to the Commission Delegated Regulation (EU) 2017/591

The decision will be communicated via e-mail to the applicant firm so please ensure valid business contact details are provided. For any queries relating to the completion of this application form please e-mail PLexemptionsqueries@fca.org.uk.



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My Commodity Position Limit Exemption Applications User Name: janedoe@abc.com Last Logged In: 31/07/2017 17:34:42 PM Start New Application page 1 of 1 (5 records total) ∢ ✓ Previous Next → → Page Size 10 ▼ Application Reference Number Application Type Application Outcome Firm Name Application Status Created Date Edit | Del 0001691013 Commodity Position Limit Exemption 02/08/2017 14:48 Edit | Del 0001690900 Commodity Position Limit Exemption Draft 01/08/2017 13:30 Edit | Del 0001690858 Commodity Position Limit Exemption Draft 31/07/2017 17:58 0001690857 Commodity Position Limit Exemption New Exemption Submitted 31/07/2017 17:44 Edit | Del 0001690856 Commodity Position Limit Exemption 31/07/2017 17:39

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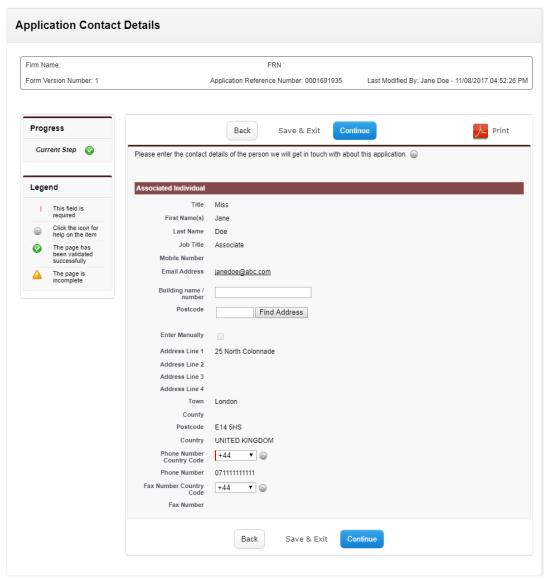


Entity Details Please complete the entity name. Do you have a Legal Entity Identifier (LEI)? Yes No Please provide the following details Your Legal Entity Identifier (LEI) Entity Name Test Firm Ltd Continue

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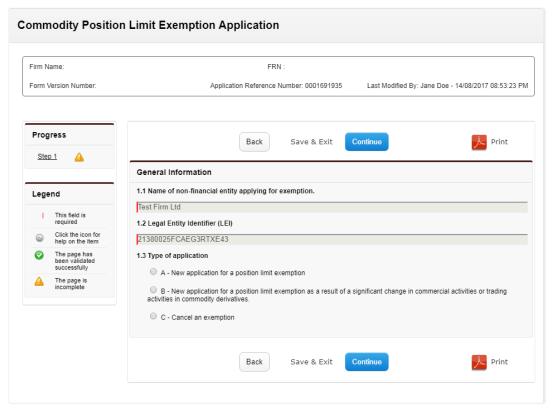




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Exemption Form Firm Name FRN Application Reference Number: 0001691935 Last Modified By: Jane Doe - 14/08/2017 08:53:23 PM Form Version Number Progress Back Save & Exit Continue Print Current Step 🔔 Exemption details For the answers provided below, please refer to activities carried out over the last 12 months. The applicant should state how recent the figures provided are, along with a statement as to whether their trading activity had changed materially in the interim period. Where the NFE does Legend months, it is asked to include estimates or projections which should be highlighted clearly. This field is This form can be used to apply for multiple exemptions in respect of a range of commodity derivative contracts. An assessment of suitability of the exemption will be made separately in respect of each individual commodity derivative contract. 2.1 Please provide the details of the commodity derivative contracts which you wish to seek an exemption or cancellation The page has been validated successfully for in the table below. Spot month contract: total risk -reducing position If Other The page is Trading VPC 🕝 Units (Please specify) -None- ▼ -None- ▼ -None- ▼ Add New Line 2.2 Please provide a description of the nature and value of your commercial activity in the commodity underlying this commodity derivative. Please specify the commodity derivative alongside the description. Description of nature and value of your commercial activity 2.3 How was the value of your commercial activity as described in 2.2 calculated? Please specify the commodity derivative alongside the description. Description of how value of commercial activity calculation was derived 2.4 What is the nature and value of your activity in the trading of and positions held in this commodity derivative? This should include activity on trading venues and in any EEOTC. Please specify the commodity derivative alongside the description. Description of nature and value of trading activity and positions held 2.5 Please provide a description of the nature and size of the exposures and risks in the relevant commodity which you have or expect to have as a result of your commercial activities or trading activities, and which are or would be mitigated by the use of commodity derivatives. The description should include an explanation of how your use of the commodity derivative directly reduces your exposures and risks in your commercial activities. Please specify the commodity derivative alongside the description. of nature and size of the exposures and risks in the relevant com 2.6 Please provide supporting evidence you wish to be considered as part of this application and highlight the relevant Supporting Document @ Document Title Attachment Select file to attach Remove Document Add Document Back Save & Exit Print



Exemption Form Firm Name FRN Form Version Number: Application Reference Number: 0001691935 Last Modified Bv: Jane Doe - 14/08/2017 08:53:23 PM Progress Back Save & Exit Print Current Step (A) Exemption details For the answers provided below, please refer to activities carried out over the last 12 months. The applicant should state how recent the figures provided are, pleasant as the figures provided are, along with a statement as to whether their trading activity had changed materially in the interim period. Where the NFE does not currently trade commodity derivatives and it is not possible to refer to trading activity in the last 12 months, it is asked to include estimates or projections which should be highlighted clearly. Legend This field is This form can be used to apply for multiple exemptions in respect of a range of commodity derivative contracts. An assessment of suitability of the exemption will be made separately in respect of each individual commodity derivative contract. Click the icon for help on the item (a) 2.1 Please provide the details of the commodity derivative contracts which you wish to seek an exemption or cancellation for in the table below. The page has been validated Commodity derivative name Spot month contract: total risk -reducing position Other Months' The page is incomplete contract: total risk -reducing position If Other Trading Trading Units (Please specify) venue MIC code Singapore IFEU ▼ NPT Venue1 15 12 lots ▼ Naphtha Future Remove Venue2 XLME ▼ CO 90 230 Others ▼ tonnes Colbalt Add New Line 2.2 Please provide a description of the nature and value of your commercial activity in the commodity underlying this commodity derivative.Please specify the commodity derivative alongside the description. Description of nature and value of your commercial activity 2.3 How was the value of your commercial activity as described in 2.2 calculated? Please specify the commodity derivative alongside the description. Description of how value of commercial activity calculation was derived 2.4 What is the nature and value of your activity in the trading of and positions held in this commodity derivative? This should include activity on trading venues and in any EEOTC. Please specify the commodity derivative alongside the Description of nature and value of trading activity and positions held 2.5 Please provide a description of the nature and size of the exposures and risks in the relevant commodity which you have or expect to have as a result of your commercial activities or trading activities, and which are or would be mitigated by the use of commodity derivatives. The description should include an explanation of how your use of the commodity derivative directly reduces your exposures and risks in your commercial activities. Please specify the commodity derivative alongside the description. tion of nature and size of the exposures and risks in the relevant commodity which would be mitigated by the use of com Description of nature and size of the exposures and risks in the relevant commodity which would be mitigated by the use of commodity derivatives. 2.6 Please provide supporting evidence you wish to be considered as part of this application and highlight the relevant sections. Supporting Document attached Supporting Document 🕝 Document Title Document Name Attachment Supporting Document.docx Select file to attach Download ove Attachment Remove Document Add Document 人 Print Back Save & Exit





Declaration

View our step-by-step video guide for the Firm Declaration Firm Name: FRN: Form Version Number: 1 Application Reference Number: 0001691935 Last Modified By: Jane Doe - 14/08/2017 08:53:23 PM Progress Continue Back Save & Exit Print Current Step A Declaration By submitting this application form: Legend - I confirm that the information in this application is accurate and complete to the best of my/our knowledge and belief and that I/we have taken all reasonable steps to ensure that this is the case. This field is - I am aware that it is an offence knowingly or recklessly to give the FCA information that is false or misleading in a material required particular. Click the icon for help on the item - Some responses do not require supporting evidence. However, I confirm that where relevant the records, which demonstrate the applicant's compliance with the requirements for the exemption, are available to the FCA on request. The page has been validated - I will notify the FCA immediately if there is a significant change to the information given in the application, as required under successfully article 8(4) RTS 21. If I fail to do so, this may result in a delay in the application process or supervisory action. The page is incomplete **Review and Submission** The ability to submit this form is given to an appropriate user or users by the entity's principal compliance contact. Tick here to confirm that the person submitting this form on behalf of the entity and (if applicable) the Individual named below - have read and understood the declaration Who must sign the declaration? The signatory must be a suitable person of appropriate seniority at the entity that is able to attest to the factual accuracy and validity of the information provided in this form. eg, Director, Sole Trader, Compliance Officer Is there more than one director / partner as applicable to the legal status of the entity? --None-- ▼ Signature I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA's request. Name of authorised Jane Doe signatory Signature 14/08/2017 [14/08/2017]

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