

# **Online Invoicing System User guide 2024**

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# 1. Accessing the system

## Logging In

**Step 1:** go to the [Online Invoicing login page](#)

**Step 2:** click 'PROCEED TO LOGIN' box

The screenshot shows the 'Online Invoicing System' landing page. At the top left is the FCA logo (Financial Conduct Authority). The page title is 'Online Invoicing System'. The main content area is divided into two columns. The left column has a header 'Online Invoicing' with a 'Need Help?' link. Below this is a prominent dark red button labeled 'PROCEED TO LOGIN'. Underneath the button is a link 'Register For Online Invoicing'. A yellow callout box contains an information icon and text: 'Security is at the heart of our Technology and Data platforms. With this in mind, we have introduced a new Online Invoicing login page. This means that once you have logged in and authenticated using your MFA one-time passcode, you will not need to re-authenticate to access Connect or RegData while you remain logged in. Please click on the "PROCEED TO LOGIN" button to progress to the new login page. Please see our resources page for further information.' The right column has a header 'Important Notes' and a welcome message: 'Welcome to the Online Invoicing portal.' Below this is a paragraph about multi-factor authentication: 'Multi-factor authentication strengthens how you log into the FCA systems and further protects and controls access to our data. You need to enter a one-time passcode each time you login. See our resources page for more information.' This is followed by a section 'Benefits of Online invoicing' with two paragraphs: 'Online Invoicing is the FCA's "one-stop shop" fees portal. 95% of our firms now use this paperless service which reduces our environmental impact and ensures the FCA has an efficient and effective fees invoicing and collection process.' and 'Firms have direct access to their fees account to view fees invoices and statements. Firms can also pay fees online (by card), set up a Direct Debit instruction and, if requested by the FCA, submit fee tariff data. More than one person can register for a single firm and an individual user can have access to multiple firms (if required) via a single login. A firm's registered users receive email notifications when invoices have been raised for their firm and can opt to receive pdf copies of their invoice with these notifications. For more information, see our website'.

**Step 3:** login in using your connect login credentials

The screenshot shows the 'Login to Online Invoicing' form. At the top left is the FCA logo (Financial Conduct Authority) and the Bank of England Prudential Regulation Authority logo. The form has a dark red header 'Login to Online Invoicing'. It contains two input fields: 'Username' and 'Password'. Below the password field is a blue 'Login' button. Underneath the button is a link 'Forgot Your Password?'. A yellow callout box contains a welcome message: 'Welcome to the new Online Invoicing login page. Once you have logged in and authenticated using your MFA one-time passcode, you will not need to re-authenticate to access Connect or RegData while you remain logged in.'

**Step 4: enter passcode and select Next**

Please enter digits: 3, 5 and 1 from your passcode (excluding commas).

3	<input type="text"/>
5	<input type="text"/>
1	<input type="text"/>

[Next](#)

**Step 5: select firm from dropdown list and select Yes, Select This Firm**



Online Invoicing System

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

R4A\_SIT Testing\_Passporting out\_Test Firm25 - 999001

[YES, SELECT THIS FIRM](#) [NO, CANCEL](#)

**Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.**

**Logging Out**

You can log out of the system at any time by clicking on **Logout** in the top right corner of the page.



Online Invoicing System

Refa Ali

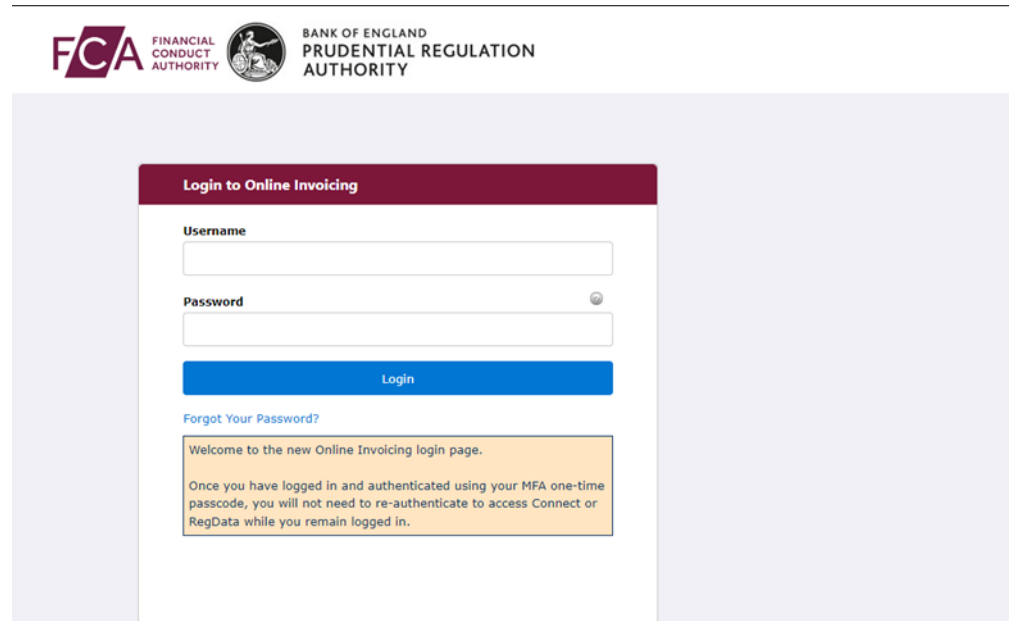
[Manage Profile](#) | [Logout](#)

- [Home](#)
- [Account Activity](#) ▼
- [Fee Tariff Data](#)
- [Manage Firms and Contacts](#) ▼
- [Invoicing Help](#) ▼

## 2. Managing your profile and password

### If you forget your password

If you forget your password, click on the **Forgot Your Password?** link on the login page.



You'll be asked to provide your registered email address, which is also your Online Invoicing System username.

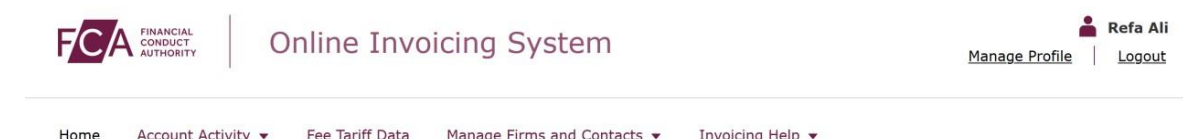
An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#\$%\_-\_+=+<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

### Changing your personal details

**Step 1:** click on **Manage Profile** on the login page



## Step 2: update Personal Details

### Manage Profile

---

**Login Details**  
Email Address  
**refa.ali@fca.org.uk.invalid**

---

**Personal details**

Suffix:  First Name:  Last Name:

Job Title:

Country Code:  Telephone Number:

Mobile Number (Optional):

---

**Security Details**

Security Question  
**To what city did you go on your honeymoon?**

Security Answer  
**\*a\*\*y\*\*\***

---

For security reasons, you cannot change your email address – the field is displayed but cannot be edited.

Should your email address change while you are working with the same organisation, you must contact our Supervision Hub who will update your profile with your new email address.

## Step 3: select **save profile details** to save the changes



Please always keep your contact details up to date. These details will be used in our correspondence for all cases where you have been indicated as the Primary Contact.

## Changing your security questions

### Step 1: click on **Manage Profile** on the login page



Online Invoicing System

Refa Ali

[Manage Profile](#) | [Logout](#)

[Home](#) [Account Activity](#) [Fee Tariff Data](#) [Manage Firms and Contacts](#) [Invoicing Help](#)

## Step 2: click on **Change Security Details**

**Manage Profile**

Login Details

Email Address  
refa.ali@fca.org.uk.invalid

---

Personal details

Suffix First Name Last Name

Select an Option Refa Ali

Job Title

Country Code Telephone Number

+44

Mobile Number (Optional)

---

Security Details

Security Question  
**To what city did you go on your honeymoon?**

Security Answer  
\*a\*\*y\*\*\*

CHANGE SECURITY DETAILS

---

SAVE PROFILE DETAILS CANCEL

## Step 3: enter **Current Security Answer**, **Select New Security Question** and enter **New Security Answer**

**Manage Profile**

Login Details

Email Address  
refa.ali@fca.org.uk.invalid

---

Security Details

Current Security Question  
**To what city did you go on your honeymoon?**

Current Security Answer

New Security Question

Select an Option

New Security Answer

SAVE SECURITY DETAILS CANCEL

## Step 4: click on **Save Security Details** to save the changes

When you click **Save Security Details**, you will see the **Update Profile Confirmation** message



### 3. Home Page

The Home Page provides summary information regarding your fees account and useful links.

The screenshot shows the 'Online Invoicing System' interface. At the top, there is a navigation bar with 'Home', 'Account Activities', 'Fee Tariff Data Requests', 'Manage Firms and Contacts', and 'Invoicing Help'. The user's name 'Michele Blyden' and a 'Logout' link are in the top right. Below the navigation bar, the page title is 'R4A\_SIT Testing\_Passporting out\_Test Firm25 (999001)' with a 'SWITCH FIRM' button. The main content area is divided into several sections:

- Account Summary:** Displays 'Your Account Balance' as £ 132,341,075.41. Below this are 'Total unpaid invoices' (£ 132,341,175.41), 'Unapplied payments' (£ (100.00)), and 'Unapplied credit memos' (£ 0.00). The 'Account balance' is also £ 132,341,075.41. There are buttons for 'SEE LATEST TRANSACTIONS', 'SEE LATEST INVOICE', and 'PAY TOTAL UNPAID INVOICES BY CARD'. A note states 'Users can easily pay outstanding balances by card.' Below this is the 'Overdue Amount' (£ 0.00).
- Manage Direct Debit:** Shows 'Direct Debit Instruction Not Setup'. A note explains that if set to 'Active', fees will be collected in full. There is a 'SET UP DIRECT DEBIT' button.
- Get Invoice by Email:** Includes a checkbox for receiving PDF copies and a 'SAVE NOTIFICATION SETTINGS' button.
- Useful Links:** Contains a link for 'Request Firm's Unique Validation Code' and a 'See Disputes' link.

Annotations with arrows point to various elements: 'Users linked to multiple firms can toggle between firm pages' points to the 'SWITCH FIRM' button; 'View summary of transaction—amounts due, what has been paid, credits to the account, admin and late fees' points to the 'SEE LATEST TRANSACTIONS' button; 'View summary of most recent invoice and access PDF for download' points to the 'SEE LATEST INVOICE' button; 'When a firm has a Direct Debit in place the status will show as 'Active'' points to the 'Direct Debit Instruction Not Setup' text; 'Set up a Direct Debit. Will show as Manage Direct Debit when active DD in place.' points to the 'SET UP DIRECT DEBIT' button; 'Select to receive pdf invoices by email. Must Save Notification to activate' points to the checkbox; 'Existing users can request the UVC code for the registration of new users. The code will be emailed to their registered address.' points to the 'Request Firm's Unique Validation Code' link; and 'Check the status of disputes raised about invoices, or initiate a new dispute' points to the 'See Disputes' link.

This is a partial screenshot of the Home Page, showing the navigation bar and the top part of the main content area. It includes the 'SWITCH FIRM' button and the 'R4A\_SIT Testing\_Passporting out\_Test Firm25 (999001)' header. An annotation points to the 'SWITCH FIRM' button with the text 'Users linked to multiple firms can toggle between firm pages'.

This is a detailed view of the 'Account Summary' section from the screenshot above. It shows the following data:

- Your Account Balance:** £ 132,341,075.41
- Total unpaid invoices:** £ 132,341,175.41
- Unapplied payments:** £ (100.00)
- Unapplied credit memos:** £ 0.00
- Account balance:** £ 132,341,075.41

Annotations include:

- 'View summary of transaction—amounts due, what has been paid, credits to the account, admin and late fees' pointing to the 'SEE LATEST TRANSACTIONS' button.
- 'View summary of most recent invoice and access PDF for download' pointing to the 'SEE LATEST INVOICE' button.
- 'Users can easily pay outstanding balances by card.' pointing to the 'PAY TOTAL UNPAID INVOICES BY CARD' button.

**Manage Direct Debit**

Direct Debit instruction **Not Setup**

If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.

**SET UP DIRECT DEBIT**

**When a firm has a Direct Debit in place the status will show as 'Active'**

**Set up a Direct Debit. Will show as Manage Direct Debit when active DD in place.**

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£ 132,341,075.41

recent DF for

**Get Invoice by Email**

To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

**SAVE NOTIFICATION SETTINGS**

**Select to receive pdf invoices by email. Must Save Notification to activate**

---

£ 0.00

**Useful Links**

[Request Firm's Unique Validation Code](#) ⓘ

[See Disputes](#)

**Existing users can request the UVC code for the registration of new users. The code will be emailed to their registered address.**

**Check the status of disputes raised about invoices, or initiate a new dispute**

## Account Summary

This section will display your firm's account balance and a breakdown by type of transaction (i.e. unpaid invoices).

## See Latest Transactions

**Step 1:** on the homepage select **See Latest Transactions**, you'll be directed to the account activity page

Account Summary		Manage Direct Debit	
<b>Your Account Balance ⓘ</b>	<b>£ 132,341,075.41</b>	Direct Debit instruction <b>Not Setup</b>	
Total unpaid invoices	£ 132,341,175.41	If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.	
Unapplied payments	£ (100.00)	<b>SET UP DIRECT DEBIT</b>	
Unapplied credit memos	£ 0.00		
Account balance	£ 132,341,075.41	<b>Get Invoice by Email</b>	
<b>SEE LATEST TRANSACTIONS</b>	<b>SEE LATEST INVOICE</b>	<input type="checkbox"/> To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'	
<b>PAY TOTAL UNPAID INVOICES BY CARD</b>		<b>SAVE NOTIFICATION SETTINGS</b>	
Overdue Amount	£ 0.00	<b>Useful Links</b>	
		<a href="#">Request Firm's Unique Validation Code</a> ⓘ	

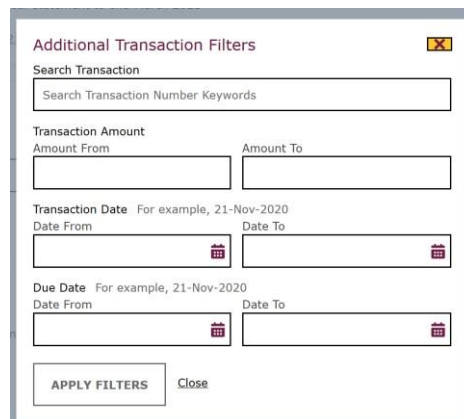
## Refining your transactions search

The system allows you to refine your search using the following search criteria:



The 'Refine Transactions' form contains two dropdown menus: 'Transaction Status' with 'Open/pending' selected, and 'Transaction Types' with 'All Transactions' selected. To the right of the 'Transaction Types' dropdown is a yellow button labeled 'Show More Filters' with a right-pointing arrow. Below these elements are two buttons: 'APPLY FILTERS' and 'CLEAR ALL FILTERS'.

By selecting Show More Filters you can further refine your search using the following search criteria:



The 'Additional Transaction Filters' dialog box includes a search field labeled 'Search Transaction' with the placeholder text 'Search Transaction Number Keywords'. Below this are three sections of filters: 'Transaction Amount' with 'Amount From' and 'Amount To' text boxes; 'Transaction Date' with 'Date From' and 'Date To' text boxes, each accompanied by a calendar icon; and 'Due Date' with 'Date From' and 'Date To' text boxes, each accompanied by a calendar icon. At the bottom of the dialog are 'APPLY FILTERS' and 'Close' buttons.

**Please note: You will be required to select Apply Filters to apply filter(s) to the search.**

## Statements Download

You'll be able to download the following types of statement:

- Current Debt Statement
- Statement from April 2021
- Historical Statement to end March 2021 (3-year history)

### Step 1: select type of statement

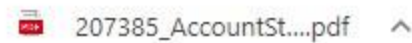
Account Activities

R4A\_SIT Testing\_Passporting out\_Test Firm25 (999001)

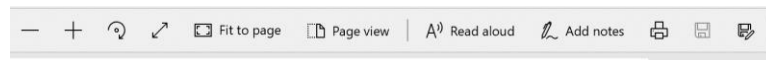
Statements Download

- Download PDF for Current Debt Statement
- Download PDF for Statement from April 2021
- Please Use the link below if you wish to view your 3 year statement to end-March 2021
- Download PDF for Historical Statement before April 2021

### Step 2: click on the statement to open a new window displaying the selected statement



### Step 3: at the top of the page on the right-hand side you'll be able to save or print the document



**Please note: As a new window will open displaying the statement you will be required to enable pop-ups on the browser.**

## See Latest Invoice

On the homepage select **See Latest Invoice**

Account Summary

Your Account Balance **£ 132,341,075.41**

Total unpaid invoices **£ 132,341,175.41**

Unapplied payments **£ (100.00)**

Unapplied credit memos **£ 0.00**

Account balance **£ 132,341,075.41**

[SEE LATEST TRANSACTIONS](#) [SEE LATEST INVOICE](#)

[PAY TOTAL UNPAID INVOICES BY CARD](#)

Overdue Amount **£ 0.00**

Manage Direct Debit

Direct Debit instruction **Not Setup**

If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.

[SET UP DIRECT DEBIT](#)

Get Invoice by Email

To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

[SAVE NOTIFICATION SETTINGS](#)

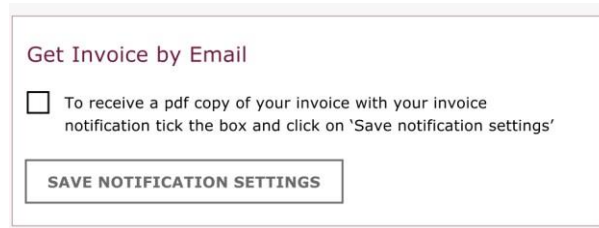
Useful Links

[Request Firm's Unique Validation Code](#)

Click on **View Paper Copy** to view or download your full invoice (PDF format).

### Receive Invoices by Email

By selecting **Get Invoice by Email** on the online invoicing homepage you'll be able to receive invoices attached to your invoice notifications. You must select **Save Notification Settings** to save the changes.

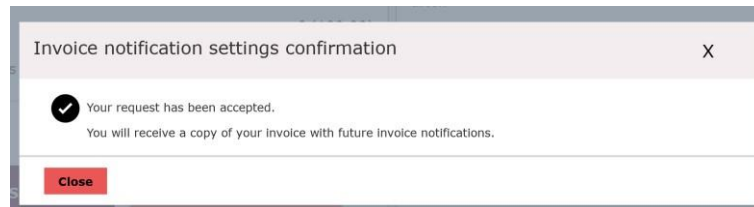


Get Invoice by Email

To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

Once you select **Save Notification Settings**, you'll receive confirmation on screen.



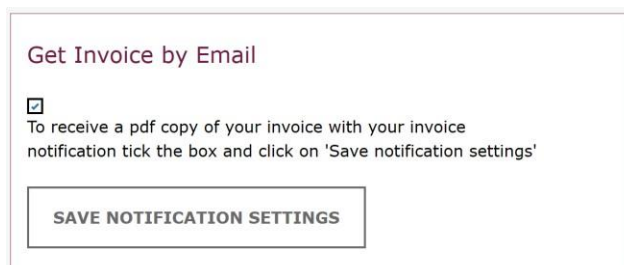
Invoice notification settings confirmation X

✔ Your request has been accepted.  
You will receive a copy of your invoice with future invoice notifications.

Close

### Opt-out of Invoices by Email

By deselecting **Get Invoice by Email** on the online invoicing homepage you'll be able to stop receiving invoices attached to your invoice notifications. You must select **Save Notification Settings** to save the changes.

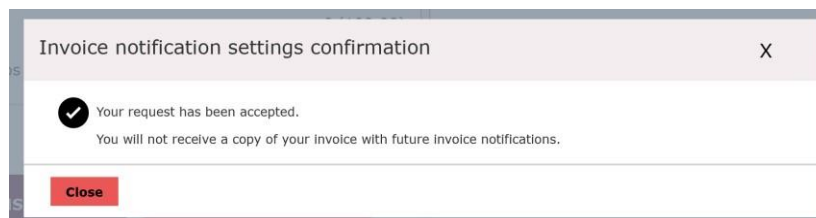


Get Invoice by Email

To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

Once you select **Save Notification Settings**, you'll receive confirmation on screen.



Invoice notification settings confirmation X

✔ Your request has been accepted.  
You will not receive a copy of your invoice with future invoice notifications.

Close


# Pay Invoice

## Set Up Direct Debit

### Step 1: select **Manage Direct Debit**

<b>Account Summary</b> <b>Your Account Balance</b> ⓘ £ 132,341,075.41 Total unpaid invoices £ 132,341,175.41 Unapplied payments £ (100.00) Unapplied credit memos £ 0.00 Account balance £ 132,341,075.41 <a href="#">SEE LATEST TRANSACTIONS</a> <a href="#">SEE LATEST INVOICE</a> <a href="#">PAY TOTAL UNPAID INVOICES BY CARD</a> Overdue Amount £ 0.00	<b>Manage Direct Debit</b> Direct Debit instruction <b>Not Setup</b> If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after. <a href="#">SET UP DIRECT DEBIT</a> <b>Get Invoice by Email</b> <input type="checkbox"/> To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings' <a href="#">SAVE NOTIFICATION SETTINGS</a> <b>Useful Links</b> Request Firm's Unique Validation Code ⓘ
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### Step 2: enter **Direct Debit Details**

<b>Direct Debit Details</b> Payee <b>Financial Conduct Authority</b> 12 Endeavour Square London E20 1JN	 Instruction to your Bank or Building Society to pay by Direct Debit
Service User Number <b>836854</b>	
Name of Account holder test <input type="text"/>	
Bank / Building Society Account Number Must be 8 digits <input type="text"/>	
Branch Sort Code Must be 6 digits <input type="text"/> <input type="text"/> <input type="text"/>	<a href="#">VERIFY SORT CODE</a>
Name and Branch of Bank or Building Society	

### Step 3: click **verify sort code**

Once the sort code has been verified the system will populate Name and Branch of Bank or Building Society

**IMPORTANT: The system verifies only the sort code number. Ensure that you have typed the correct Account Name and Account number**

**Step 4: accept terms and conditions and click **Submit Direct Debit Request****

## Direct Debit Details

Payee  
**Financial Conduct Authority**  
12 Endeavour Square  
London  
E20 1JN



Instruction to your Bank or Building Society to pay by  
Direct Debit

Service User Number  
**836854**

Name of Account holder test

Bank / Building Society Account Number

Must be 8 digits

Branch Sort Code

Must be 6 digits

VERIFY SORT CODE

Name and Branch of Bank or Building Society

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Banks and building societies may not accept Direct Debit Instructions for some types of account.

### Instruction to your Bank or Building Society

Please pay the Financial Conduct Authority Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Financial Conduct Authority and, if so, details will be passed electronically to my Bank/Building Society.

## Direct Debit Guarantee



- The Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are changes to the account, date or frequency of your Direct Debit, Financial Conduct Authority will notify you (normally 10 working days) in advance of your account being debited or as otherwise agreed. If you request Financial Conduct Authority to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Financial Conduct Authority or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Financial Conduct Authority ask you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or building society or by contacting Financial Conduct Authority directly.

I confirm the Direct Debit instruction has been approved by an authorised signatory of the bank account stated above.

**SUBMIT DIRECT DEBIT REQUEST**

When you click **Submit Direct Debit Request**, you will see the **Submit Direct Debit Request Confirmation** message and an email will be sent to all your firms' registered users. The direct debit status will update to "Requested" on the portal.

## Update Direct Debit Details

If you wish to amend your direct debit details, select **Update Direct Debit Details** at the bottom of the page, enter your new bank details, accept terms

and conditions and click **Submit Direct Debit Request** (as per Steps 2-4 above). The direct debit status will update to "Requested" on the portal.

**UPDATE DIRECT DEBIT DETAILS**

## Cancel Direct Debit

If you wish to cancel the direct debit, select **Cancel My Direct Debit Instruction** at the bottom of the page.

**CANCEL MY DIRECT DEBIT INSTRUCTION**

## Pay Invoice by Card

Please make sure you have applied all open credit memos before paying invoices by card.

**Step 1:** if you wish to pay all unpaid invoices, select **Pay Total Unpaid Invoices by Card**, you'll be directed to the **Pay By Card – Transactions Details Page**

The screenshot displays a user interface for account management, divided into two main sections: Account Summary and Manage Direct Debit.

**Account Summary:**

<b>Your Account Balance</b>	<b>£ 132,341,075.41</b>
Total unpaid invoices	£ 132,341,175.41
Unapplied payments	£ (100.00)
Unapplied credit memos	£ 0.00
Account balance	£ 132,341,075.41
Overdue Amount	£ 0.00

Buttons: **SEE LATEST TRANSACTIONS**, **SEE LATEST INVOICE**, **PAY TOTAL UNPAID INVOICES BY CARD**

**Manage Direct Debit:**

Direct Debit instruction **Not Setup**

If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.

Button: **SET UP DIRECT DEBIT**

**Get Invoice by Email:**

To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

Button: **SAVE NOTIFICATION SETTINGS**

**Useful Links:**

Request Firm's Unique Validation Code

Alternatively, click on the Account Activity page and select the invoice(s) you wish to pay.

**Step 2:** select to confirm you have **reviewed and agree with the Payment information**, then select Make Payment



Transaction Summary

**i** If you do not wish to pay all the invoices, go to account activity and select the appropriate invoice.





Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
SUN_0000317	02/03/2021	01/04/2021	1,400.00	2,800.00
SUN_0000340	07/03/2021	07/03/2021	1,400.00	600.00
			<b>Net Amount Due</b>	<b>£ 3,400.00</b>

Review Payment Information

I have reviewed and agree with the Payment Information.

### Step 3: enter card details and select **Proceed to Pay**

Total GBP 25000.00

**Pay with a new card**

Holder Name

Card Number

Expiry Month

Expiry Year

Security Code

When you click **Proceed to Pay**, you may be required to undertake additional payment authentication. Once complete, will see the **Payment Confirmation** message. A PDF copy of the payment confirmation is available on the Account Activity page. Please wait until the payment has been applied (this may take 5 minutes) before using the **View PDF Copy** action. To return to the Account Activity page, click on the **See Account Activity**.

**Please note: You can pay a maximum of £25,000 per card transaction.**  
**Apply Credit Memo**

Please make sure you have applied all open credit memos before paying invoices by card.

You can only apply a credit memo to one invoice online, if you wish to apply a credit memo to additional invoices please send your request to [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk)

**Step 1:** on the Account Activity page, identify relevant Transaction and select **Apply Credit**

[SUN\\_0000179C](#) (700.00) (700.00) 07/03/2021 Open [Apply Credit](#)

**Step 2:** ensure correct invoice number has been selected and select **Apply Credit to Invoice**

Invoice Number	Transaction Date	Due Date	Original amount (£)	Balance amount (£)
<input checked="" type="radio"/> SUN_0000317	02/03/2021	01/04/2021	1,400.00	2,800.00
<input type="radio"/> SUN_0000340	07/03/2021	07/03/2021	1,400.00	600.00

**APPLY CREDIT TO INVOICE**

**CANCEL APPLY CREDIT**

If you no longer wish to apply credit to the selected invoice, then select **Cancel Apply Credit**.

**Step 3:** select **Submit Apply Credit**

Credit memo applied Summary

Credit memo number	Date	Original amount (£)	Remaining amount (£)	Application amount (£)	Unapplied credits (£)
SUN_0000179C	07/03/2021	(700.00)	(700.00)	700.00	0.00

Selected invoice to credit memo

Invoice Number	Transaction Date	Due Date	Original amount (£)	Balance amount (£)
SUN_0000317	02/03/2021	01/04/2021	1,400.00	2,100.00

**SUBMIT APPLY CREDIT**

**BACK TO SELECT INVOICE**

**CANCEL APPLY CREDIT**

If you selected the incorrect invoice, select **Back to Select Invoice** to select the correct invoice.

If you no longer wish to apply credit to the selected invoice, then select **Cancel Apply Credit**.

When you click **Submit Apply Credit**, the credit memo will be applied to the selected invoice. To return to the Account Activity page, click on the **See Account Activity**.

## 5. Invoice Disputes

### Raise Invoice Dispute

**Please note: You can only raise one dispute per invoice.**

**Step 1:** select **See Latest Transactions**, you'll be directed to the **Account Activity** page

The screenshot shows the 'Account Summary' section with the following details:

- Your Account Balance:** £ 132,341,075.41
- Total unpaid invoices:** £ 132,341,175.41
- Unapplied payments:** £ (100.00)
- Unapplied credit memos:** £ 0.00
- Account balance:** £ 132,341,075.41

Buttons available:

- SEE LATEST TRANSACTIONS
- SEE LATEST INVOICE
- PAY TOTAL UNPAID INVOICES BY CARD

Other sections visible:

- Manage Direct Debit:** Direct Debit instruction **Not Setup**. Includes a 'SET UP DIRECT DEBIT' button.
- Get Invoice by Email:** Includes a checkbox for receiving PDF copies and a 'SAVE NOTIFICATION SETTINGS' button.
- Useful Links:** Request Firm's Unique Validation Code.

**Step 2:** identify relevant transaction and select **Dispute Invoice**

<input type="checkbox"/>	Transaction Number	Type	Amount (£)	Balance (£)	Transaction Date	Due Date	Status	Action
<input type="checkbox"/>	PFA20_0003744	Invoice	122,297,046.87	122,297,046.87	28/02/2021	30/03/2021	Open	Pay by Card Dispute Invoice

**Step 3:** select a **Reason for the Dispute** from the dropdown list

The screenshot shows the 'Add New Dispute - Step 1 of 3' form with the following steps:

- 1. Select Dispute Reason** (Current step)
2. Enter Dispute Details
3. Review & Submit Dispute Request

Form details:

- Select Dispute Reason:** A dropdown menu with the placeholder text 'Please select reason for Dispute'.
- Message:** All fields are required.

**Step 4:** select **Enter Dispute Details**

**Add New Dispute - Step 1 of 3**

1. Select Dispute Reason      2. Enter Dispute Details      3. Review & Submit Dispute Request

Select Dispute Reason

**i** All fields are required.

Reason for Dispute

Please select reason for Dispute

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
PFA20_0003744	28/02/2021	30/03/2021	122,297,046.87	122,297,046.87

**ENTER DISPUTE DETAILS**      **CANCEL DISPUTE**

If you no longer wish dispute the invoice, then select **Cancel Dispute**.

**Step 5:** enter the details of the dispute

**Add New Dispute - Step 2 of 3**

1. Select Dispute Reason      **2. Enter Dispute Details**      3. Review & Submit Dispute Request

Enter Dispute Reason

**i** All fields are required.

Reason for Dispute

**Duplicate Invoice**

Enter additional comments explaining why the invoice is disputed.

**Step 6:** select **Dispute Amount**

Select Dispute Amount

Partial Dispute Amount

Partial Dispute Percentage

Entire Remaining Amount

**£ 122,297,046.87**

If **Partial Dispute Amount** is selected, you must enter the amount. If **Partial Dispute Percentage** is selected, you must enter a percentage.

If you wish to amend the dispute details, select **Back to Dispute Reason**. If you no longer wish dispute the invoice, then select **Cancel Dispute**.

**Step 7:** once you have reviewed the dispute details, select **Review & Submit This Dispute**

## Add New Dispute - Step 3 of 3

1. Select Dispute Reason	2. Enter Dispute Details	3. Review & Submit Dispute Request
--------------------------	--------------------------	------------------------------------

---

Enter Dispute Reason

Reason for Dispute  
**FOS Exempt**

Dispute Type  
**Entire Remaining Amount**

Current Disputed Amount Total  
**126.82**

Additional comments explaining why the invoice is disputed.  
**VXZVXZVXZV**

---

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
SUN_0000238	10/02/2021	24/02/2021	126.82	126.82

---

**SUBMIT THIS DISPUTE**   **BACK TO DISPUTE DETAILS**   **CANCEL DISPUTE**

If you wish to change the dispute details, then select **Back to Dispute Details**. If you no longer wish dispute the invoice, then select **Cancel Dispute**.

### Step 8: select **Submit the Dispute**

Add New Dispute - Step 3 of 3		
1. Select Dispute Reason	2. Enter Dispute Details	3. Review & Submit Dispute Request

---

Enter Dispute Reason

Reason for Dispute  
**Duplicate Invoice**

Dispute Type  
**Entire Remaining Amount**

Current Disputed Amount Total  
**122,297,046.87**

Additional comments explaining why the invoice is disputed.  
**Duplicate invoice**

---

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
PFA20_0003744	28/02/2021	30/03/2021	122,297,046.87	122,297,046.87

---

**SUBMIT THIS DISPUTE**   **BACK TO DISPUTE DETAILS**   **CANCEL DISPUTE**

When you click **Submit the Dispute**, you will see the **Dispute Confirmation** message. To return to the Account Activity page, click on the **See Account Activity**.

### Review Invoice Dispute Status

You can review the status of a dispute on the Account Activity page under section Disputes.

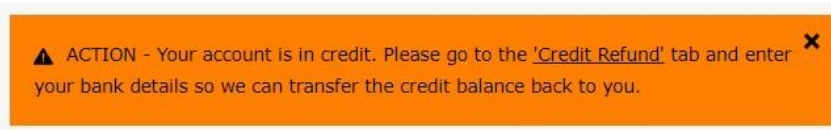
<input type="checkbox"/>	<a href="#">PFA20_0001343</a>	Invoice	19,692,391.16	19,692,391.16	29/01/2021	28/02/2021	In Dispute
<input type="checkbox"/>	<a href="#">SUN_0000115</a>	Invoice	1,200.00	0.00	25/01/2021	25/01/2021	In Dispute

To view dispute details select **See Dispute Details**.

Dispute Details						
Dispute Id	Transaction Number	Request Date	Dispute Amount (£)	Status	Action	
D-0000000003	PFA20_0003744	28/03/2021	122,297,046.87	Open	See Dispute Details	

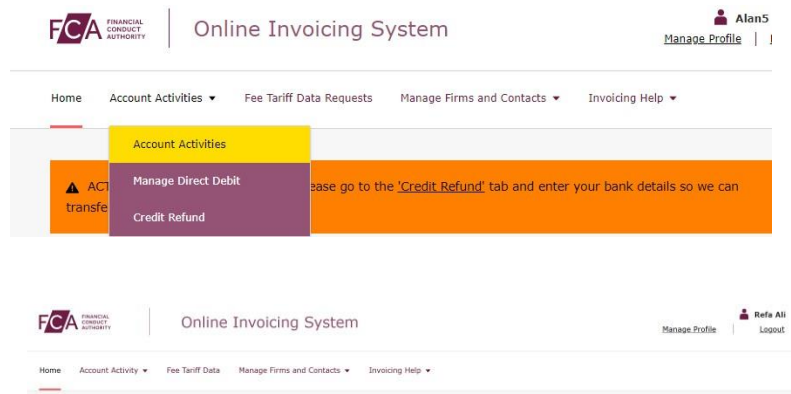
## 6. Credit Refund

If you are entitled to a credit refund, a message will be displayed on the **Home Page**.



### Credit Refund (when Direct Debit Set Up)

**Step 1:** click on the **Credit Refund link** or select the **Credit Refund page** from the **Account Activity** menu



**Step 2:** the **Credit Refund Page** will display the sort code and bank account details will return the funds to

### Credit Refund details

Credit Refund Amount

**£(100.00)**

Name of Account Holder

**Foden foundation**

Bank / Building Society Account Number

**12345678**

Branch Sort Code

**11-11-11**

Name and Branch of Bank or Building Society

**CARTER ALLEN(A TRADING NAME OF BANK OF  
DERBY SIR FRANK WHITTLE**

**Step 3:** select **I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above** and click **Submit Refund Request**.

I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

**SUBMIT CREDIT REFUND REQUEST**

**Step 4:** to confirm credit refund request select **Yes, Confirm Credit Refund Request**. If you wish to cancel the refund, then select **No, Cancel**.

Confirm Credit Refund Request ✕

Are you sure your Credit Refund account details are correct?

**YES, SUBMIT CREDIT REFUND REQUEST**

**NO, CANCEL**

When you click **Yes, Confirm Credit Refund Request**, you will see the **Credit Refund Confirmation** message and an email will be sent to all your firm's registered users. To return to the Account Activity page, click on the **See Account Activity**.

Please note: If you want your credit refund paid to another sort code/bank account please email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk) with the details.

### **Credit Refund Direct Debit Not Set Up**

**Step 1:** click on the **Credit Refund** link or select the **Credit Refund** page from the **Account Activity** menu

The screenshot shows the FCA Online Invoicing System interface. At the top, the FCA logo is on the left, and the user's name 'Alan5 T' with a 'Manage Profile' link and a 'Logout' link is on the right. Below the header is a navigation bar with links for 'Home', 'Account Activities', 'Fee Tariff Data Requests', 'Manage Firms and Contacts', and 'Invoicing Help'. The 'Account Activities' menu is expanded, showing options for 'Account Activities', 'Manage Direct Debit', and 'Credit Refund'. A message on the right side of the expanded menu says 'Please go to the 'Credit Refund' tab and enter your bank details so we can'. At the bottom of the screenshot, the same interface is shown again, but with the 'Credit Refund' option selected in the 'Account Activities' menu.

**Step 2:** enter **Credit Refund Details**



## Credit Refund

### Instructions

To set up a Credit Refund instruction for **Barclays Bank PLC.**, you will need your account details which can be found, for example, on your bank statement.

Please complete the form below and click on the **"Submit Credit Refund request"** button. You will receive an email confirming the instruction has been set up. If you have any queries, please email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk).

### Credit Refund Details

Credit Refund Amount

£ (50.00)

All fields are required

Name of Account Holder

Bank / Building Society Account Number

Must be between 8 digits long

Branch Sort Code

Must be 6 digits long

VERIFY SORT CODE

Name and Branch of Bank or Building Society

---

I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT CREDIT REFUND REQUEST

[Print](#)

### Step 3: enter click **verify sort code**

Once the sort code has been verified the system will populate Name and Branch of Bank or Building Society **Step 4: select **I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above** and click **Submit Credit Refund Request.****

I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT CREDIT REFUND REQUEST

[Print](#)

**Step 5: to confirm credit refund request select **Yes, Confirm Credit Refund Request.** If you wish to cancel the refund, then select **No, Cancel.****

## Confirm Credit Refund Request ✕

Are you sure your Credit Refund account details are correct?

**YES, SUBMIT CREDIT REFUND REQUEST**

**NO, CANCEL**

When you select **Yes, Confirm Credit Refund Request**, you will see the **Credit Refund Confirmation** message and an email will be sent to your firm's registered users. To return to the Account Activity page, click on the **See Account Activity**.

## 7. Fee Tariff Data Request

### Providing Requested Fee Tariff Data

We will send you an email notification if you are required to submit fee tariff data to the FCA. You will see a message on the homepage with a link to the Fee Tariff Data page. If you can also follow the steps below to view and submit Fee Tariff Data to the FCA.

#### Step 1: select **Fee Tariff Data Request**

Home Account Activity Fee Tariff Data ▼ Manage Firms and Contacts ▼ Invoicing help ▼

You can view **guidance notes** for a fee block by selecting the following icon:

 . Please also refer to our **"FAQs"**.

Fee Tariff Data Instructions **Fee Tariff Data FAQs** Fee Tariff Data Submission History

#### Step 2: enter **Current Year's Data**

**Tariff Base :** Relevant annual income - investment mediation ⓘ

<b>Fee Block</b> 1008 (Advisors, arrangers, dealers or brokers (holding client money or assets))	<b>Organisation</b> FOS	<b>Previous Years Data</b> 100	<b>Current Years Data</b> <input type="text"/>
---	----------------------------	-----------------------------------	---

**Step 3:** select **Variance Reason** from dropdown list

<b>Tariff Base :</b> Relevant annual income - investment mediation ⓘ			
<b>Fee Block</b> 1008 (Advisors, arrangers, dealers or brokers (holding client money or assets))	<b>Organisation</b> FOS	<b>Previous Years Data</b> 100	<b>Current Years Data</b> <input type="text" value="360"/>
<b>Year on year variance (current/previous) %</b> 20%	<b>Variance Reason</b> <input type="text" value="Business Transfer"/>	<b>Variance Details</b> ⓘ <a href="#">Manage Variance Details</a>	

**Please note: Variance Details are only required for some variance reasons when year-on-year data variances are more than +/-15%.**

**Step 4:** add variance details

**Add Variance Details** ✕

**Variance %**  
100%

**Variance Reason**  
Firm Merger

**Variance Details**

---

Save Variance Details Cancel

If you want to edit variance details, select **Manage Variance Details**

**Step 5:** select **Save Tariff Data**

<b>SAVE TARIFF DATA</b>	<a href="#">VIEW SAVED TARIFF DATA (PDF)</a>	<a href="#">View Your Regulated Activity Groups (PDF)</a>
-------------------------	--	---

Use the **Save Tariff Data** button regularly to ensure data entered is not lost should you move from this page or your session times out (after 30 minutes of inactivity).

**Step 6:** enter additional details to explain major movements in data – this is not a mandatory field

Please provide additional details to explain major movements in data

**Step 7:** to confirm that the information is correct, and the data submitted has been reviewed by an individual at the appropriate level select **"I verify that:.."**

**Please note: All data fields must be completed before you can submit your Fee Tariff Data.**

**Step 8:** select **Submit Tariff Data**

SUBMIT TARIFF DATA

**Step 9:** to submit revised tariff data form select **Yes, Submit Fee Tariff Data**. If you wish to cancel, then select **No, Cancel**.

When you click **Yes, Submit Fee Tariff Data**, you will see the **Fee Tariff Data Request Confirmation** message. To see account summary, select **See Account Summary** or select **View Saved Fee Tariff Data** to see saved tariff data.

You can review previously submitted Fee Tariff Data by selecting **Fee Tariff Data Submission History**.

[Fee Tariff Data Instructions](#) [Fee Tariff Data FAQs](#) [Fee Tariff Data Submission History](#)

## Providing Additional Requested Fee Tariff Data

We will send you an email notification if you are required to provide additional information regarding your Fee Tariff Data. You will see a message on the homepage with a link to the Fee Tariff Data page. You can also follow the steps below to view and submit additional Fee Tariff Data to the FCA.

**Please note: You will be required to provide a response to each specific query and have an opportunity to revise your data for the current year.**

### Step 1: select Fee Tariff Data Request

[Home](#) [Account Activity](#) [Fee Tariff Data](#) [Manage Firms and Contacts](#) [Invoicing help](#)

**Step 2: review Current Year's Data** for the FCA queried fee blocks and submit revised data if required

<b>Tariff Base</b> : Annual income - investment mediation ⓘ			
<b>Fee Block</b> PG009 (Managers & depositories of investment funds & operators of CIS or pension schemes pension guidance levy)	<b>Organisation</b> FCA	<b>Previous Years Data</b> 100	<b>Current Years Data</b> 125
<b>Year on year variance (current/previous) %</b> 25%	<b>Variance Reason</b> Business Transfer	<b>Variance Details</b> <a href="#">Manage Variance Details</a>	<b>Revised Current Years Data</b> <input type="text"/>

**Step 3: review FCA query and enter detailed firm response**

#### FCA Query Date

1-January-2020

#### FCA Query

#### Firm Response

**Save Firm Response**

**Close**

#### Step 4: Select **Save Firm Response**

If you wish to edit the firm response, then Select **Edit Firm Response** or select **Show More Information** to see firm response details (you can also edit the response when **Show More Information** is selected).

#### Step 5: select **Save Tariff Data**



Use the **Save Tariff Data** button regularly to ensure data entered is not lost should you move from this page or your session times out (after 30 minutes of inactivity).

**Step 6:** enter additional details to explain major movements in data – this is not a mandatory field

Please Provide additional details to explain major movements in data

**Step 7:** to confirm that the information is correct, and the data submitted has been reviewed by an individual at the appropriate level select **"I verify that:"**

**Please note: All FCA queries require a response before you can resubmit your Fee Tariff Data.**

#### Step 8: select **Submit Revised Form**

I verify that:

1. The above information is correct as required under the FCA Handbook of rules and guidance and I understand that it will be used in the calculation of fees and levies to FCA, PRA, FSCS, FOS, FGL and IML for 2021/2022.
2. The data submitted has been reviewed and approved by an individual at the appropriate level of seniority, eg compliance director, before submission.



**Step 9:** to submit revised tariff data form select **Yes, Submit Fee Tariff Data**. If you wish to cancel, then select **No, Cancel**.

### Confirm Fee Tariff Data

Are you sure you want to submit provided Fee Tariff Data information

Once submitted you cannot make changes to the data online

**YES, SUBMIT FEE TARIFF DATA**

**NO, CANCEL**

When you click **Yes, Submit Fee Tariff Data**, you will see the **Fee Tariff Data Request Confirmation** message. To see account summary, select **See Account Summary** or select **View Saved Fee Tariff Data** to see saved tariff data.

## 8. Manage Firms

You will be able to manage access to firms

### Remove Firm Access

**Step 1:** select firm from dropdown list

### Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm

**Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.**

**Step 2:** select **Manage Firms and Contacts**

Home

Account Activity ▾

Fee Tariff Data

Manage Firms and Contacts ▾

Invoicing Help ▾

### Step 3: select **Manage Firms**



### Step 4: locate relevant firm and select **Remove Firm Access**

Firm Name	Firm Reference Number	Firm Address	Action
Firm XYZ	111111		<a href="#">Remove Firm Access</a>

**Step 5:** select **Yes, Confirm Remove Firm Access** to confirm the removal of firm access

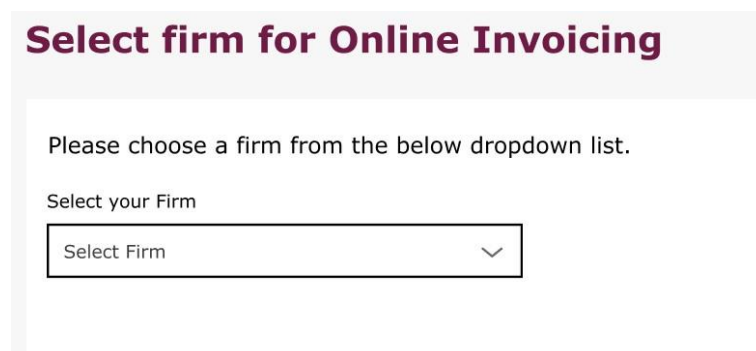


If you no longer wish remove firm access, then select **No, Cancel**.

When you click **Yes, Confirm Remove Firm Access**, you will see the **Remove Firm Access Confirmation** message. Select **Manage Firm Access** to go back to the **Manage Firms and Contacts** page.

### **Request Firm Access**

**Step 1:** select any firm from dropdown list



**Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.**

**Step 2:** select **Manage Firm**



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- Manage Firm
- Manage Firm Contacts
- FIRM

**Step 3:** select **Request Additional Firm Access**



**Step 5:** enter **Firm Reference Number (FRN)** and **Unique Verification Code (UVC)**

**Request Firm Access**

A few details about your firm and you are on your way  
*All fields are required*

Firm details

Firm Reference Number

Unique Validation Code ⓘ

**Please note:** To obtain a Unique Validation Code you will need to email [fcafees@fca.org.uk](mailto:fcafees@fca.org.uk) or call the Supervision Hub on 0300 500 0597.

**Step 6:** select **Submit Firm Request**



When you click **Submit Firm Request**, you will see the **Request Firm Access Confirmation** message. Select **Home** to go back to the homepage.

## 9. Manage Contacts

You will be able to manage Contacts' access to firms

### Remove Firm Contact Access

**Step 1:** select firm from dropdown list

### Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

**Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.**

**Step 2:** select **Manage Firms and Contacts**



**Step 3:** select **Manage Contacts**



If there are more than one contact for the firm, you can enter the contact name and select **apply Filters** to refine your search.

## Search Firm Contacts

### Status

Active  Inactive  All

Name of Account Holder

APPLY FILTERS

### Step 4: locate relevant contact and select **Remove Access**

Contact Name	Phone Number	Email Address	Date Modified	Last Modified By	Status	Action
Dummy Firm User1	+449890808008	dummy.user1@firm.uk	25/03/2021	dummy.user1@firm.uk	Active	<a href="#">Remove Access</a>
Dummy Firm User2	+449890808008	dummy.user2@firm.uk	25/03/2021	dummy.user2@firm.uk	Active	<a href="#">Remove Access</a>

**Step 5:** select **Yes, Confirm Remove Account Access** to confirm the removal of account access

YES, CONFIRM REMOVE USER ACCESS

NO, CANCEL

If you no longer wish to remove account access, then select **No, Cancel**.

When you click **Yes, Confirm Remove Account Access**, you will see the **Remove Firm Account Confirmation** message.

### Re-request Contact Access

If removing a Contact's access was an error, you can re-activate the user by selecting **Restore Access**.

Inactive

[Restore Access](#)

If all firm **Contacts** become Inactive, the user will need to use the **Manage Firm Access** procedure in section 8 to obtain access.

## 10. Switch Firms

**Step 1:** select **Switch Firm**

R4A\_SIT Testing\_Passporting out\_Test Firm25 (999001) SWITCH FIRM

**Step 2:** select a firm from dropdown list


### Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm

**Step 3:** select **Yes, Select This Firm**


Online Invoicing System

### Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

R4A\_SIT Testing\_Passporting out\_Test Firm25 - 999001

**YES, SELECT THIS FIRM**

**NO, CANCEL**

If you no longer wish to switch firms, then select **No, cancel**.

**Please note: If you have access to only one firm you will not be able to switch firms.**