

Helping you get

**CREDIT  
READY**



## Step-by-step guide:

### 11. Firm Declaration

Helping you complete your online application



## Declaration:

This is the last section of your application and must only be filled in once all the other sections have been completed.

The firm declaration will not become accessible until all information is completed.

Error messages or warnings will let you know if more information is required.

Click here when you have read and understood the entire declaration.

### Declaration

It is a criminal offence, knowingly or recklessly, to give the appropriate regulator information that is materially false, misleading or deceptive (see sections 398 and 400 FSMA). Even if you believe or know that information has been provided to the appropriate regulator before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the appropriate regulator will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the applicant and/or lead to the appropriate regulator exercising its powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the appropriate regulator immediately if there is a change to the information in this form and/or if inaccurate information has been provided (insofar as the appropriate regulator is reasonably likely to consider the information material).

I/We confirm that the information provided in this application is accurate and complete to the best of my/our knowledge. I/We will notify the appropriate regulator immediately if there is a material change to the information provided.

I/We authorise the appropriate regulator to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application.

These checks may include credit reference checks or information pertaining to fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the firm/employer/applicant.

I/We agree that the appropriate regulator may, in the course of processing this application, undertake a Police National Computer (PNC) check in respect of any or all of the persons to whom this application relates.

Where the signatory to this application has provided an address, the signatory agrees that the FCA may use such address as the proper address for service as defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420) to serve any notices on that signatory.

I have attached the relevant documents where requested or where marked as 'send later' I have them fully ready and available on request and I have taken all reasonable steps to ensure they are correct.

I confirm that where I have certified that documents are ready they have been prepared to an appropriate standard and are available for immediate inspection by the appropriate regulator.

I understand that the appropriate regulator may require the applicant firm to provide further information or documents at any time. I confirm that I am authorised to sign this form on behalf of the firm and/or controller(s).

I/We confirm that individuals are aware that, for the purpose of complying with the Data Protection legislation, personal data may be used by the appropriate regulator to discharge its statutory functions and in accordance with the Data Protection Act, and otherwise will not be disclosed for other purposes without the permission of the relevant individual.

In addition to other regulatory responsibilities, firms and approved persons have a responsibility to disclose to the appropriate regulator matters of which it would reasonably expect to be notified. Failure to notify the appropriate regulator of such information may lead to the appropriate regulator taking disciplinary or other action against the firm and/or individuals.

I am aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

### Review and Submission

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

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Tick here to confirm that the person submitting this Form on behalf of the Applicant and (if applicable) the Individual named below have read and understood the declaration.

## Signing the declaration:

Depending on how many directors there are in your company, the application may need to be signed by more than one person.

If there is to be more than one signatory, click **YES** here.

Then enter all their names here.

Next, print out the form and sign it. Do not send a printed copy to the FCA, but keep it on file because we may ask to see it at a later date.

### Who must sign the declaration?

This declaration must be signed by the person who is responsible for making this application on behalf of the Applicant. There can be one or two required signatures depending on the number of directors / partners in the firm.

Is there more than one director / partner as applicable to the legal status of the firm? ☒ Yes ☐ No

### 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/PRA's request.

Name of authorised signatory

Signature (to be signed on the printed version only)

Date

## Paying the fee:

Tick the box when you have read the confirmation, and click **ACCEPT**.

### Confirmation

In order to submit this application you will need to make the payment of a **non-refundable fee**.  
The fee payable for **Application Reference Number: 0000049610** is **£ 600.0**.  
By submitting this application you confirm that you are a person who is suitable to make this application and that the information provided is correct to the best of your knowledge and belief. Knowingly or recklessly giving the FCA and/or PRA information which is false or misleading in a material particular may be a criminal offence (section 398 of the Financial Services and Markets Act 2000).

☒ I have read this declaration and I understand the consequences of submitting this Application.

Accept

Cancel

Then enter your card details:

### Process Payment

**Please do not press the back button or refresh at this point as it may impact the payment process.**



Please Enter Your Card Details Below

Card Number ::

Card Type ::

Expiry Date ::  /

Amount :: 600.00 GBP

Reference :: a0Tm00000000oPU8EAM-86335

Flat/House Number ::

(If you do not have an Address Number, please leave the Flat/House Number field blank)

Postal/Zip Code ::

Card Security Code ::

Please fill in all address information

Proceed

Cancel

The PXP payment screen provides a secure environment to protect your transactions. After paying you will see a warning message advising that you will be redirected to an insecure site. This should not cause concern, your card information is NOT transmitted back to the merchant's site, so it is safe to simply click 'Yes' and proceed. Please do not click back at any time during or immediately after payment, as this may cause duplicate payments. This Payment page will timeout after 10 minutes

Powered By  
**PXP**

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Back to the application menu page:

When your card transaction has been confirmed, you will return to this page:

**Important:** click this button to ensure that your application is submitted before you log out.

New Authorisation Application

Firm Name:Version Number: 27

FRN :Application Reference Number: 0000049610

Last Modified By: Dom Suckling - 06/05/2015 04:22:01 PM

Back to My Applications

Submit

New Authorisation Application

This application is for a sole trader. You must add a sole trader appendix or controlled function application as applicable

Form

Application Contact Details

Firm Details

Permission & Fees

Consumer Credit Supplement

Disclosure of Significant Events

Systems and Controls

Compliance

Personnel Information

Supporting Documents

Firm Declaration

Form Status

Complete

Complete

Complete

Complete

Complete

Complete

Complete

Complete

Complete

Complete

Related Applications

To complete any Related Applications, the Applicant must first complete all sections of the New Authorisation Application (with the exception of the firm declaration).

	Application Type	Application Outcome	Name	Last Updated	Application Status
<div>View</div> <div>Delete</div>	Sole Trader Appendix		Alice Gordon	06/05/2015 16:18	Draft

Add Related Application

Once the Firm Declaration section is done, your application is complete. You will receive an email to confirm your submission was successful, which includes instructions on how to send any additional documents to the FCA.

There are guides for different sections of the application. So if you'd like further help please visit our [website](#).