

# FA8 - Financial services notification form



Use this form to tell us about the financial services activities your firm carries on if you:

- are setting up a new firm and intend to provide financial services,
- are changing the legal entity of your firm and will provide financial services, or
- have already told us that you are providing financial services but the activities that you carry on have changed.

We are required to give the Financial Conduct Authority (FCA) information about firms that carry on financial services activities. The information is used to inform the If you have stopped carrying out financial services, email

The terms and activities referred to in this form are defined in the

## Section 1 - Your firm

1.1 Firm name  SRA number

1.2 Is your firm authorised by the FCA to carry on financial services activities? **Yes** **No**

1.3 If **Yes**, what is your firm's FCA authorisation number?

Go to "Section 4 - Declaration" on page 4

If your firm is not authorised by the FCA, continue to Section 2.

## Section 2 - Financial services activities

2.1 From the following list, tick if your firm (or any individual within the firm) carries on any of the activities in its or their capacity as a trustee or personal representative and the other party is a beneficiary under the trust, will or intestacy (if you rely on a statutory exclusion, you do not need to tick anything).

Entering into a regulated mortgage contract as a lender

Making arrangements with a view to a home purchase plan

Making arrangements with a view to a home reversion plan

Making arrangements with a view to a regulated sale and rent back agreement

The firm (or an individual within the firm) is carrying on one or more of these activities but not in the capacity of a trustee/personal representative where the other party is beneficiary under the trust, will or intestacy.

- 2.2 From the following list, tick if your firm endorses recommendations given by an authorised person or an exempt person in relation to the following

Entering into a regulated credit agreement as a lender

Exercising, or having the right to exercise, the lender's rights and duties under a regulated credit agreement

The firm is carrying out one or more of these activities but not in respect of our fees or disbursements

- 2.3 From the following list, tick if your firm carries on any of the activities acting as a lender, where the loan to the client is for fees and disbursements due to the firm

Entering as a home purchaser into a regulated home purchase plan with a particular person

Entering as reversion seller or plan provider into a regulated home reversion plan with a particular person

Entering as agreement seller or agreement provider into a regulated sale and rent back agreement with a particular person

Entering as a borrower into a regulated mortgage contract

The firm gives its own recommendations in respect of one or more of the above

- 2.4 From the following list, tick if your firm carries on any of the activities as part of the legal/professional work you do for particular clients, and this is incidental to the firm's provision of professional services

Administering a specified benchmark

Advising on investments

Advising on peer to peer (P2P) agreements

Arranging (bringing about) a home purchase plan

Arranging (bringing about) a home reversion plan

Arranging (bringing about) a regulated sale and rent back agreement

Arranging (bringing about) deals in investments

Arranging (bringing about) regulated mortgage contracts

Dealing in investments as agent

Managing dormant account funds (including the investment of such funds)

Managing investments

Meeting of repayment claims

Providing information in relation to a specified benchmark

Making arrangements with a view to transactions in investments

Carrying on insurance distribution activities (e.g. arranging 'after the event' insurance)

**If the firm carries on insurance distribution activities, you must also complete Section 3**

The firm does carry on one or more of the above activities but this is not as part of the legal/professional work the firm does for particular clients, and/or is not incidental to the firm's provision of professional services.

2.5 From the following list, tick if your firm carries on any credit-related activities as part of the legal/professional work it does for particular clients, and this is incidental to the firm's provision of professional services

Credit broking

Debt adjusting

Debt counselling

Debt collecting

Debt administration

Providing credit information services

The firm does carry on one or more of the above activities but this is not as part of the legal/professional work the firm does for particular clients, and/or is not incidental to the firm's provision of professional services.

### Section 3 - Insurance distribution activities

If your firm carries on insurance distribution activities, you must tell us who your Insurance Distribution Officer (IDO) is. This person is responsible for overseeing this work and should be within the firm's management structure. The name of the IDO will be included on the FCA's Register.

3.1 IDO name

SRA number

3.2 Position

If your firm carries on insurance distribution activities, you also need to provide the following information as required by the Insurance Distribution Directive 2016/97/EU.

3.3 List any managers or owners that have a holding in the firm which exceeds 10%

Name	SRA no	Position at firm	Holding (%)

3.4 Provide details of anyone with a close link to your firm.

Name	SRA no	Nature of link

If you need more rows, use Appendix 1 at the end of this form.

3.5 Will any of these links or ownership prevent us from exercising our supervisory functions?

Yes No

## Section 4 - Declaration

**This section must be completed by the firm's COLP or an individual manager**

- 4.1 I understand that it is my responsibility to make sure all the information provided in this application is correct and complete.
- 4.2 I understand that if I have knowingly or recklessly given you information that is false or misleading (or if I failed to tell you about any significant information) you could take disciplinary action, or share information with a third-party that leads to disciplinary action.
- 4.3 I understand that you may use any personal information from this application to perform your duties under relevant legislation.
- 4.4 I understand that you might do whatever checks you think are necessary to process this information and make sure that it complies with the relevant rules.
- 4.5 I confirm that the information I have given is correct to the best of my knowledge and belief

Forename(s)  Surname

Title  Date of birth  SRA no

Role  Email

Date

## Section 5 - Returning the form

To help us process your application, check that you have completed all relevant sections and that the form declaration has been completed correctly.

Once completed, you need to email this form to [authorisation@sra.org.uk](mailto:authorisation@sra.org.uk).

## Section 6 - What we will do with your data

Privacy notice