

# FCA Authorisation Preliminary Questions

To manage your application for FCA Authorisation, we will need the following;

## Company

Your Company Name:

Company Status:

Will You Be MiFID or Article 3 MiFID Exempt:

Date of Formation (If applicable):

Where Formed:

End of Financial Year:

Company Reg No:

Company Reg Address:

Name, Email, Telephone, Fax & Address of Premises Trading From:

Website Address:

Any other Trading Names to be used:

Does any other business have a shareholding, interest or control of the company to be authorised?

## Advisers (Accountant/Legal/Other)

Name, Email, Telephone, Fax & Address of Auditor:

Name, Email, Telephone, Fax & Address of Legal Adviser:

## Systems

IT System used (proprietary or bespoke):

CRM System used (proprietary or bespoke):

Business transaction recording system:

Accounting system:

Other IT systems, e.g. Word, Excel:

NOTE: If Any Bespoke - Please provide short detailed description.

Please complete simplified IT Questionnaire (included).

**Please send a CV for each senior management role.**

**Do you have an FCA Connect Account? Please provide login details.**

If you do not have an account, please arrange an email address for us (which can then be transferred to you afterwards) to set up a FCA Connect account.

Please note: Not currently needed for EMI applications.

## **Controls**

Please provide a brief description of the business continuity and disaster recovery plans for the business and IT systems. You must include the details of any third-party involvement.

## **People**

Is Company a Sole Trader or One Director Limited Company?

Full Name & DOB of All Owners/Directors/Partners:

Job Title/s:

Nationality:

Passport Number, Email address Telephone & Address of Each Directors/Partners/Individual Owner:

Have There Been Any Past Convictions of ANY type for ANY of the above persons?

If resident in current home for less than 3 years – residence history for past 5 years

## **PLEASE SEND**

Copy of Memorandum of Articles Of Association & Certificate of Incorporation (if applicable):

Copy of Partnership agreement deeds (if applicable):

Copy of Limited Liability Partnership agreement deeds (if applicable):

**Please email this and the IT questionnaire and any documents to [info@complianceconsultant.org](mailto:info@complianceconsultant.org) with your company name in the subject line.**

See our website for other details. <https://complianceconsultant.org>

Thank you.