

A. APPLICATION OF CONDITIONS

Item No

Please tick each condition which applies:

A B

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

1 The first condition applies if:

(1) the small e-money issuer does not issue e-money except on terms that the electronic device on which the monetary value is stored is subject to a maximum storage amount of not more than 150 euro; and

(2) the small e-money issuer's total liabilities with respect to issuing e-money do not (and will not) usually exceed 5 million euro and do not (or will not) ever exceed 6 million euro.

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

2 The second condition applies if:

(1) paragraph (1) of the first condition is met;

(2) the small e-money issuer's total liabilities with respect to the issuing of e-money do not (or will not) exceed 10 million euro; and

(3) e-money issued by the small e-money issuer is accepted as a means of payment only by:

(a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or

(b) other members of the same group as the small e-money issuer (other than subsidiaries of that small e-money issuer).

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

3 The third condition applies if:

(1) paragraph (1) of the first condition and (2) of the second condition are met; and

(2) e-money issued by the small e-money issuer is accepted as a means of payment, in the course of business, by not more than one hundred persons where:

(a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or

(b) those persons have a close financial or business relationship with the small e-money issuer such as a common marketing or distribution scheme.

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

4 Have the relevant provisions referred to in A10 to A30 been met throughout the reporting period? (please tick appropriate box)

A

If no, please give details.

5

B. E-MONEY OUTSTANDINGS

Item No	Item	Amount
		A
6	Outstandings at the period end	<input type="text"/>
7	Peak <i>e-money outstandings</i> during period	<input type="text"/>

If the first condition (1) applies, indicate the dates on which *e-money outstandings* exceeded 5 or 6 million euro, and the amount of *e-money outstandings* on these dates, in the table below.

If the second (2) or the third condition (3) applies, indicate the dates on which *e-money outstandings* exceeded 10 million euro, and the amount of *e-money outstandings* on these dates, in the table below.

	Date on which <i>electronic money outstandings</i>			Amount of <i>e-money outstandings</i>
	exceeded 5 million euro A	exceeded 6 million euro B	exceeded 10 million euro C	
1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
n	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Financial Services Authority



Reporting body corporate or partnership _____

as at

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(eg 31 12 2001)

Application Number

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Knowingly or recklessly giving the *FSA* information, which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000). *ELM* 8.7.12R and *ELM* 8.7.13R require a *small electronic money issuer* to take reasonable steps to ensure the accuracy and completeness of information given to the *FSA* and to notify the *FSA* immediately if materially inaccurate information has been provided. Contravention of these requirements may lead to disciplinary sanctions or other enforcement action by the *FSA*. It should not be assumed that information is known to the *FSA* merely because it is in the public domain or has previously been disclosed to the *FSA* or another *regulatory body*. If there is any doubt about the relevance of information, it should be included.

I confirm the information in this form is accurate and complete to the best of my knowledge and belief.

Signature of authorised signatory: _____ Date: _____

Name: _____ Position held: _____

In the event of a question, the *FSA* may, in the first instance, contact (Block letter please)

Name: _____ Tel No: _____ Ext: _____

Notes on completion of this form

- 1 This form is to be used for making periodic reports under *ELM* 8.7.1R and change reports under *ELM* 8.7.2R and *ELM* 8.7.3R.
- 2 Please complete and deliver the form to the *FSA* in the manner indicated in these notes. For methods of submission, see the end of this form.
- 3 If you have any difficulty in completing this form, please telephone your *FSA* contact for guidance.
- 4 Terms have the meaning given in the *FSA Glossary*.
- 5 You must complete this form:
 - (a) if used as a periodic report, as at the end of each financial year and half financial year; and
 - (b) if used as a change report, as at the close of business of the *day* of the change or excess.
- 6 You must deliver this form to the *FSA*:
 - (a) if used as a periodic report, within ten *business days* of the date as at which it is completed; and
 - (b) If used as a change report, within two *business days* of the change or excess occurring.
- 7 References to amounts in euro include references to equivalent amounts in sterling.
- 8 Enter amounts to the nearest thousand, omitting 000s.
- 9 Enter all data neatly within the relevant boxes.

FSA use only	Logged in	Data entered
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A. APPLICATION OF CONDITIONS

Item
No

Please tick each condition which applies:

- A10 The first condition applies if:
- (1) the small e-money issuer does not issue e-money except on terms that the electronic device on which the monetary value is stored is subject to a maximum storage amount of not more than 150 euro; and
- (2) the small e-money issuer's total liabilities with respect to issuing e-money do not (and will not) usually exceed 5 million euro and do not (or will not) ever exceed 6 million euro.
- A20 The second condition applies if:
- (1) paragraph (1) of the first condition is met;
- (2) the small e-money issuer's total liabilities with respect to the issuing of e-money do not (or will not) exceed 10 million euro; and
- (3) e-money issued by the small e-money issuer is accepted as a means of payment only by:
- (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or
- (b) other members of the same group as the small e-money issuer (other than subsidiaries of that small e-money issuer).
- A30 The third condition applies if:
- (1) paragraph (1) of the first condition and (2) of the second condition are met; and
- (2) e-money issued by the small e-money issuer is accepted as a means of payment, in the course of business, by not more than one hundred persons where:
- (a) subsidiaries of the small e-money issuer which perform operational or other ancillary functions related to e-money issued or distributed by that small e-money issuer; or
- (b) those persons have a close financial or business relationship with the small e-money issuer such as a common marketing or distribution scheme.
- A40 Have the relevant provisions referred to in A10 to A30 been met throughout the reporting period? (please tick appropriate box) YES NO

If no, please give details.

B. E-MONEY OUTSTANDINGS

Item No	Item	Amount
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B10	Period end	<input style="width: 100%; height: 20px;" type="text"/>
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B20	Peak <i>e-money outstandings</i> during period	<input style="width: 100%; height: 20px;" type="text"/>
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If the first condition (A10) applies, indicate the dates on which *e-money outstandings* exceeded 5 or 6 million euro, and the amount of *e-money outstandings* on these dates, in the table below.

If the second (A20) or the third condition (A30) applies, indicate the dates on which *e-money outstandings* exceeded 10 million euro, and the amount of *e-money outstandings* on these dates, in the table below.

B30	Date on which <i>electronic money outstandings</i>			Amount of <i>e-money outstandings</i>
	exceeded 5 million euro	exceeded 6 million euro	exceeded 10 million euro	
A	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
B	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
C	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
D	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
E	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
F	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
G	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
H	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
I	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
J	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>
K	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>	<input style="width: 100%; height: 15px;" type="text"/>

C. METHODS OF DELIVERY

C10 This form must be given to a member of, or addressed for the attention of, the Authorisation Enquiries department of the *FSA* and delivered to the address in C20 or C30 using one of the following methods of delivery:

- *post* to the address in C20; or
- leaving the report at the address in C30 and obtaining a date-stamped receipt; or
- electronic mail to an address for the *firm*'s usual *FSA* contact and obtaining an electronic confirmation of receipt; or
- hand delivery to the *firm*'s usual *FSA* contact; or
- fax to the number notified by the *firm*'s usual *FSA* contact, followed by submission by one of the four methods above within five *business days* after the date of the faxed submission.

C20 The address for postal submission of reports is:

The Financial Services Authority
PO Box 35747
London E14 5WP

C30 The address for hand-delivery of reports is:

The Financial Services Authority
25 The North Colonnade
Canary Wharf
E14 5HS