

FIN060b Small E-money Institution Questionnaire

Section 1: Income Statement

*Firm annual income for the legal entity only
Section 1 must be answered in GBP*

	A
1 Total income during reporting period	
2 Total income during reporting period derived from e-money issuance and related payment services	
3 Total income during reporting period derived from unrelated payment services	
4 Total operating profit / loss of legal entity during reporting period	

Section 2: EMRs and PSRs 2017 activity

Section 2(a): EMRs activity

5 How many full months in the reporting period has the firm been registered?	
6 Total e-money outstanding at the end of the reporting period (EUR)	
7 Average outstanding e-money for the last month in the reporting period (EUR)	
8 Number of e-money accounts open at the start of the reporting period	
9 Number of e-money accounts open at the end of the reporting period	

Section 2(b): PSRs 2017 activity

If your firm does not provide unrelated payment services, please enter "0" for each of these questions.

10 Number of unrelated payment transactions executed in reporting period	
11 Total value of unrelated payment transactions executed in reporting period (EUR)	
12 What is the monthly average of the total amount of unrelated payment transactions executed over the reporting period (including payment transactions executed through UK agents)?	

Section 3: Capital requirements for e-money

13 Has the firm generated average outstanding e-money of €500,000 or more at any point during the reporting period?	Yes/No
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If yes, please answer the following questions on capital requirements and resources

14 Capital requirement as at the end of the reporting period (EUR)	
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Section 4: Capital resources

Section 4 must be answered in GBP, unless otherwise stated

Section 4(a): Common Equity Tier 1 (CET1) Capital

	B
15 CET1 Items	
16 Adjustments to CET1 due to the application of Prudential Filters	
17 Deductions from CET1 items	
18 Exemptions from and alternatives to deductions from CET1 items	
19 Temporary waivers applied to CET1 deductions from own funds	
20 Total CET1 Capital	

Section 4(b): Additional Tier 1 (AT1) Capital

21 AT1 Items	
22 Deductions from AT1 items	
23 Temporary waivers applied to AT1 deductions from own funds	
24 Total AT1 Capital	

Section 4(c): Tier 2 (T2) Capital

25 T2 Items	
26 Deductions from T2 items	
27 Temporary waivers applied to T2 deductions from own funds	
28 Total T2 Capital	

Section 4(d): Eligible capital for calculating own funds

	A	B	C
	Total amount	Eligible amount	Excess
29 CET1 Capital			
30 AT1 Capital			
31 Tier 1 Capital			
32 T2 Capital			

Section 4(e): Total capital resources

33 Total capital resources (GBP)	
34 £/€ exchange rate	
35 Total capital resources (EUR)	

Section 4(f): Total capital surplus / deficit

36 Capital surplus / deficit (EUR)	
37 Have the firm's own funds been equal to or greater than its own funds requirement (where applicable) at all times throughout the reporting period?	Yes / No

Section 6: Method of Safeguarding

	A	B	C	D
	Electronic Money	Unrelated Payment Services	Credit institution name	Country where the account is located
38 Placed in a separate account with an authorised credit institution				
			Custodian name	Country where the account is located
39 Invested in approved secure liquid assets held in a separate account with an authorised custodian				
40 Covered by an insurance policy with an authorised insurer			Insurer name	
41 Covered by a guarantee from an authorised insurer			Insurer name	
42 Covered by a guarantee from an authorised credit institution			Credit institution name	

Section 7: Agents

43 Please report the number of agents the firm has	A
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Section 8: Payment systems

44 Is the firm a member of any sterling interbank payment systems? <i>Select all that apply</i>	<input type="checkbox"/> Bacs <input type="checkbox"/> CHAPS <input type="checkbox"/> Cheque and Credit <input type="checkbox"/> Faster Payments <input type="checkbox"/> LINK <input type="checkbox"/> MasterCard <input type="checkbox"/> Visa <input type="checkbox"/> No <input type="checkbox"/> Other(s)
45 If Other(s), please specify	
46 Which, if any, sterling interbank payment systems does your firm access indirectly? <i>Select all that apply</i>	<input type="checkbox"/> Bacs <input type="checkbox"/> CHAPS <input type="checkbox"/> Cheque and Credit <input type="checkbox"/> Faster Payments <input type="checkbox"/> None <input type="checkbox"/> Other(s)
47 If Other(s), please specify	
48 Which institution is the firm's primary provider of indirect access to sterling interbank payment systems?	