Online Invoicing System
User guide 2021

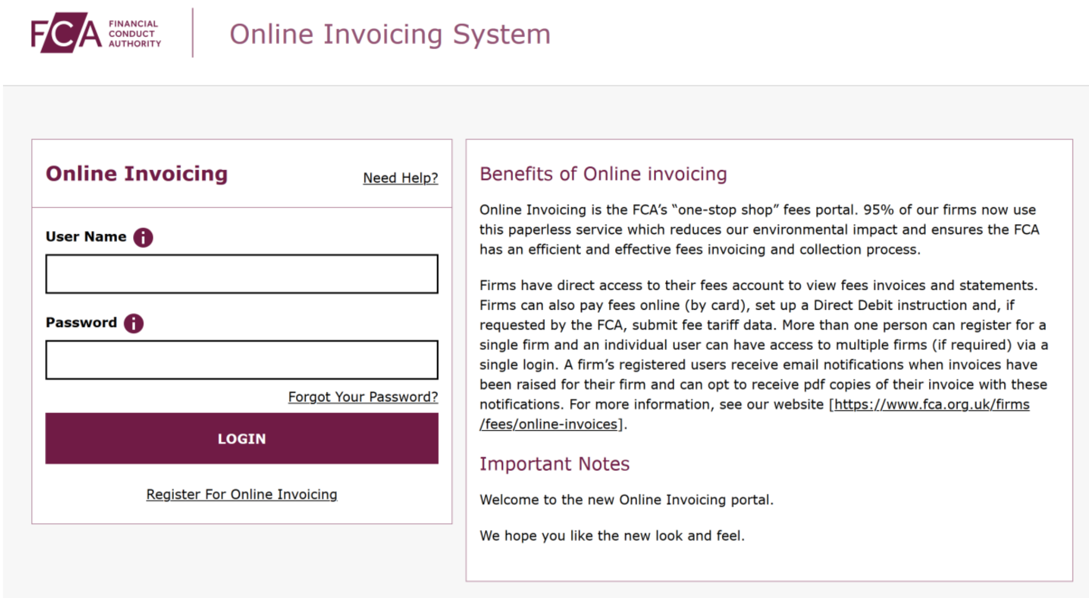
Contents

1. Accessing the system

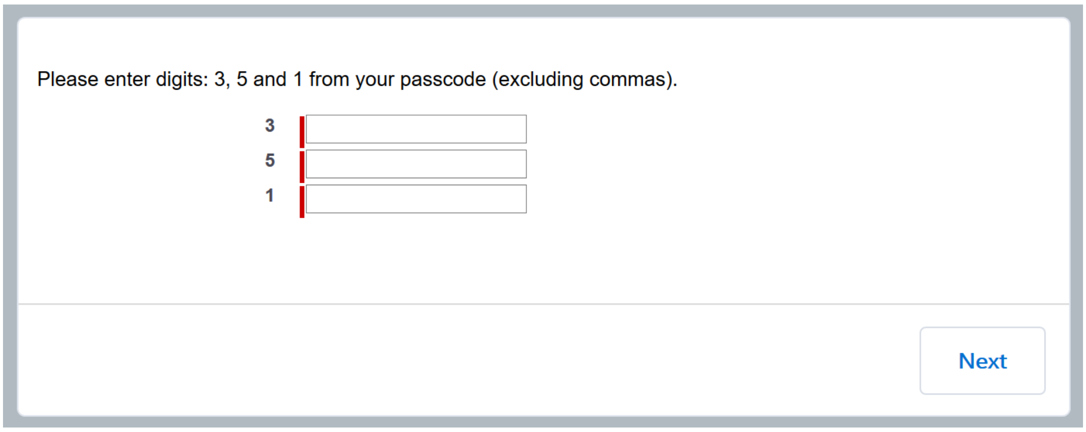
Logging In

Step 1: go to the [Online Invoicing login page]

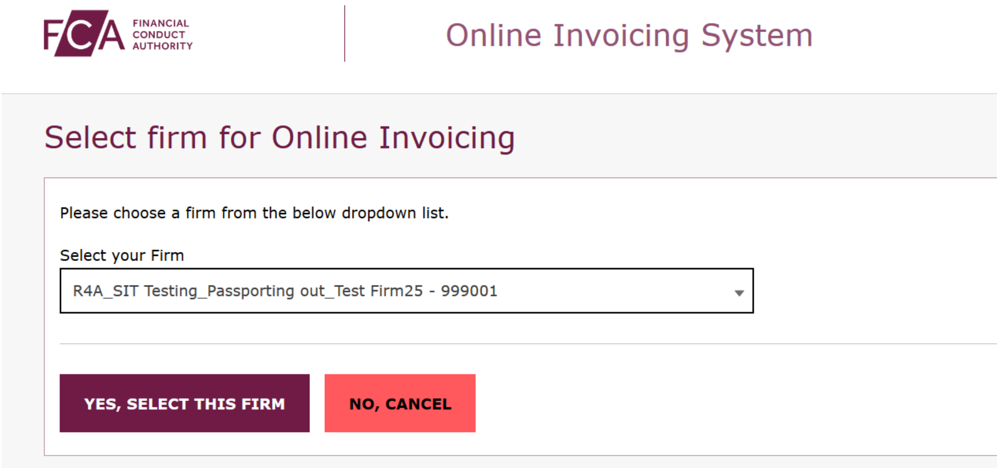
Step 2: login in using your connect login credentials



Step 3: enter passcode and select **Next**



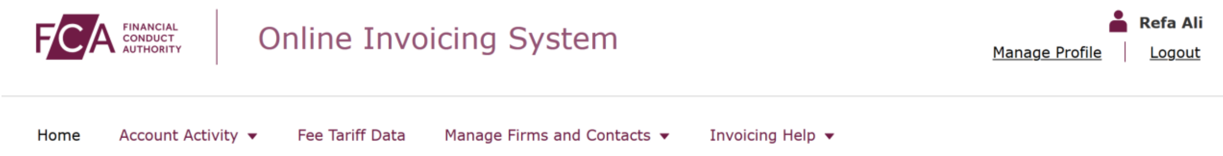
Step 4: select firm from dropdown list and select **Yes, Select This Firm**



Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.

Logging Out

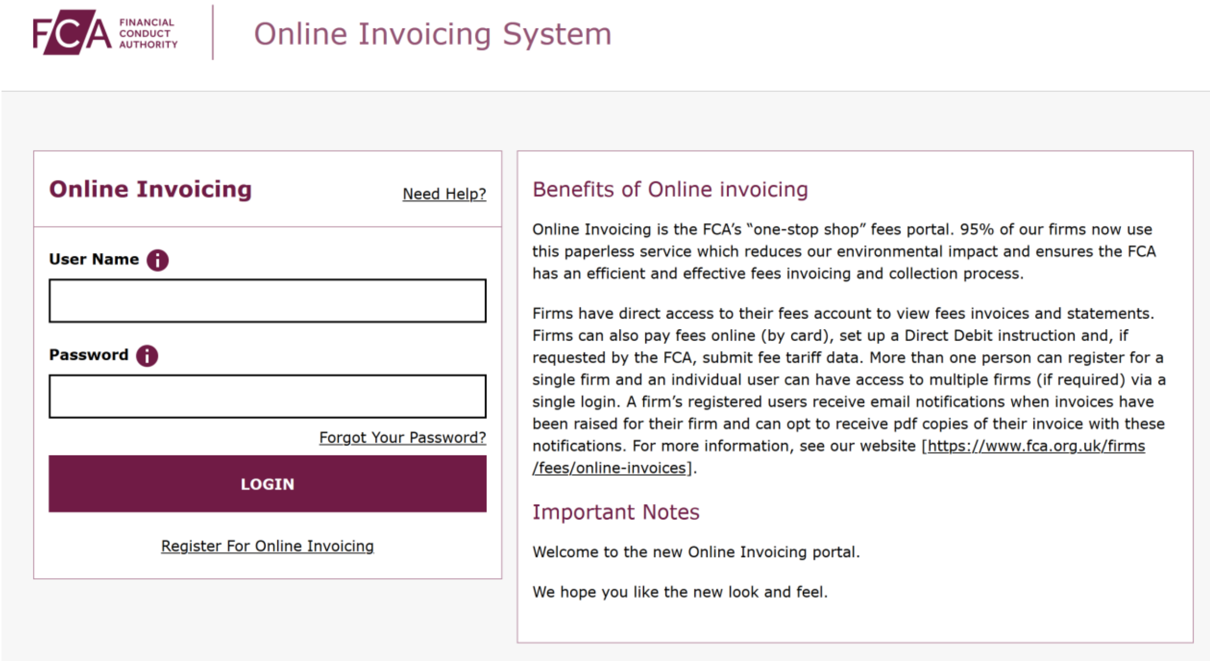
You can log out of the system at any time by clicking on **Logout** in the top right corner of the page.



2. Managing your profile and password

If you forget your password

If you forget your password, click on the **Forgot Your Password?** link on the login page.



You'll be asked to provide your registered email address, which is also your Online Invoicing System username.

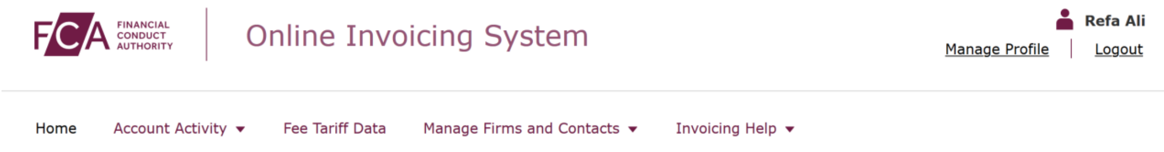
An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

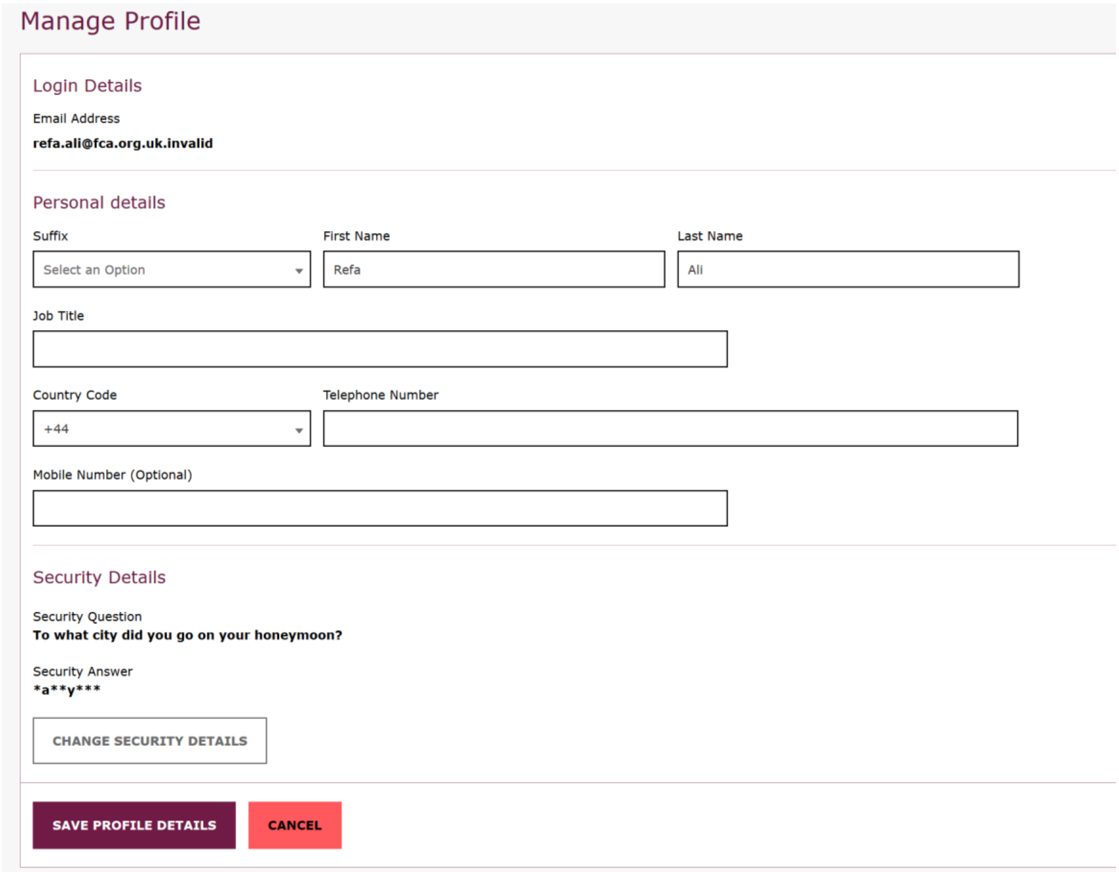
- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#$%-_=+<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

Changing your personal details

Step 1: click on **Manage Profile** on the login page



Step 2: update Personal Details



For security reasons, you cannot change your email address – the field is displayed but cannot be edited.

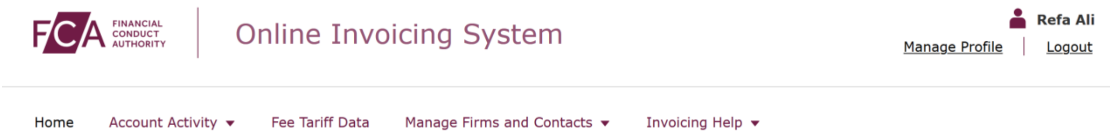
Should your email address change while you are working with the same organisation, you must contact our Supervision Hub who will update your profile with your new email address.

Step 3: select **save profile details** to save the changes

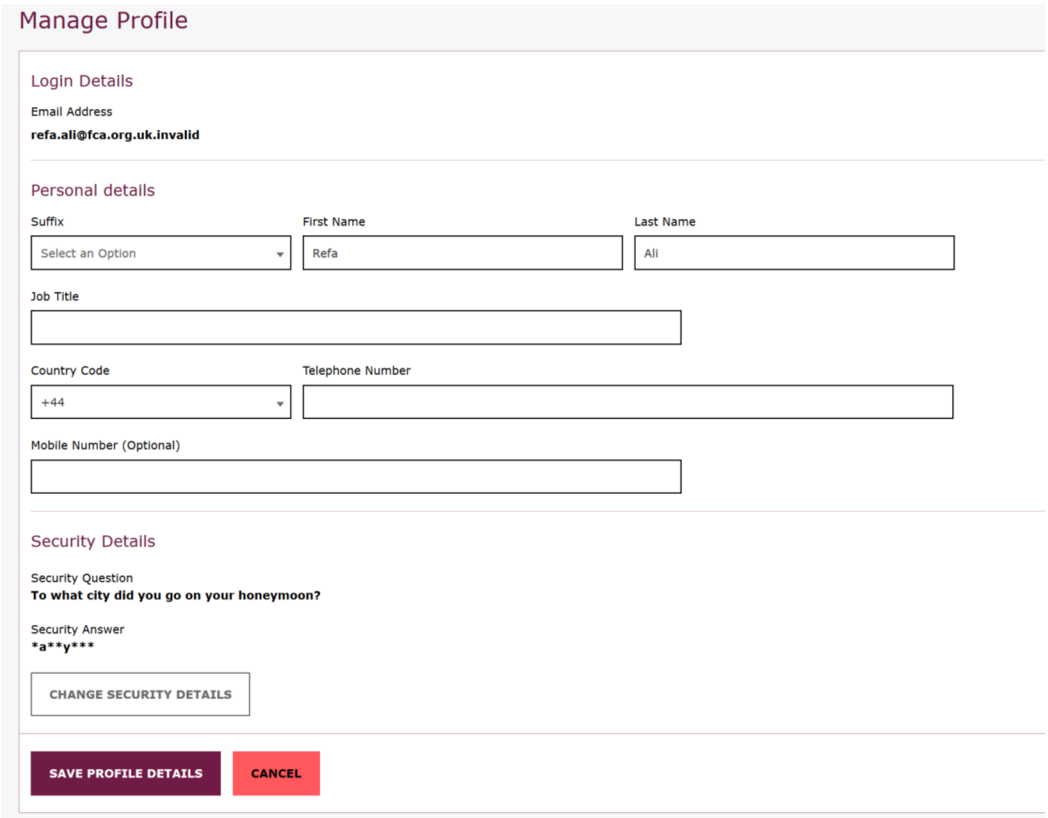
Please always keep your contact details up to date. These details will be used in our correspondence for all cases where you have been indicated as the Primary Contact.

Changing your security questions

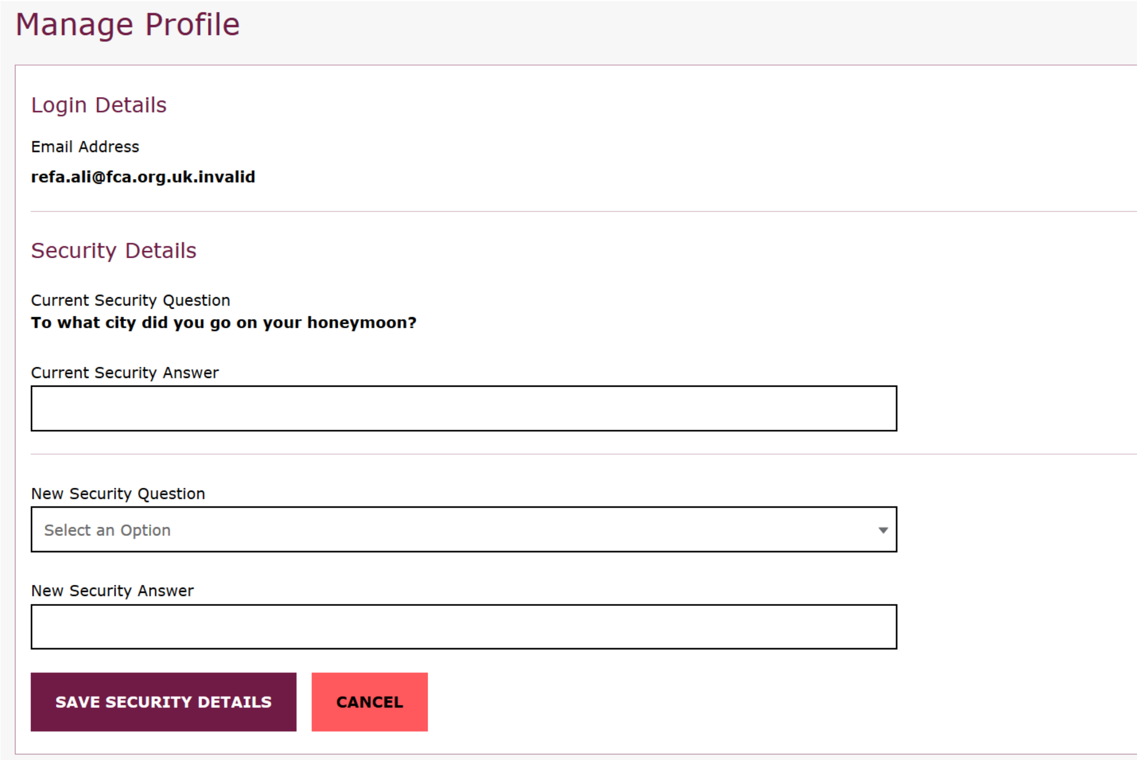
Step 1: click on **Manage Profile** on the login page



Step 2: click on **Change Security Details**



Step 3: enter **Current Security Answer, Select New Security Question** and enter **New Security Answer**

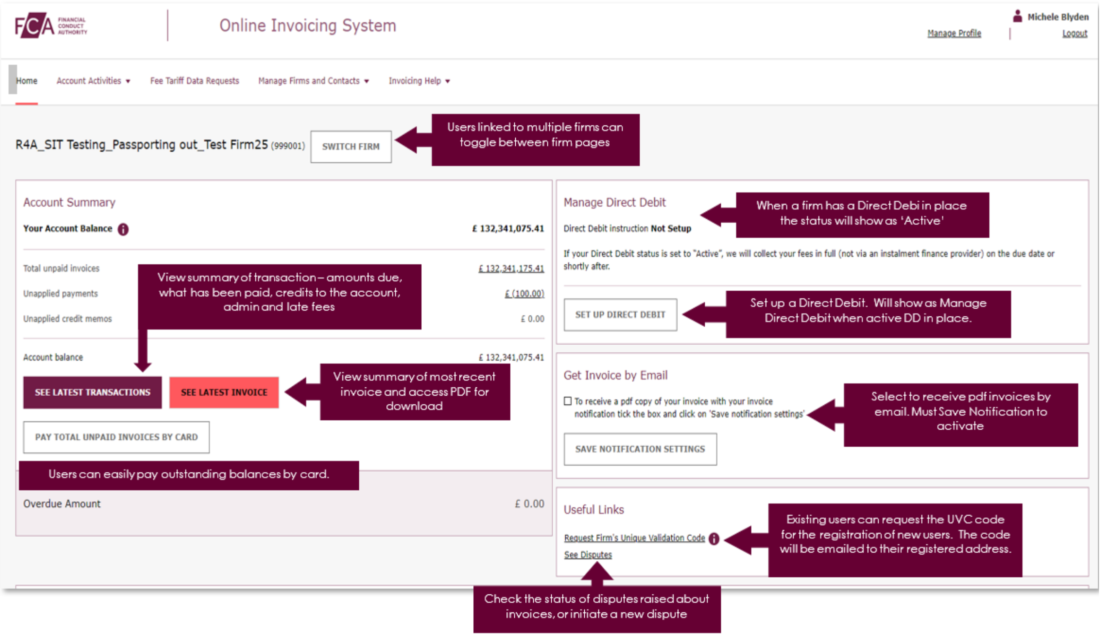


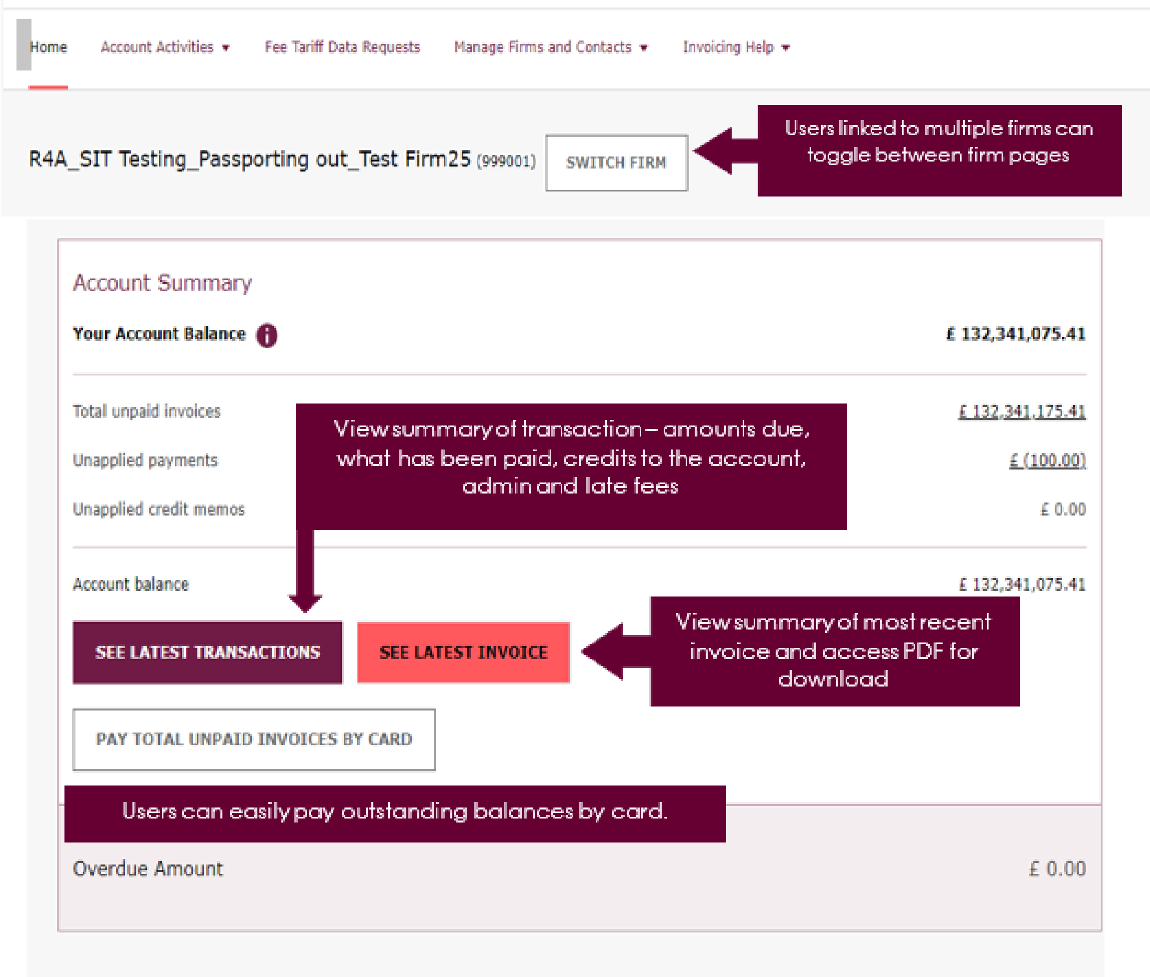
Step 4: click on **Save Security Details** to save the changes

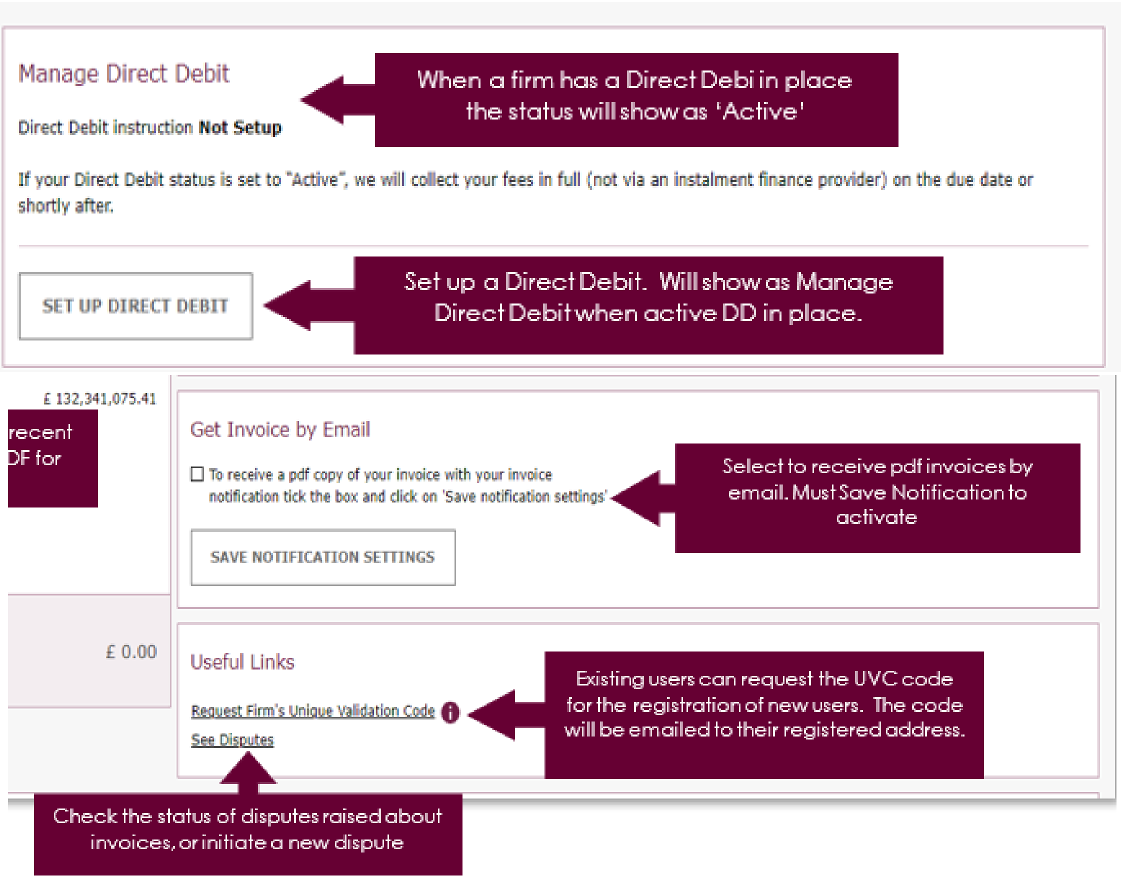
When you click **Save Security Details,** you will see the **Update Profile Confirmation** message

3. Home Page

The Home Page provides summary information regarding your fees account and useful links.





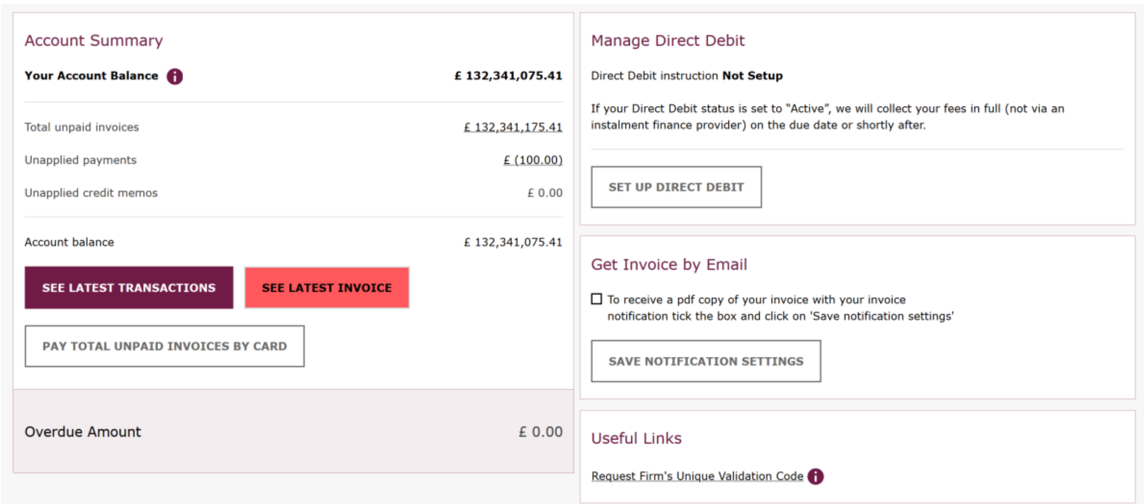


Account Summary

This section will display your firm's account balance and a breakdown by type of transaction (i.e. unpaid invoices).

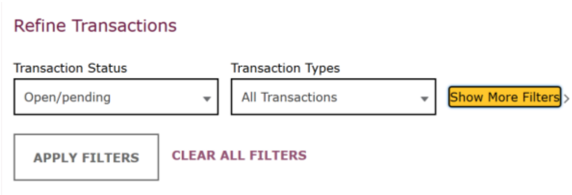
See Latest Transactions

Step 1**:** on the homepage select **See Latest Transactions,** you'll be directed to the account activity page

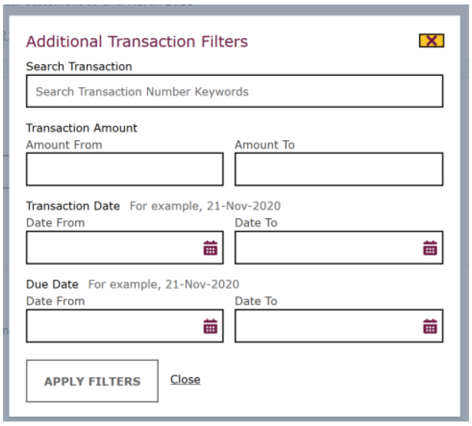


Refining your transactions search

The system allows you to refine your search using the following search criteria:



By selecting Show More Filters you can further refine your search using the following search criteria:



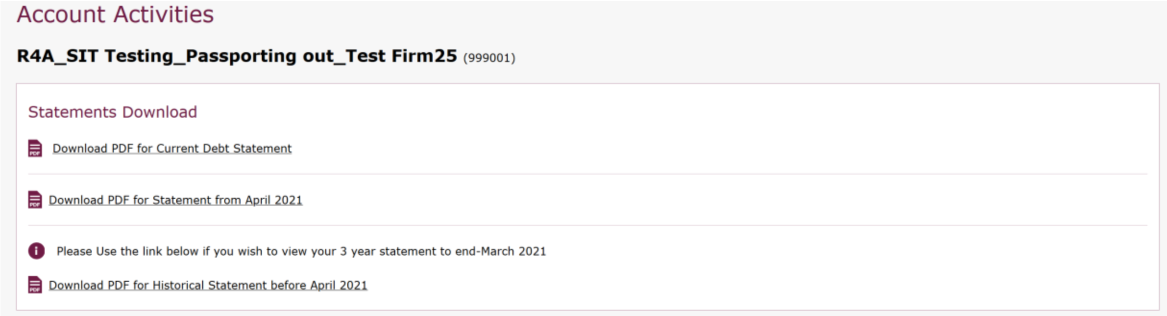
Please note: You will be required to select Apply Filters to apply filter(s) to the search.

Statements Download

You'll be able to download the following types of statement:

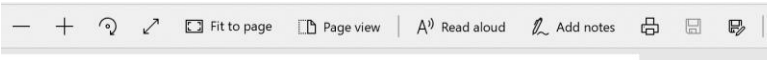
- Current Debt Statement
- Statement from April 2021
- Historical Statement to end March 2021 (3-year history)

Step 1: select type of statement



Step 2: click on the statement to open a new window displaying the selected statement

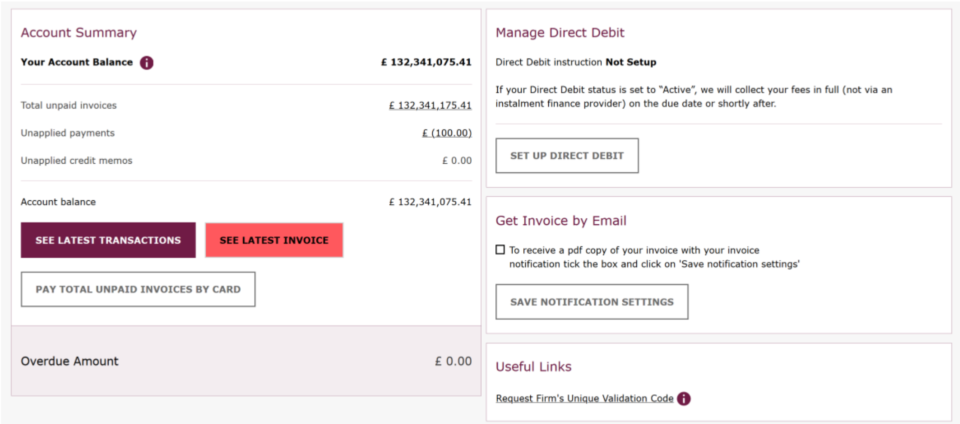
Step 3: at the top of the page on the right-hand side you'll be able to save or print the document



Please note: As a new window will open displaying the statement you will be required to enable pop-ups on the browser.

See Latest Invoice

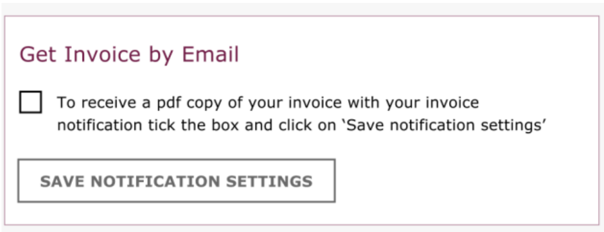
On the homepage select **See Latest Invoice**



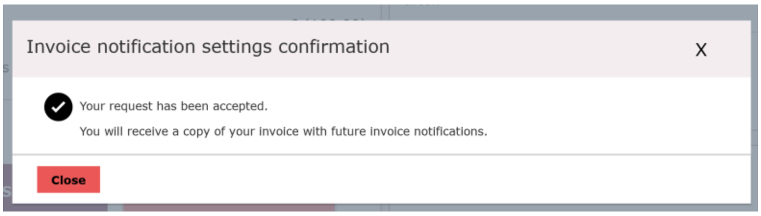
Click on **View Paper Copy** to view or download your full invoice (PDF format).

Receive Invoices by Email

By selecting **Get Invoice by Email** on the online invoicing homepage you'll be able to receive invoices attached to your invoice notifications. You must select **Save Notification Settings** to save the changes.

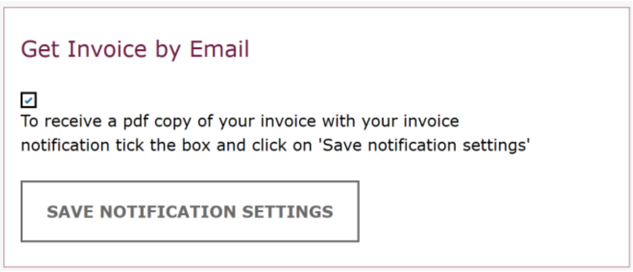


Once you select **Save Notification Settings,** you'll receive confirmation on screen.

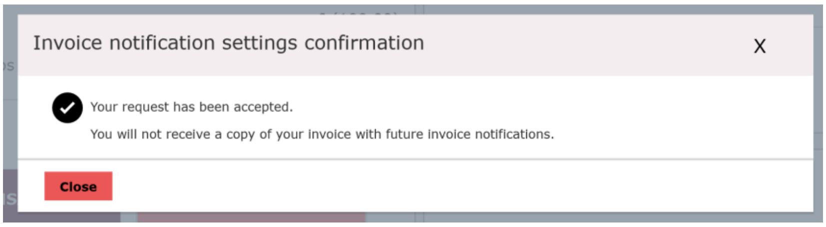


Opt-out of Invoices by Email

By deselecting **Get Invoice by Email** on the online invoicing homepage you'll be able stop receiving invoices attached to your invoice notifications. You must select **Save Notification Settings** to save the changes.



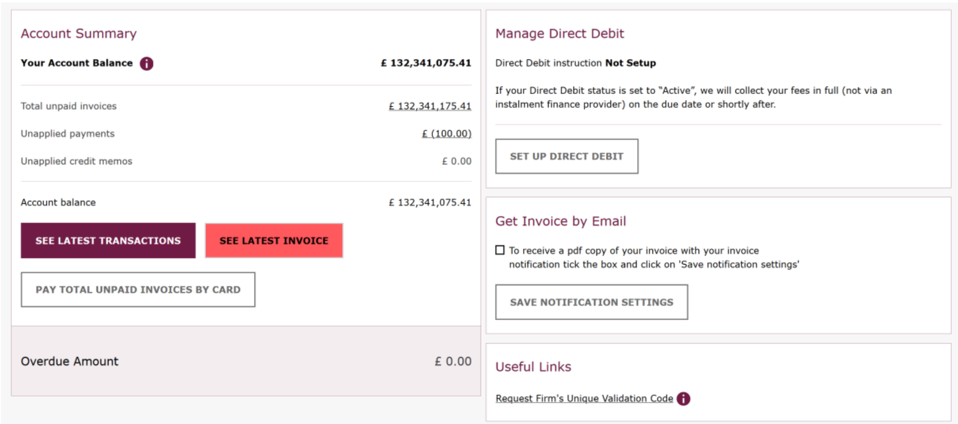
Once you select **Save Notification Settings,** you'll receive confirmation on screen.



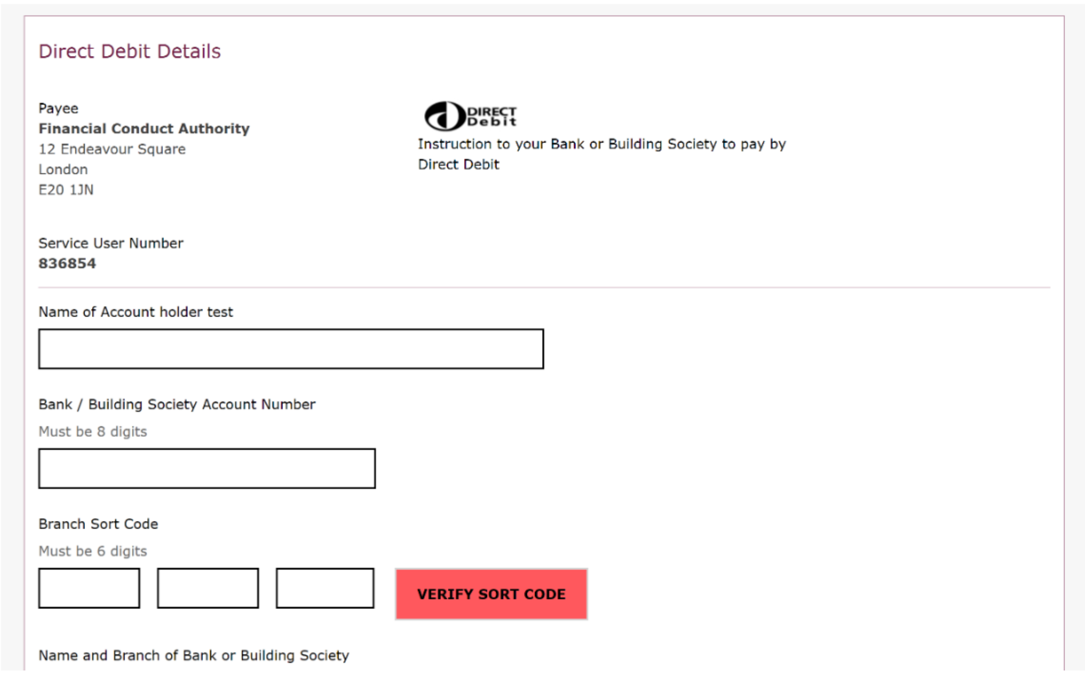
Pay Invoice

Set Up Direct Debit

Step 1: select **Manage Direct Debit**



Step 2: enter **Direct Debit Details**



Step 3: click **verify sort code**

Once the sort code has been verified the system will populate Name and Branch of Bank or Building Society
IMPORTANT: The system verifies only the sort code number. Ensure that you have typed the correct Account Name and Account number

Step 4: accept terms and conditions and click **Submit Direct Debit Request**

Direct Debit Details

Payee
Financial Conduct Authority
12 Endeavour Square
London
E20 1JN

DIRECT Debit
Instruction to your Bank or Building Society to pay by Direct Debit

Service User Number
836854

Name of Account holder test

Bank / Building Society Account Number
Must be 8 digits

Branch Sort Code
Must be 6 digits

VERIFY SORT CODE

Name and Branch of Bank or Building Society

Banks and building societies may not accept Direct Debit Instructions for some types of account.

Instruction to your Bank or Building Society

Please pay the Financial Conduct Authority Direct Debits from the account detailed in this Instruction subject to the safeguards assured by the Direct Debit Guarantee. I understand that this Instruction may remain with Financial Conduct Authority and, if so, details will be passed electronically to my Bank/Building Society.

Direct Debit Guarantee

DIRECT Debit

- The Guarantee is offered by all banks and building societies that accept instructions to pay Direct Debits.
- If there are changes to the account, date or frequency of your Direct Debit, Financial Conduct Authority will notify you (normally 10 working days) in advance of your account being debited or as otherwise agreed. If you request Financial Conduct Authority to collect a payment, confirmation of the amount and date will be given to you at the time of the request.
- If an error is made in the payment of your Direct Debit, by Financial Conduct Authority or your bank or building society, you are entitled to a full and immediate refund of the amount paid from your bank or building society.
- If you receive a refund you are not entitled to, you must pay it back when Financial Conduct Authority ask you to.
- You can cancel a Direct Debit at any time by simply contacting your bank or buiding society or by contacting Financial Conduct Authority directly.

☑ I confirm the Direct Debit instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT DIRECT DEBIT REQUEST

When you click **Submit Direct Debit Request,** you will see the **Submit Direct Debit Request Confirmation** message and an email will be sent to all your firms' registered users. The direct debit status will update to "Requested" on the portal.

Update Direct Debit Details

If you wish to amend your direct debit details, select **Update Direct Debit Details** at the bottom of the page, enter your new bank details, accept terms and conditions and click **Submit Direct Debit Request** (as per Steps 2-4 above). The direct debit status will update to "Requested" on the portal.

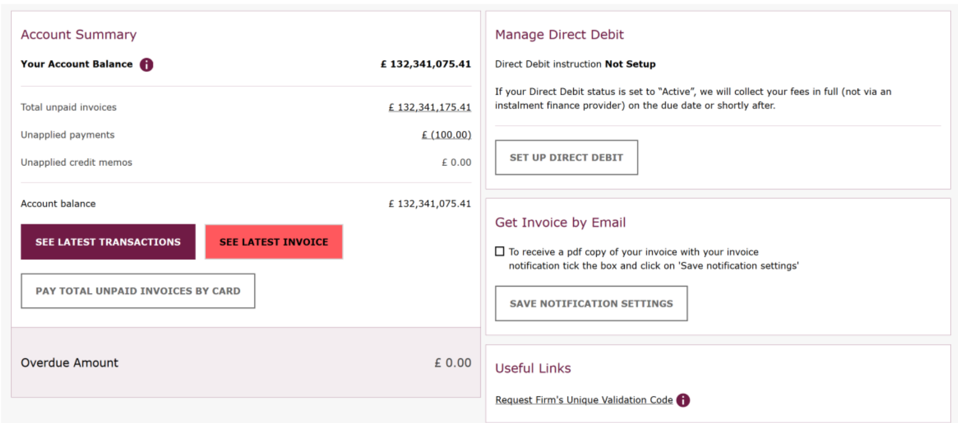
Cancel Direct Debit

If you wish to cancel the direct debit, select **Cancel My Direct Debit Instruction** at the bottom of the page.

Pay Invoice by Card

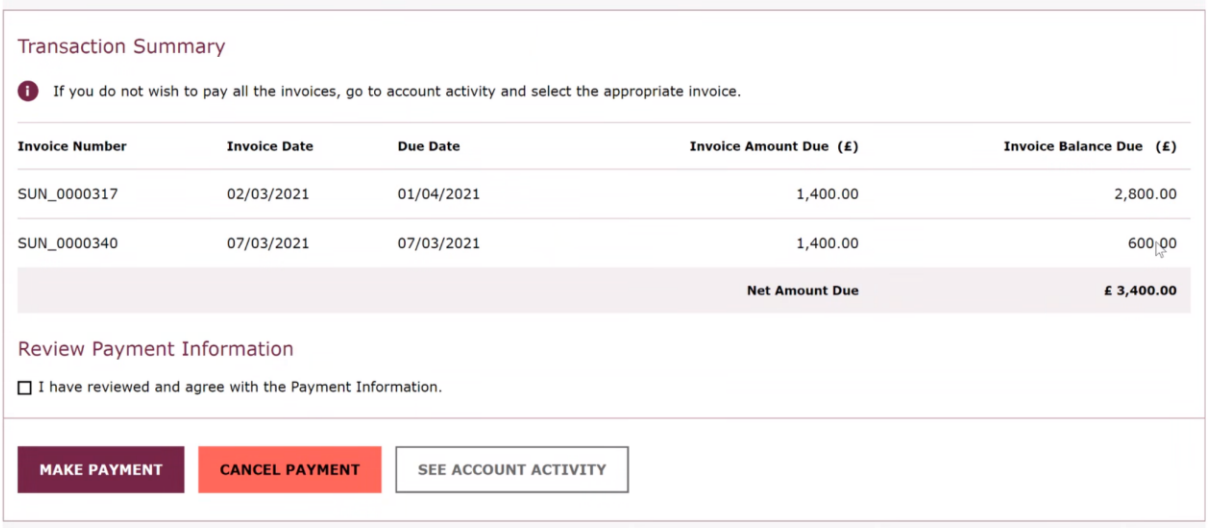
Please make sure you have applied all open credit memos before paying invoices by card.

Step 1: if you wish to pay all unpaid invoices, select **Pay Total Unpaid Invoices by Card**, you'll be directed to the **Pay By Card – Transactions Details Page**

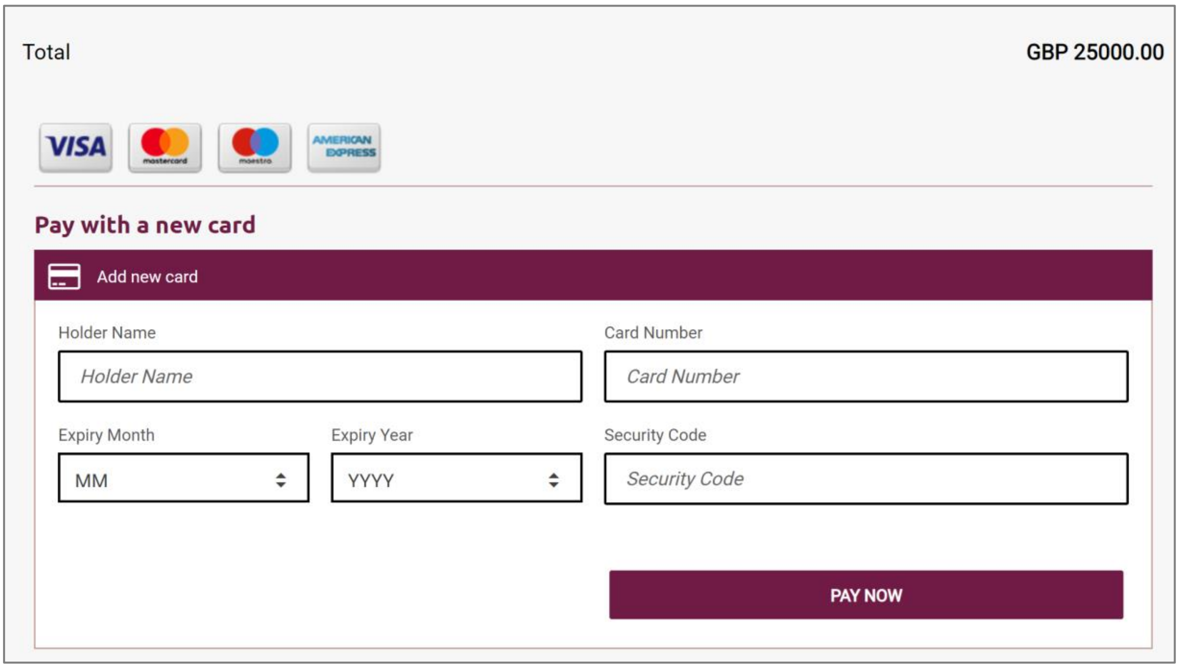


Alternatively, click on the Account Activity page and select the invoice(s) you wish to pay.

Step 2: select to confirm you have **reviewed and agree with the Payment information**, then select Make Payment



Step 3: enter card details and select **Proceed to Pay**



When you click **Proceed to Pay,** you may be required to undertake additional payment authentication. Once complete, will see the **Payment Confirmation** message. A PDF copy of the payment confirmation is available on the Account Activity page. Please wait until the payment has been applied (this may take 5 minutes) before using the **View PDF Copy** action. To return to the Account Activity page, click on the **See Account Activity**.

Please note: You can pay a maximum of £25,000 per card transaction.

Apply Credit Memo

Please make sure you have applied all open credit memos before paying invoices by card.

You can only apply a credit memo to one invoice online, if you wish to apply a credit memo to additional invoices please send your request to **fcafees@fca.org.uk**

Step 1: on the Account Activity page, identify relevant Transaction and select **Apply Credit**

☐	SUN_0000179C	(700.00)	(700.00)	07/03/2021	Open	Apply Credit

Step 2: ensure correct invoice number has been selected and select **Apply Credit to Invoice**

	Invoice Number	Transaction Date	Due Date	Original amount (£)	Balance amount (£)
◉	SUN_0000317	02/03/2021	01/04/2021	1,400.00	2,800.00
○	SUN_0000340	07/03/2021	07/03/2021	1,400.00	600.00

APPLY CREDIT TO INVOICE | CANCEL APPLY CREDIT

If you no longer wish to apply credit to the selected invoice, then select **Cancel Apply Credit**.

Step 3: select **Submit Apply Credit**

Credit memo applied Summary

Credit memo number	Date	Original amount (£)	Remaining amount (£)	Application amount (£)	Unapplied credits (£)
SUN_0000179C	07/03/2021	(700.00)	(700.00)	700.00	0.00

Selected invoice to credit memo

Invoice Number	Transaction Date	Due Date	Original amount (£)	Balance amount (£)
SUN_0000317	02/03/2021	01/04/2021	1,400.00	2,100.00

SUBMIT APPLY CREDIT | BACK TO SELECT INVOICE | CANCEL APPLY CREDIT

If you selected the incorrect invoice, select **Back to Select Invoice** to select the correct invoice.

If you no longer wish to apply credit to the selected invoice, then select **Cancel Apply Credit**.

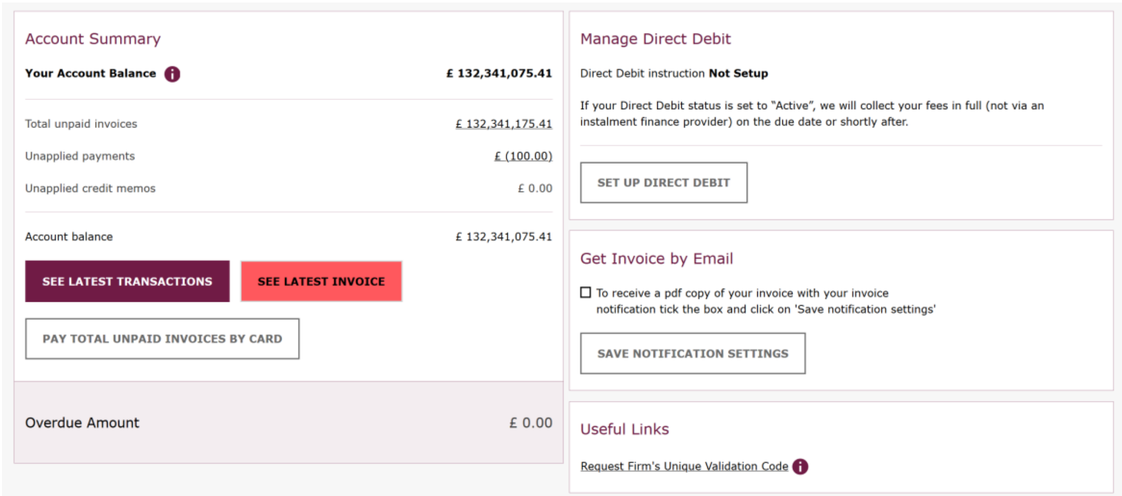
When you click **Submit Apply Credit,** the credit memo will be applied to the selected invoice. To return to the Account Activity page, click on the **See Account Activity**.

5. Invoice Disputes

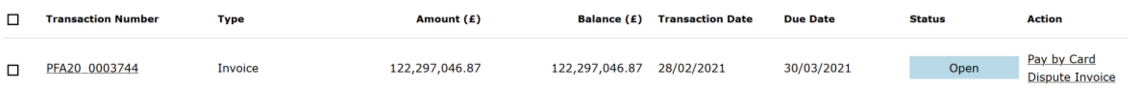
Raise Invoice Dispute

Please note: You can only raise one dispute per invoice.

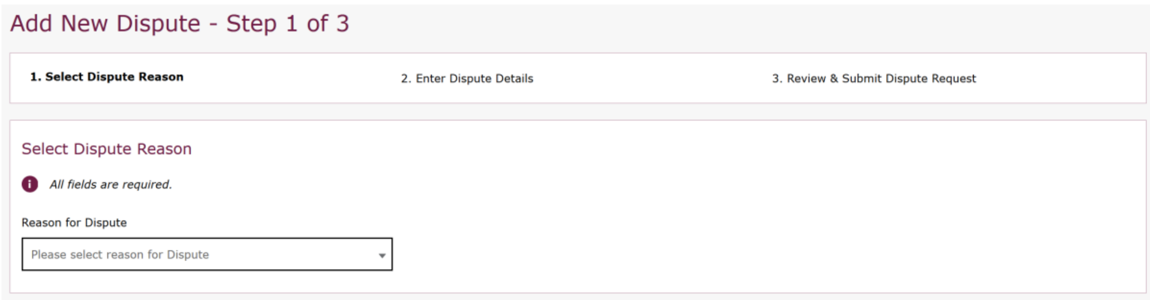
Step 1: select **See Latest Transactions**, you'll be directed to the **Account Activity page**



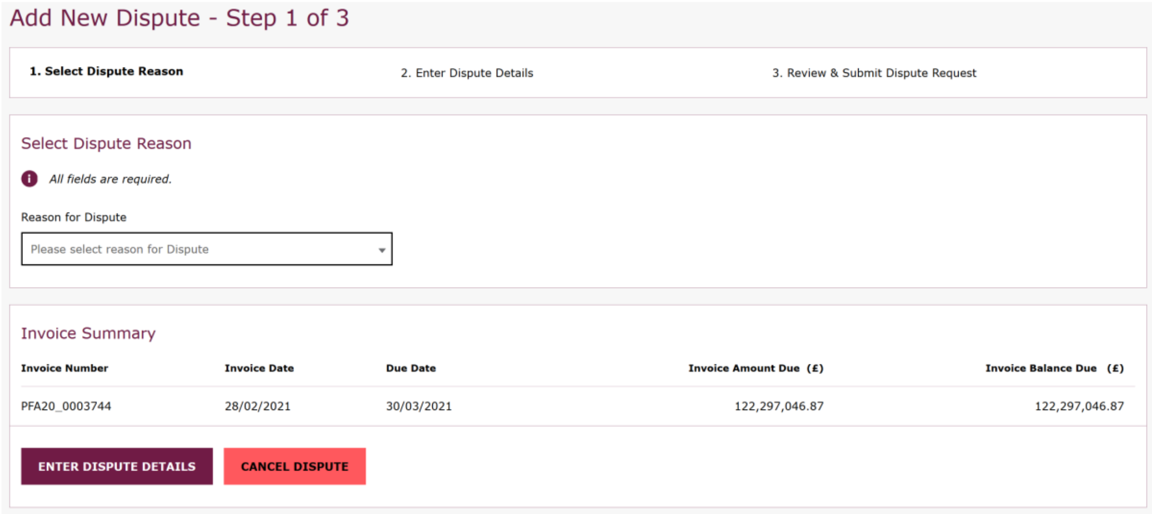
Step 2: identify relevant transaction and select **Dispute Invoice**



Step 3: select a **Reason for the Dispute** from the dropdown list



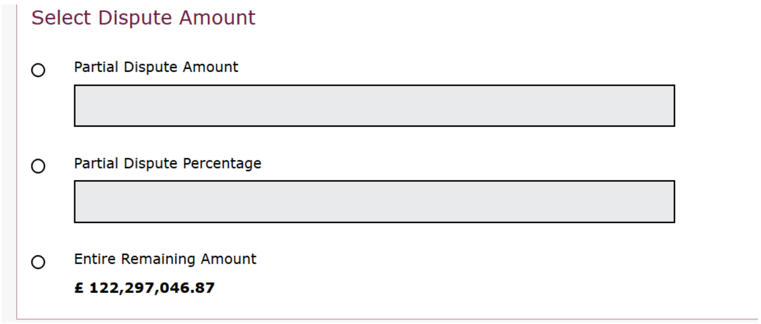
Step 4: select **Enter Dispute Details**



If you no longer wish dispute the invoice, then select **Cancel Dispute**.

Step 5: enter the details of the dispute

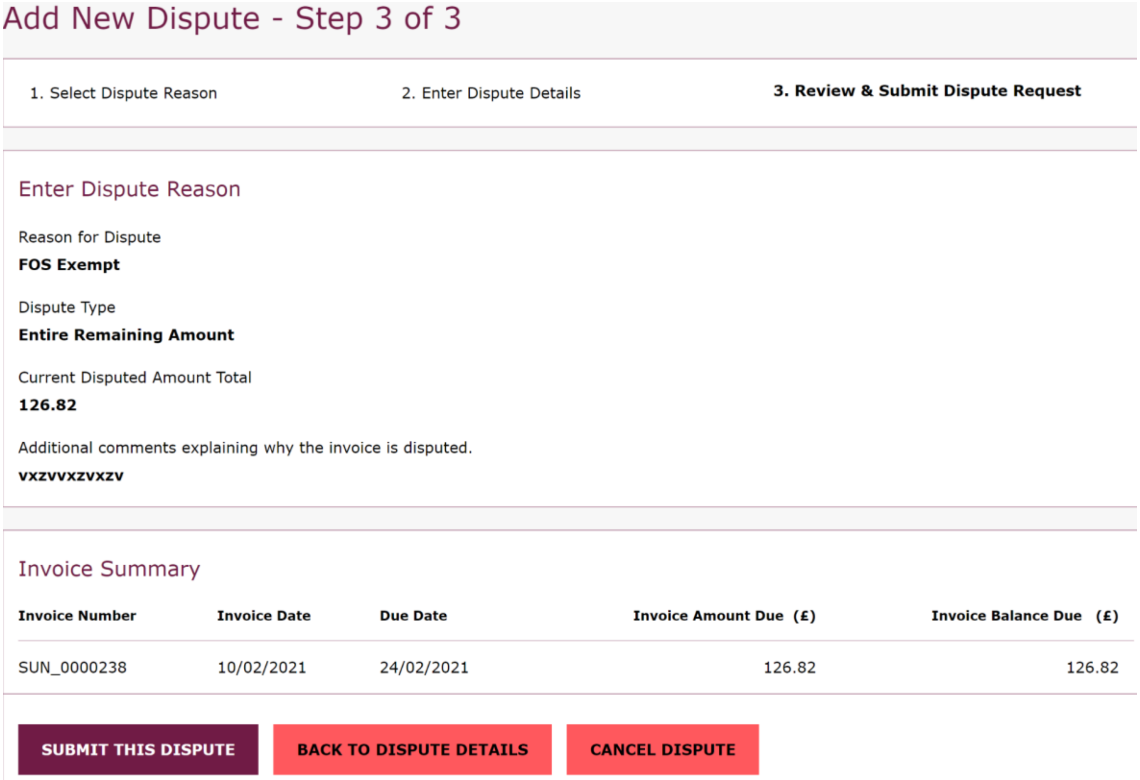
Step 6: select **Dispute Amount**



If **Partial Dispute Amount** is selected, you must enter the amount. If **Partial Dispute Percentage** is selected, you must enter a percentage.

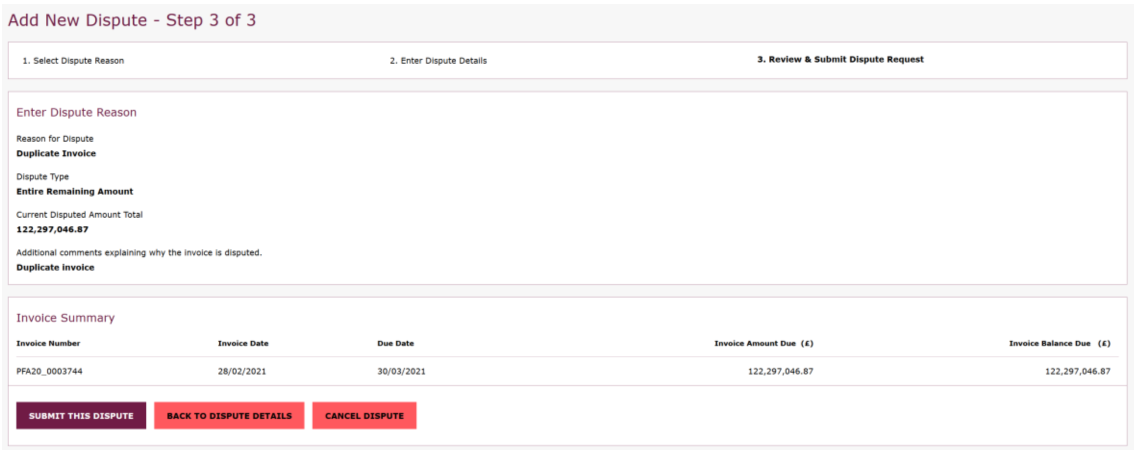
If you wish to amend the dispute details, select **Back to Dispute Reason**. If you no longer wish dispute the invoice, then select **Cancel Dispute**.

Step 7: once you have reviewed the dispute details, select **Review & Submit This Dispute**



If you wish to change the dispute details, then select **Back to Dispute Details**. If you no longer wish dispute the invoice, then select **Cancel Dispute**.

Step 8: select **Submit the Dispute**



When you click **Submit the Dispute,** you will see the **Dispute Confirmation** message. To return to the Account Activity page, click on the **See Account Activity**.

Review Invoice Dispute Status

You can review the status of a dispute on the Account Activity page under section Disputes.

☐	PFA20_0001343	Invoice	19,692,391.16	19,692,391.16	29/01/2021	28/02/2021	In Dispute
☐	SUN_0000115	Invoice	1,200.00	0.00	25/01/2021	25/01/2021	In Dispute

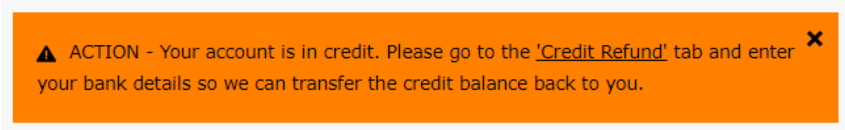
To view dispute details select **See Dispute Details.**

Dispute Details

Dispute Id	Transaction Number	Request Date	Dispute Amount (£)	Status	Action
D-0000000003	PFA20_0003744	28/03/2021	122,297,046.87	Open	See Dispute Details

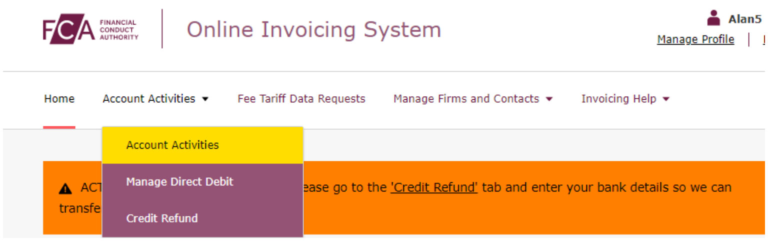
6. Credit Refund

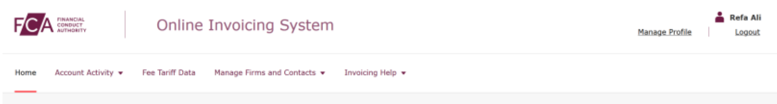
If you are entitled to a credit refund, a message will be displayed on the **Home Page**.



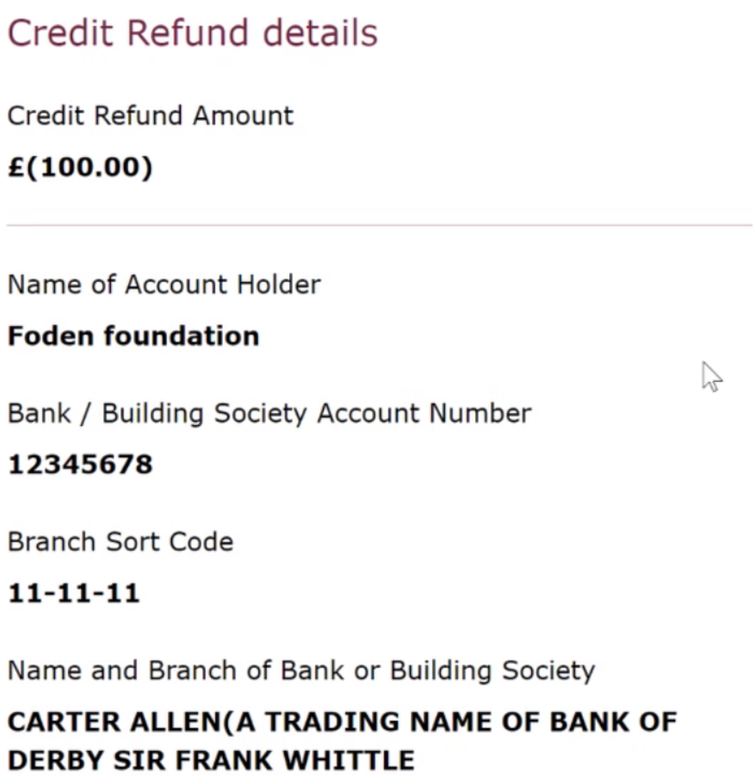
Credit Refund (when Direct Debit Set Up)

Step 1: click on the **Credit Refund link** or select the **Credit Refund page** from the **Account Activity** menu

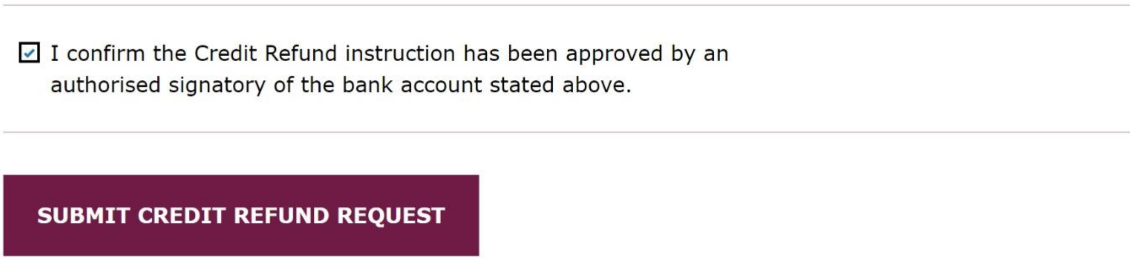




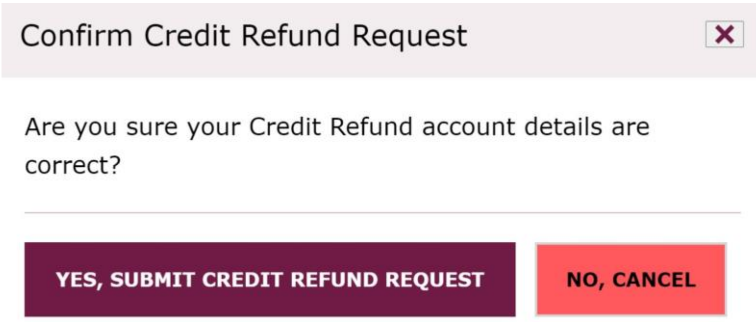
Step 2: the **Credit Refund Page** will display the sort code and bank account details will return the funds to



Step 3: select **I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above** and click **Submit Refund Request.**



Step 4: to confirm credit refund request select **Yes, Confirm Credit Refund Request.** If you wish to cancel the refund, then select **No, Cancel.**

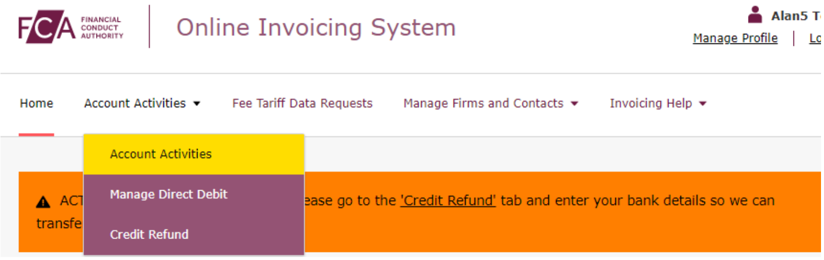


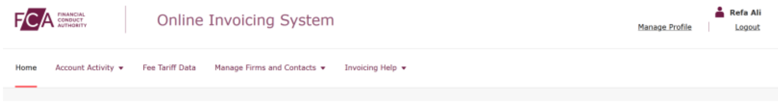
When you click **Yes, Confirm Credit Refund Request,** you will see the **Credit Refund Confirmation** message and an email will be sent to all your firm's registered users. To return to the Account Activity page, click on the **See Account Activity**.

Please note: If you want your credit refund paid to another sort code/bank account please email fcafees@fca.org.uk with the details.

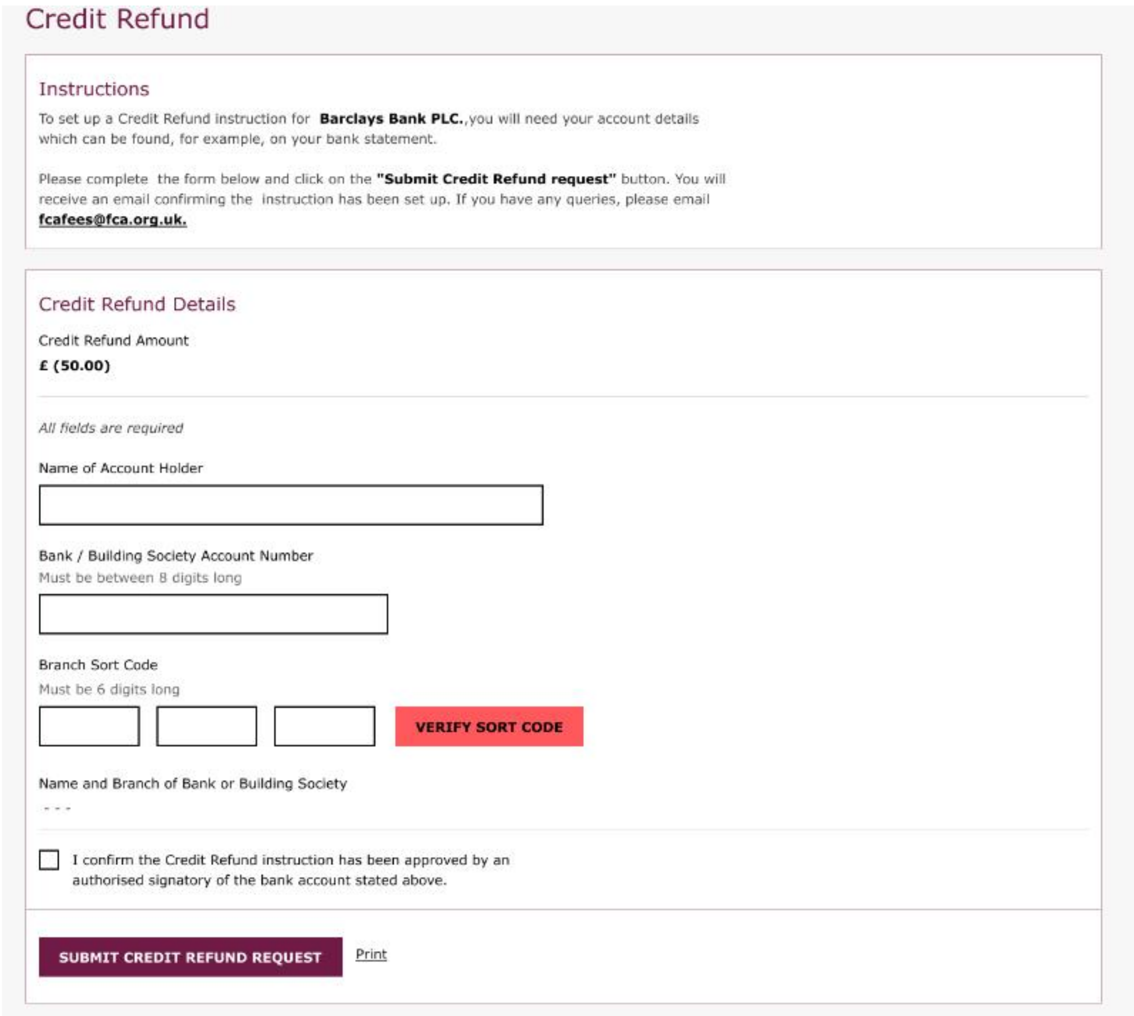
Credit Refund Direct Debit Not Set Up

Step 1: click on the **Credit Refund** link or select the **Credit Refund** page from the **Account Activity** menu



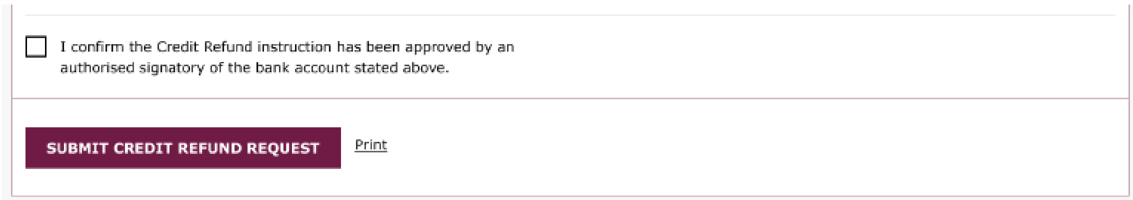


Step 2: enter **Credit Refund Details**

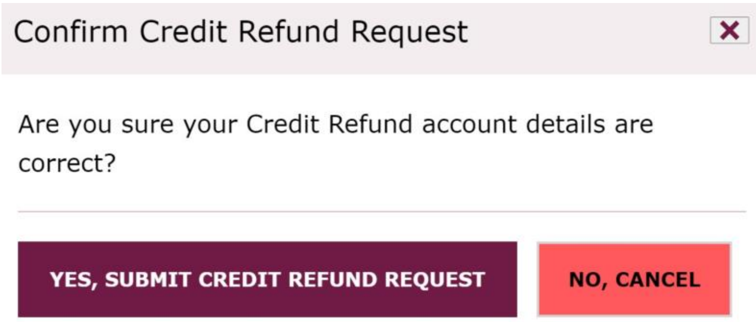


Step 3: enter click **verify sort code**

Once the sort code has been verified the system will populate Name and Branch of Bank or Building Society **Step 4:** select **I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above** and click **Submit Credit Refund Request.**



Step 5: to confirm credit refund request select **Yes, Confirm Credit Refund Request.** If you wish to cancel the refund, then select **No, Cancel.**



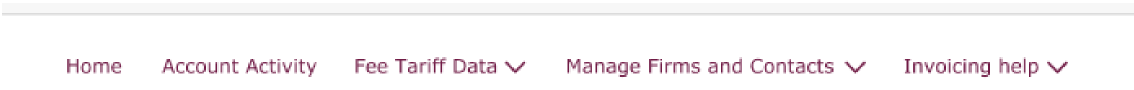
When you select **Yes, Confirm Credit Refund Request,** you will see the **Credit Refund Confirmation** message and an email will be sent to your firm's registered users. To return to the Account Activity page, click on the **See Account Activity**.

7. Fee Tariff Data Request

Providing Requested Fee Tariff Data

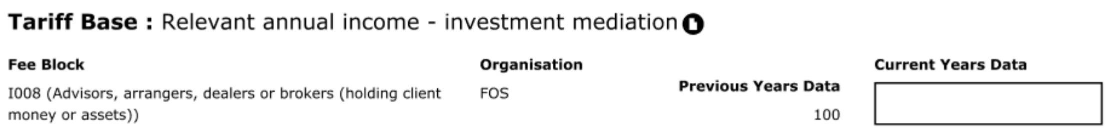
We will send you an email notification if you are required to submit fee tariff data to the FCA. You will see a message on the homepage with a link to the Fee Tariff Data page. If you can also follow the steps below to view and submit Fee Tariff Data to the FCA.

Step 1: select **Fee Tariff Data Request**

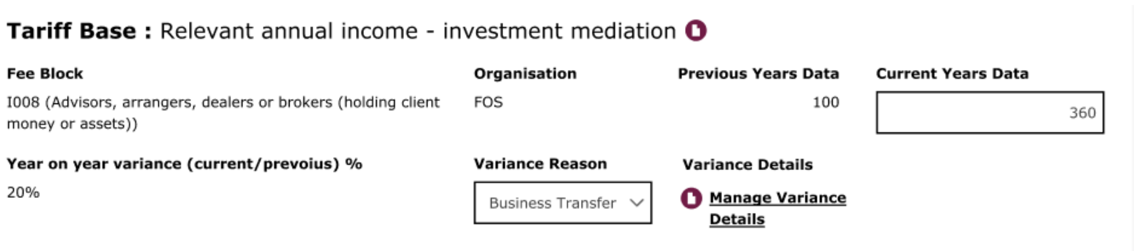


You can view **guidance notes** for a fee block by selecting the following icon**:** . Please also refer to our **"FAQs"**.

Step 2: enter **Current Year's Data**

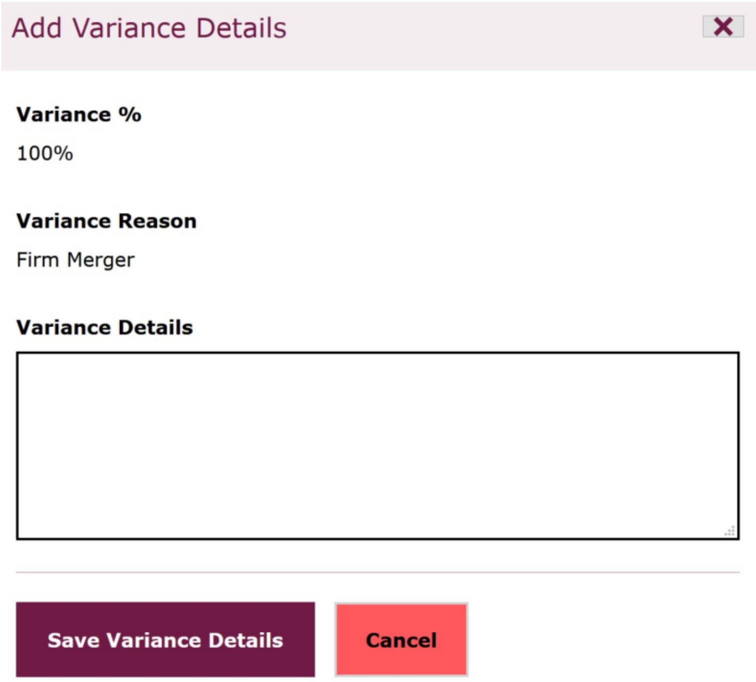


Step 3: select **Variance Reason** from dropdown list



Please note: Variance Details are only required for some variance reasons when year-on-year data variances are more than +/-15%.

Step 4: add variance details

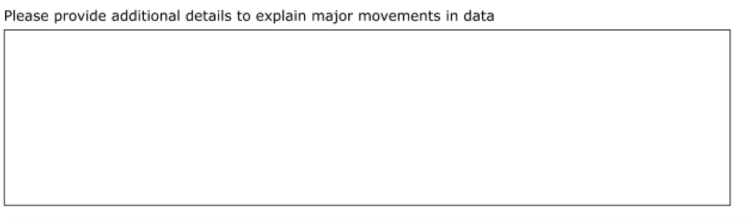


If you want to edit variance details, select **Manage Variance Details**

Step 5: select **Save Tariff Data**

Use the **Save Tariff Data** button regularly to ensure data entered is not lost should you move from this page or your session times out (after 30 minutes of inactivity).

Step 6: enter additional details to explain major movements in data – this is not a mandatory field



Step 7: to confirm that the information is correct, and the data submitted has been reviewed by an individual at the appropriate level select "**I verify that:..**"

Please note: All data fields must be completed before you can submit your Fee Tariff Data.

Step 8: select **Submit Tariff Data**

SUBMIT TARIFF DATA

Step 9: to submit revised tariff data form select **Yes, Submit Fee Tariff Data.** If you wish to cancel, then select **No, Cancel.**

When you click **Yes, Submit Fee Tariff Data,** you will see the **Fee Tariff Data Request Confirmation** message. To see account summary, select **See Account Summary** or select **View Saved Fee Tariff Data** to see saved tariff data.

You can review previously submitted Fee Tariff Data by selecting **Fee Tariff Data Submission History.**

Fee Tariff Data Instructions Fee Tariff Data FAQs **Fee Tariff Data Submission History**

Providing Additional Requested Fee Tariff Data

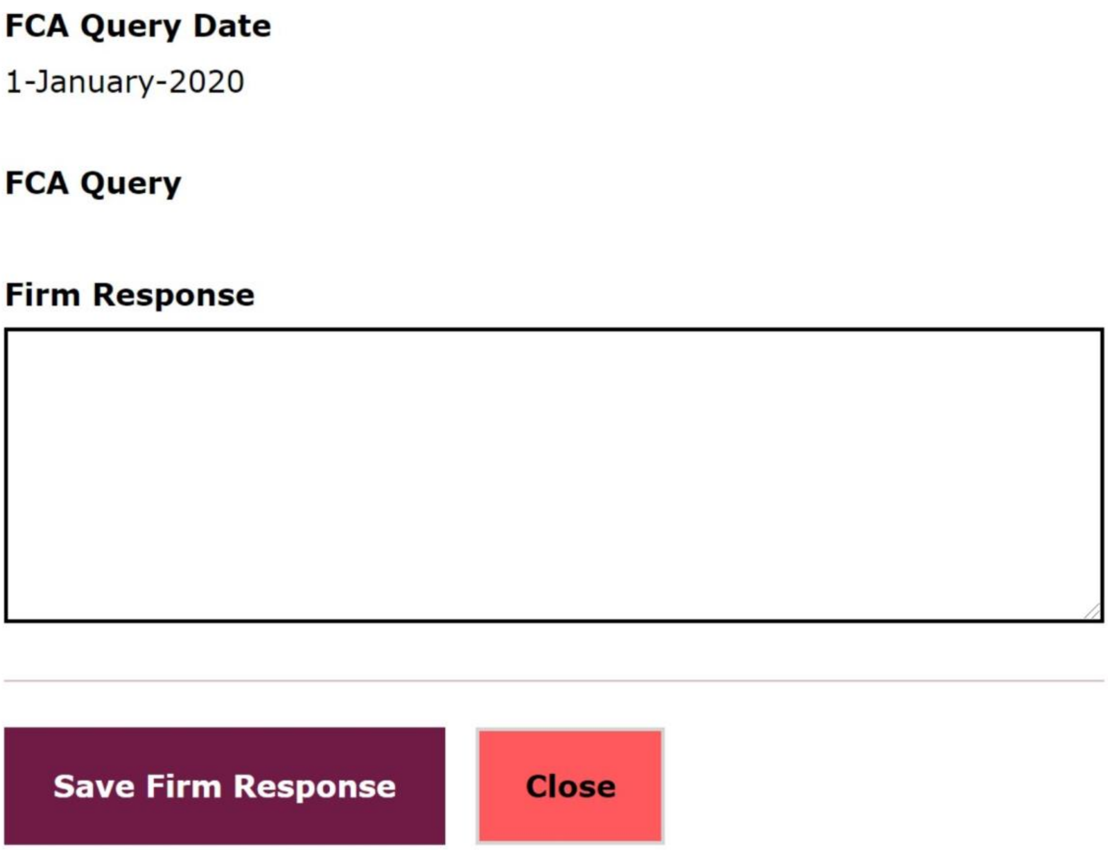
We will send you an email notification if you are required to provide additional information regarding your Fee Tariff Data. You will see a message on the homepage with a link to the Fee Tariff Data page. You can also follow the steps below to view and submit additional Fee Tariff Data to the FCA.

Please note: You will be required to provide a response to each specific query and have an opportunity to revise your data for the current year.

Step 1: select **Fee Tariff Data Request**

Step 2: review **Current Year's Data** for the FCA queried fee blocks and submit revised data if required

Step 3: review FCA query and enter detailed firm response



Step 4: Select **Save Firm Response**

If you wish to edit the firm response, then Select **Edit Firm Response** or select **Show More Information** to see firm response details (you can also edit the response when **Show More Information** is selected).

Step 5: select **Save Tariff Data**

Use the **Save Tariff Data** button regularly to ensure data entered is not lost should you move from this page or your session times out (after 30 minutes of inactivity).

Step 6: enter additional details to explain major movements in data – this is not a mandatory field

Please Provide additional details to explain major movements in data

Step 7: to confirm that the information is correct, and the data submitted has been reviewed by an individual at the appropriate level select **"I verify that:"**

Please note: All FCA queries require a response before you can re-submit your Fee Tariff Data.

Step 8: select **Submit Revised Form**

I verify that:

1. The above information is correct as required under the FCA Handbook of rules and guidance and I understand that it will be used in the calculation of fees and levies to FCA, PRA, FSCS, FOS, FGL and IML for 2021/2022.

2. The data submitted has been reviewed and approved by an individual at the appropriate level of seniority, eg compliance director, before submission.

SUBMIT REVISED FORM

Step 9: to submit revised tariff data form select **Yes, Submit Fee Tariff Data.** If you wish to cancel, then select **No, Cancel.**

Confirm Fee Tariff Data

Are you sure you want to submit provided Fee Tariff Data information

Once submitted you cannot make changes to the data online

YES, SUBMIT FEE TARIFF DATA   NO, CANCEL

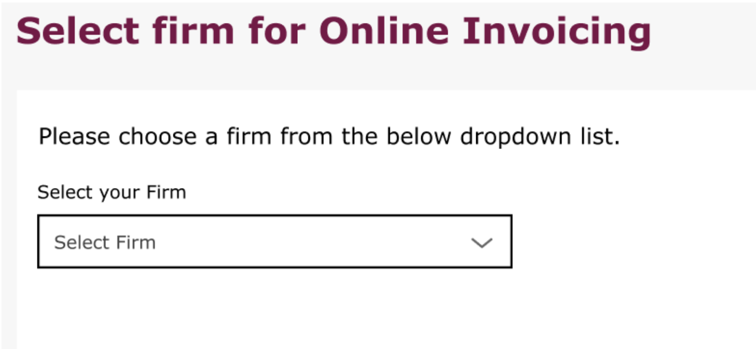
When you click **Yes, Submit Fee Tariff Data,** you will see the **Fee Tariff Data Request Confirmation** message. To see account summary, select **See Account Summary** or select **View Saved Fee Tariff Data** to see saved tariff data.

8. Manage Firms

You will be able to manage access to firms

Remove Firm Access

Step 1: select firm from dropdown list



Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.

Step 2: select **Manage Firms and Contacts**

Step 3: select **Manage Firms**

Step 4: locate relevant firm and select **Remove Firm Access**

Firm Name	Firm Reference Number	Firm Address	Action
Firm XYZ	111111		Remove Firm Access

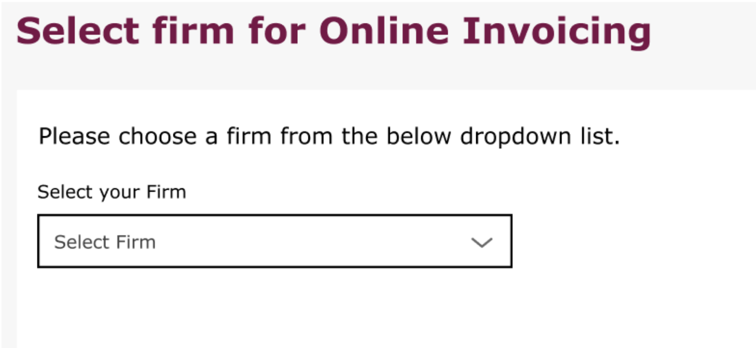
Step 5: select **Yes, Confirm Remove Firm Access** to confirm the removal of firm access

If you no longer wish remove firm access, then select **No, Cancel**.

When you click **Yes, Confirm Remove Firm Access,** you will see the **Remove Firm Access Confirmation** message. Select **Manage Firm Access** to go back to the **Manage Firms and Contacts** page.

Request Firm Access

Step 1: select any firm from dropdown list

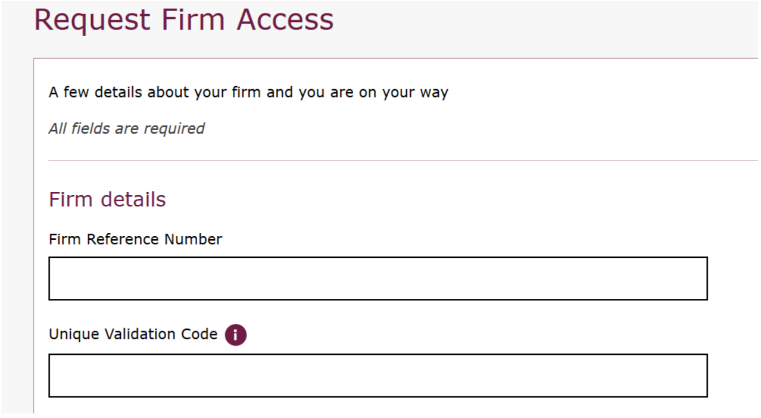


Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.

Step 2: select **Manage Firm**

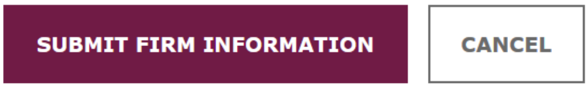
Step 3: select **Request Additional Firm Access**

Step 5: enter **Firm Reference Number (FRN)** and **Unique Verification Code (UVC)**



Please note: To obtain a Unique Validation Code you will need to email fcafees@fca.org.uk or call the Supervision Hub on 0300 500 0597.

Step 6: select **Submit Firm Request**



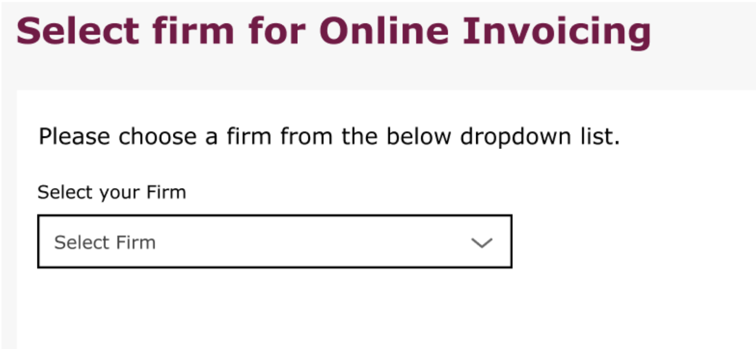
When you click **Submit Firm Request,** you will see the **Request Firm Access Confirmation** message. Select **Home** to go back to the homepage.

9. Manage Contacts

You will be able to manage Contacts' access to firms

Remove Firm Contact Access

Step 1: select firm from dropdown list

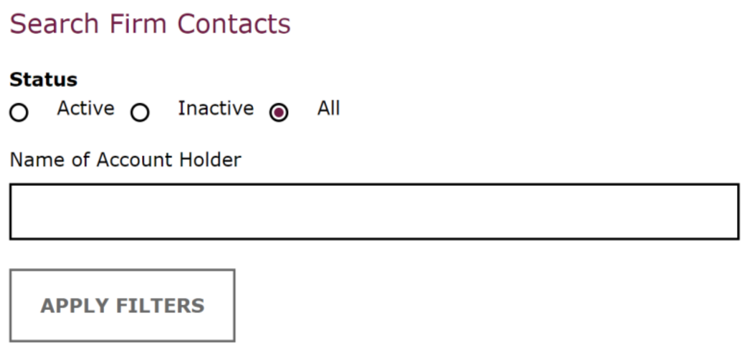


Please note: If you have access to only one firm you will not be required to select the firm from a dropdown list.

Step 2: select **Manage Firms and Contacts**

Step 3: select **Manage Contacts**

If there are more than one contact for the firm, you can enter the contact name and select **apply Filters** to refine your search.



Step 4: locate relevant contact and select **Remove Access**

Contact Name	Phone Number	Email Address	Date Modified	Last Modified By	Status	Action
Dummy Firm User1	+449890808008	dummy.user1@firm.uk	25/03/2021	dummy.user1@firm.uk	Active	Remove Access
Dummy Firm User2	+449890808008	dummy.user2@firm.uk	25/03/2021	dummy.user2@firm.uk	Active	Remove Access

Step 5: select **Yes, Confirm Remove Account Access** to confirm the removal of account access

If you no longer wish to remove account access, then select **No, Cancel**.

When you click **Yes, Confirm Remove Account Access,** you will see the **Remove Firm Account Confirmation** message.

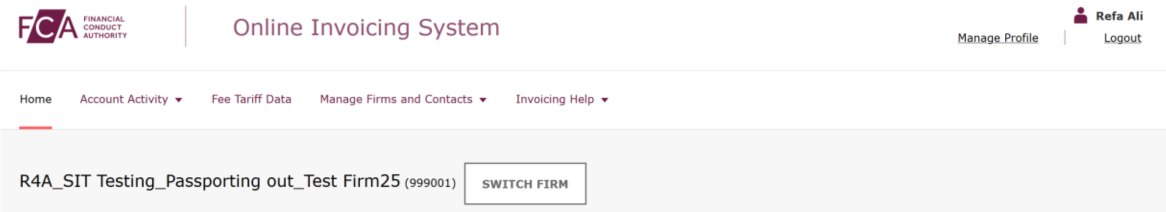
Re-request Contact Access

If removing a Contact's access was an error, you can re-activate the user by selecting **Restore Access.**

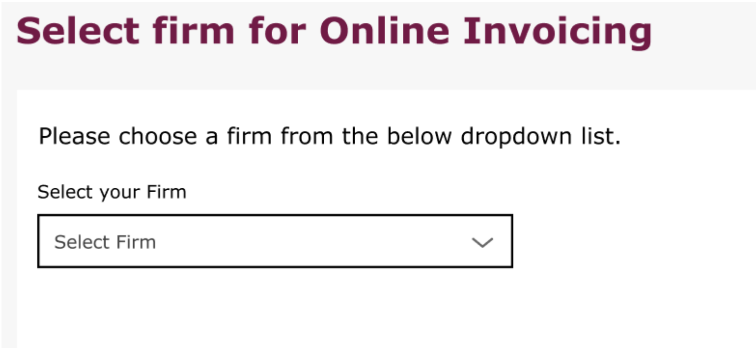
If all firm **Contacts** become Inactive, the user will need to use the **Manage Firm Access** procedure in section 8 to obtain access.

10. Switch Firms

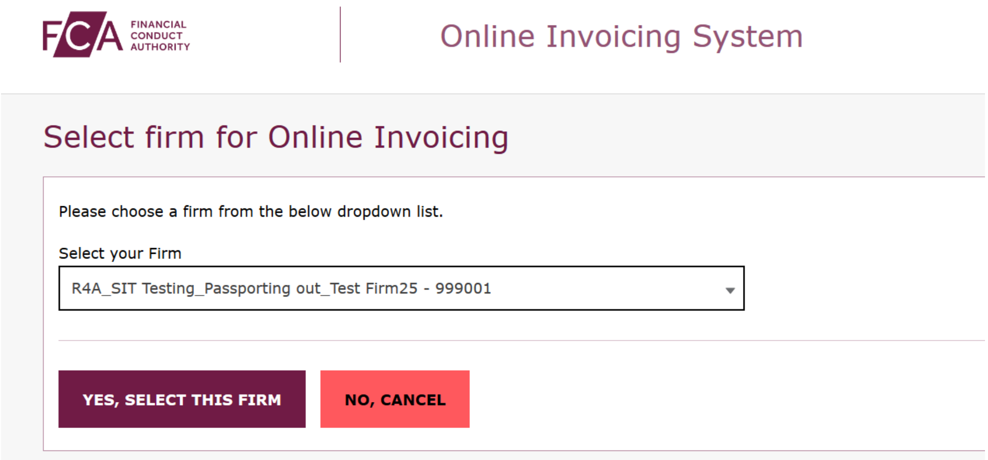
Step 1: select **Switch Firm**



Step 2: select a firm from dropdown list



Step 3: select **Yes, Select This Firm**



If you no longer wish to switch firms, then select **No, cancel**.

Please note: If you have access to only one firm you will not be able to switch firms.