



Introduction

Application form for the Scale-up Unit: solo regulated cohort

Preparing your application

Please complete this form to submit an application for the Scale-up Unit solo-regulated cohort. You can find more information about the Scale-up Unit on the [FCA website](#).

We will only accept applications submitted via this web form. You can view of a copy of the questions here. Once you're happy with your answers, please complete this web application form.

Please note: You will need to complete the application form in one go as your progress will not be saved.

Data protection

As part of this application form, we will ask for your name and contact details for the purpose of contacting you to discuss your application for support.

We use this personal data under Article 6(1)(e) of the UK GDPR (it is necessary for the performance of a task carried out in the public interest) and Section 8(c) of the DPA 2018.

Further information on how and why we use your personal data, including your rights, can be found here: <https://www.fca.org.uk/privacy/personal-data-and-supervision>.

Default Question Block

PART A: FIRM INFORMATION

Firm Name:

FRN:

Lead contact(s):

	Name	Phone	Email Address	Role
Contact 1	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contact 2	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Contact 3	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

ELIGIBILITY CRITERIA ASSESSMENT

PART B: FIRM PROFILE AND ELIGIBILITY SCREENING

The Scale-Up Unit aims to support rapidly growing firms to achieve their scaling targets. We want to ensure that we target those firms that are most likely to achieve their objectives with our support. For this reason, in the pilot phase, we can only consider supporting firms meeting the following minimum requirements:

1. The firm has been authorised by the FCA for over 3 years
2. Over the last 3 years, average income growth has been greater than 20% year-on-year
3. Gross annual revenue is greater than £50 million, or the firm has been valued in a funding round at greater than £300 million

I certify that the firm meets the above criteria.

Please note, we may use any records available to us to verify this certification and may ask for evidence, later.

Please use this space to briefly outline how the firm meets the requirements.

PART C: SUPPORT ASSESSMENT

The Scale-Up Unit can assist a firm in relation to multiple requests for support across multiple areas. Each request for support will be considered on its own merits. Please review the FCA web pages for the types of support the Scale-Up Unit can provide, such as support with innovative products, variations of permission, or support understanding how area(s) FCA policy apply to your scaling operations.

Please complete one Support Request page for **each** distinct area of support you are seeking, in the order in which you expect the support to be needed. We expect most applications will include multiple Support Requests. For example, if the applicant firm is seeking a new permission, support with international expansion, and an informal steer on how a policy area applies to their business, we would expect 3 separate support requests to be submitted within this application.

If multiple strands of support are closely connected, you may either combine them on a single page or complete separate pages and indicate the link clearly.

When completing the request, please answer the questions below

Support Request 1

1. Please outline the support are you requesting from the Scale-Up Unit?

Describe clearly the regulatory issue(s), question(s), decisions or engagement you are seeking SUU support for.

2. When would this support be most useful?

Please specify the Month/quarter, to the extent possible. This helps us coordinate resources, but it does not guarantee delivery by a specific date.

3. What have you done to progress this issue so far?

Please briefly outline any steps already taken, including analysis, advice, or supervisory engagement. This may include steps taken through commercial, advisory, or existing regulatory engagement channels, where relevant.

4. How would SUU support materially accelerate your progress?

A short description of the counterfactual.

In considering how to answer, please bear in mind the purpose that we are requesting the information. We are seeking sufficient detail to satisfy ourselves that the request:

- 1. Is within scope of the Scale-Up Unit’s function
- 2. Is sufficiently clear as to be capable of being answered
- 3. Enables the Scale-Up Unit to identify the parts of the FCA best positioned to help

Is one which should be supported

You may attach any documents you consider necessary, but please use the free text boxes to draw our attention to the relevant parts and briefly explain their relevance. We do not expect applicants to create brand new documents as part of this application process, but you may wish to share existing board or strategy documents to add further context to your support request.

Please note there is a 50mb file upload size limit and max one upload. If you are uploading multiple documents for this support request they will need to be zipped into a single folder

Would you like to complete another support request?

- Yes
- No

Support Request 2

1. Please outline the support are you requesting from the Scale-Up Unit?

Describe clearly the regulatory issue(s), question(s), decisions or engagement you are seeking SUU support for.

2. When would this support be most useful?

Please specify the Month/quarter, to the extent possible. This helps us coordinate resources, but it does not guarantee delivery by a specific date.

3. What have you done to progress this issue so far?

Please briefly outline any steps already taken, including analysis, advice, or supervisory engagement. This may include steps taken through commercial, advisory, or existing regulatory engagement channels, where relevant.

4. How would SUU support materially accelerate your progress?

A short description of the counterfactual.

In considering how to answer, please bear in mind the purpose that we are requesting the information. We are seeking sufficient detail to satisfy ourselves that the request:

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You may attach any documents you consider necessary, but please use the free text boxes to draw our attention to the relevant parts and briefly explain their relevance.

[Add note on 50mb file size limit and need to .zip if multiple files being uploaded]

Would you like to complete another support request?

- Yes
- No

Support Request 3

1. Please outline the support are you requesting from the Scale-Up Unit?

Describe clearly the regulatory issue(s), question(s), decisions or engagement you are seeking SUU support for.

2. When would this support be most useful?

Please specify the Month/quarter, to the extent possible. This helps us coordinate resources, but it does not guarantee delivery by a specific date.

3. What have you done to progress this issue so far?

Please briefly outline any steps already taken, including analysis, advice, or supervisory engagement. This may include steps taken through commercial, advisory, or existing regulatory engagement channels, where relevant.

4. How would SUU support materially accelerate your progress?

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In considering how to answer, please bear in mind the purpose that we are requesting the information. We are seeking sufficient detail to satisfy ourselves that the request:

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[Add note on 50mb file size limit and need to .zip if multiple files being uploaded]

Would you like to complete another support request?

- Yes
- No

Support Request 4

1. Please outline the support are you requesting from the Scale-Up Unit?

Describe clearly the regulatory issue(s), question(s), decisions or engagement you are seeking SUU support for.

2. When would this support be most useful?

Please specify the Month/quarter, to the extent possible. This helps us coordinate resources, but it does not guarantee delivery by a specific date.

3. What have you done to progress this issue so far?

Please briefly outline any steps already taken, including analysis, advice, or supervisory engagement. This may include steps taken through commercial, advisory, or existing regulatory engagement channels, where relevant.

4. How would SUU support materially accelerate your progress?

A short description of the counterfactual.

In considering how to answer, please bear in mind the purpose that we are requesting the information. We are seeking sufficient detail to satisfy ourselves that the request:

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You may attach any documents you consider necessary, but please use the free text boxes to draw our attention to the relevant parts and briefly explain their relevance.

[Add note on 50mb file size limit and need to .zip if multiple files being uploaded]

Would you like to complete another support request?

- Yes
- No

Support Request 5

1. Please outline the support are you requesting from the Scale-Up Unit?

Describe clearly the regulatory issue(s), question(s), decisions or engagement you are seeking SUU support for.

2. When would this support be most useful?

Please specify the Month/quarter, to the extent possible. This helps us coordinate resources, but it does not guarantee delivery by a specific date.

3. What have you done to progress this issue so far?

Please briefly outline any steps already taken, including analysis, advice, or supervisory engagement. This may include steps taken through commercial, advisory, or existing regulatory engagement channels, where relevant.

4. How would SUU support materially accelerate your progress?

A short description of the counterfactual.

In considering how to answer, please bear in mind the purpose that we are requesting the information. We are seeking sufficient detail to satisfy ourselves that the request:

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Block 1

PART D

Please briefly explain how the SUU's support of your scaling plans will have downstream benefits for consumer and/or markets. This could be direct such as cheaper products and services, or indirect such as stimulating competition and innovation. Please provide forecasts or quantitative data, if possible.

For qualitative explanations, please describe where possible the mechanism(s) through which SUU support would generate consumer, competition, or market benefits – rather than general statements of "improved outcomes."

Examples include: efficiencies, improved consumer choice, increased market participation, risk reduction, or innovation benefits.

I believe the responses provided in this application are true.

Signed:



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