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## Applications



### Authorised Firm and Individual applications/notifications

Create, view, submit and manage application/notification forms for existing authorised and registered firms and individuals



### New FSMA/Consumer Credit/Payment Services Authorisation/ Registration Application

Create and submit FSMA, Consumer Credit limited/full permission and Payment Services authorisation and registration applications

## Forms



### Suspicious Transaction and Order Report

This form is for the use of persons professionally arranging or executing transactions, market operators and investment firms that operate a trading venue to make a report to the FCA under Article 16(1) and 16(2) of Regulation (EU) No 596/2014 of the European Parliament and of the Council on market abuse ("The Market Abuse Regulation").



### Commodity Position Limit Exemption Form

This form is for the use of a non-financial entity holding a qualifying position in a commodity derivative, who wishes to apply for an exemption from position limits, as referred to under Article 57 MiFID II and Commission Delegated Regulation (EU) 2017/591.



### MiFID II Ancillary Activity Exemption: Notification Form

This form is for use by persons who are exempt from the requirement for authorisation under MiFID II, to notify the FCA annually that they make use of this exemption, as required by Article 2(1)(j) MiFID II.



## Start New Application

### You are creating an application for a Commodity Position Limit Exemption

- Commodity Position Limit Exemption Form

#### Important information you should read before completing this form

This form should be used if you are:

1. Applying for a position limit exemption;
2. Notifying the FCA of a significant change in commercial or trading activities;
3. Cancelling a position limit exemption.

Please keep a copy of your completed forms and any supporting documents you include in your application pack for future reference.

For the purposes of complying with the Data Protection Act 1998, please note that any personal information provided to us will be used to discharge our statutory functions under the Markets in Financial Instruments Regulations 2017 and other relevant legislation and may be disclosed to third parties for those purposes.

**It is important that you provide accurate and complete information. Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be an offence under [Regulation 43 of the Markets in Financial Instruments Regulations 2017]. If necessary, please take appropriate professional advice before supplying information to us. If any information is inaccurate or incomplete this application may take longer to be processed.**

You must notify us immediately of a significant change to the nature or value of the non-financial entity's commercial activities or its trading activities in commodity derivatives, and submit a new application for the exemption if you intend to continue to use it, as required under article 8(4) RTS 21.

#### Terms in this application pack

In this application pack we use the following terms:

- 'you' refers to the person(s) signing the form on behalf of the applicant firm
- 'the applicant firm' refers to the relevant non-financial entity applying for the position limit exemption
- 'we', 'us', 'our' or 'FCA' refers to the Financial Conduct Authority
- 'MiFID' refers to the Markets in Financial Instruments Directive (Directive 2014/65/EU of the European Parliament and of the Council)
- 'VPC' refers to Venue Product Code
- 'RTS 21' refers to the Commission Delegated Regulation (EU) 2017/591

**The decision will be communicated via e-mail to the applicant firm so please ensure valid business contact details are provided. For any queries relating to the completion of this application form please e-mail [PLexemptionsqueries@fca.org.uk](mailto:PLexemptionsqueries@fca.org.uk).**

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User Name: janedoe@abc.com

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page 1 of 1 (5 records total)

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Action	Application Reference Number	Application Type	Application Outcome	Firm Name	Application Status	Created Date
<a href="#">Edit</a>   <a href="#">Del</a>	<a href="#">0001691013</a>	Commodity Position Limit Exemption			Draft	02/08/2017 14:48
<a href="#">Edit</a>   <a href="#">Del</a>	<a href="#">0001690900</a>	Commodity Position Limit Exemption			Draft	01/08/2017 13:30
<a href="#">Edit</a>   <a href="#">Del</a>	<a href="#">0001690858</a>	Commodity Position Limit Exemption			Draft	31/07/2017 17:58
<a href="#">Edit</a>	<a href="#">0001690857</a>	Commodity Position Limit Exemption	New Exemption		Submitted	31/07/2017 17:44
<a href="#">Edit</a>   <a href="#">Del</a>	<a href="#">0001690856</a>	Commodity Position Limit Exemption			Draft	31/07/2017 17:39



## Commodity Position Limit Exemption Form


### Entity Details

 Please complete the entity name.

Do you have a Legal Entity Identifier (LEI)? 

Yes  No


Please provide the following details

Your Legal Entity Identifier (LEI) 

21380025FCAEG3RTXE43

Find

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Entity Name 

Test Firm Ltd

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### Application Contact Details

Firm Name: FRN :  
Form Version Number: 1 Application Reference Number: 0001691935 Last Modified By: Jane Doe - 11/08/2017 04:52:26 PM

#### Progress

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#### Legend

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Please enter the contact details of the person we will get in touch with about this application.

#### Associated Individual

Title Miss  
 First Name(s) Jane  
 Last Name Doe  
 Job Title Associate  
 Mobile Number  
 Email Address [janedoe@abc.com](mailto:janedoe@abc.com)  
 Building name / number  
 Postcode    
 Enter Manually   
 Address Line 1 25 North Colonnade  
 Address Line 2  
 Address Line 3  
 Address Line 4  
 Town London  
 County  
 Postcode E14 5HS  
 Country UNITED KINGDOM  
 Phone Number Country Code    
 Phone Number 07111111111  
 Fax Number Country Code    
 Fax Number

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## Commodity Position Limit Exemption Application

Firm Name: FRN :  
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Step 1

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### General Information

#### 1.1 Name of non-financial entity applying for exemption.

Test Firm Ltd

#### 1.2 Legal Entity Identifier (LEI)

21380025FCAEG3RTXE43

#### 1.3 Type of application

- A - New application for a position limit exemption
- B - New application for a position limit exemption as a result of a significant change in commercial activities or trading activities in commodity derivatives.
- C - Cancel an exemption

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## Exemption Form

Firm Name: \_\_\_\_\_ FRN: \_\_\_\_\_  
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Current Step

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### Exemption details

For the answers provided below, please refer to activities carried out over the last 12 months. The applicant should state how recent the figures provided are, along with a statement as to whether their trading activity had changed materially in the interim period. Where the NFE does not currently trade commodity derivatives and it is not possible to refer to trading activity in the last 12 months, it is asked to include estimates or projections which should be highlighted clearly.

This form can be used to apply for multiple exemptions in respect of a range of commodity derivative contracts. An assessment of suitability of the exemption will be made separately in respect of each individual commodity derivative contract.

2.1 Please provide the details of the commodity derivative contracts which you wish to seek an exemption or cancellation for in the table below.

Trading venue name	Trading venue MIC code	VPC	Commodity derivative name	Spot month contract: total risk -reducing position	Other Months' contract: total risk -reducing position	Units	If Other Units (Please specify)
	<input type="text"/> -None-	<input type="text"/> -None-				<input type="text"/> -None-	

Add New Line

2.2 Please provide a description of the nature and value of your commercial activity in the commodity underlying this commodity derivative. Please specify the commodity derivative alongside the description.

*Description of nature and value of your commercial activity*

2.3 How was the value of your commercial activity as described in 2.2 calculated? Please specify the commodity derivative alongside the description.

*Description of how value of commercial activity calculation was derived*

2.4 What is the nature and value of your activity in the trading of and positions held in this commodity derivative? This should include activity on trading venues and in any EOTC. Please specify the commodity derivative alongside the description.

*Description of nature and value of trading activity and positions held*

2.5 Please provide a description of the nature and size of the exposures and risks in the relevant commodity which you have or expect to have as a result of your commercial activities or trading activities, and which are or would be mitigated by the use of commodity derivatives. The description should include an explanation of how your use of the commodity derivative directly reduces your exposures and risks in your commercial activities. Please specify the commodity derivative alongside the description.

*Description of nature and size of the exposures and risks in the relevant commodity which would be mitigated by the use of commodity derivatives.*

2.6 Please provide supporting evidence you wish to be considered as part of this application and highlight the relevant sections.

### Supporting Document

Document Title

Attachment

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## Exemption Form

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FRN :

Form Version Number:

Application Reference Number: 0001691935

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	Venue1	IFEU	NPT	Singapore Naphtha Future	15	12	lots	
<a href="#">Remove</a>	Venue2	XLME	CO	Colbalt	90	230	Others	tonnes

Add New Line

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*Description of nature and value of your commercial activity*

Description of nature and value of your commercial activity

2.3 How was the value of your commercial activity as described in 2.2 calculated? Please specify the commodity derivative alongside the description.

*Description of how value of commercial activity calculation was derived*

Description of how value of commercial activity calculation was derived

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*Description of nature and value of trading activity and positions held*

Description of nature and value of trading activity and positions held

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*Description of nature and size of the exposures and risks in the relevant commodity which would be mitigated by the use of commodity derivatives:*

Description of nature and size of the exposures and risks in the relevant commodity which would be mitigated by the use of commodity derivatives.

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Supporting Document attached

Supporting Document

Document Title

Attachment Supporting Document.docx

Select file to attach

Download

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## Declaration

View our step-by-step video [guide](#) for the Firm Declaration

Firm Name: \_\_\_\_\_ FRN: \_\_\_\_\_  
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### Declaration

By submitting this application form:

- I confirm that the information in this application is accurate and complete to the best of my/our knowledge and belief and that I/we have taken all reasonable steps to ensure that this is the case.
- I am aware that it is an offence knowingly or recklessly to give the FCA information that is false or misleading in a material particular.
- Some responses do not require supporting evidence. However, I confirm that where relevant the records, which demonstrate the applicant's compliance with the requirements for the exemption, are available to the FCA on request.
- I will notify the FCA immediately if there is a significant change to the information given in the application, as required under article 8(4) RTS 21. If I fail to do so, this may result in a delay in the application process or supervisory action.

### Review and Submission

The ability to submit this form is given to an appropriate user or users by the entity's principal compliance contact.

Tick here to confirm that the person submitting this form on behalf of the entity and (if applicable) the individual named below - have read and understood the declaration.

### Who must sign the declaration?

The signatory must be a suitable person of appropriate seniority at the entity that is able to attest to the factual accuracy and validity of the information provided in this form. eg, Director, Sole Trader, Compliance Officer

Is there more than one director / partner as applicable to the legal status of the entity? --None--

### Signature

I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA's request.

Name of authorised signatory Jane Doe

Signature

Date 14/08/2017 [ 14/08/2017 ]

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## Declaration

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Name of authorised signatory

Signature

Date  [ 14/08/2017 ]

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## Commodity Position Limit Exemption Application

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*Once the application is complete and valid, a button will appear to allow the application to be marked as Ready to Submit (Draft Ready).*

### Commodity Position Limit Exemption Application

Form	Form Status
<a href="#">Application Contact Details</a>	Complete
<a href="#">General Information</a>	Complete
<a href="#">Exemption details</a>	Complete
<a href="#">Declaration</a>	Complete