



Notice is given under section 1 of the Statistics of Trade Act 1947



## Financial Institutions Register Survey

**Please do not discard this important document - your response is legally required**

00001 0 23630 21

**CONTACT NAME**  
**OFFICE FOR NATIONAL STATISTICS**  
**GOVERNMENT BUILDINGS**  
**CARDIFF ROAD**  
**NEWPORT**  
**NP10 8XG**  
\*\*\*\*\* EXAMPLE PRINT \*\*\*\*\*

Please write any changes to your name and address in the box below, using black ink

**To be completed for:** THE BUSINESS NAMED ABOVE

**Please complete and return by 13 June 2016**

Dear Sir or Madam,

Please find the questionnaire for the Financial Institutions Register Survey (FIRS) attached. If actual figures are not available, please provide informed estimates. Once complete, the questionnaire can be returned by post or fax using the details in the box below.

The Office for National Statistics (ONS) is the UK's largest independent producer of official statistics and is the recognised national statistical institute for the UK. It is responsible for collecting and publishing statistics related to the economy, population and society at national, regional and local levels. It also conducts the census in England and Wales every ten years.

The purpose of this survey is to ensure that the activity of your business is correctly classified on the Inter Departmental Business Register held by ONS. Correctly classifying the activity of your business will ensure that we only contact you when absolutely necessary.

**You are required by law to complete this questionnaire.** If you do not complete and return this questionnaire by 13 June 2016, penalties may be incurred (under section 4 of the Statistics of Trade Act 1947). All the information you provide is kept strictly confidential. It is illegal for us to reveal your data or identify your business to unauthorised persons.

Thank you for your co-operation,  
Office for National Statistics

### Questionnaire return details

**To return via fax:** 01633 652707

**To return via post:** Please use the prepaid envelope provided which is addressed to:  
Office for National Statistics, Government Buildings, Cardiff Road, Newport, NP10 8XG

### Contact numbers

Er mwyn gwneud cais am ffurflen Gymraeg (To request a questionnaire in Welsh) 0300 1234 921

If you would like to use our Minicom service for the Deaf 01633 815044

To complete the questionnaire in Euros 0300 1234 933

For any other queries, please contact the **FIRS Team** **0300 1234 933**  
or go to [www.ons.gov.uk/surveys](http://www.ons.gov.uk/surveys)

### When contacting the office you may be asked for the following information

**Survey code:** 242

**Reference number:** 8888 8880 001

**Period:** 201606

- Telephone calls may be recorded for training and quality purposes

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**PROV ANN**



## Introduction to the Financial Institutions Register Survey

### Purpose of this survey

The purpose of this survey is to ensure that the activity of your business is correctly classified on the Inter Departmental Business Register held by the Office for National Statistics (ONS). Correctly classifying the activity of your business will ensure that we only contact you when absolutely necessary.

### Coverage

- Include information for the UK business named on the front of this questionnaire.
- Exclude overseas branches, subsidiaries and agencies.
- The UK consists of England, Wales, Scotland and Northern Ireland, but excludes the Channel Islands and the Isle of Man.

### Information required

This questionnaire is divided into eight sections, which ask for information about:

- Section A** status of the business
- Section B** main activity of the business
- Section C** Value Added Tax (VAT) details
- Section D** Pay As You Earn (PAYE) reference
- Section E** employment
- Section F** assets
- Section G** decision making power and group structure
- Section H** any additional comments and your contact details

### How to complete the questionnaire

- Read instructions accompanying questions before completing this questionnaire.
- Leave question blank if not applicable.
- Give the best estimate you can if you do not have exact figures.
- Round all values to the nearest £ thousand.

For example, £65,315,680 = £   ,  6  5 ,  3  1  6 ,  0  0  0

### This questionnaire will be scanned, therefore please:

- complete in **black ink**
- ensure letters and numbers are PRINTED and centered within each box
- do not use commas
- do not cross sevens  or zeros





## Section B - Main activity of the business (continued)

### 6. If the business is a holding company or an SPE/SPV, which one of the following best describes its activity?



#### A holding company

A holding company holds the assets of subsidiary corporations on behalf of its parent, but does not undertake any management activities.

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#### A shell or conduit company

A shell company passes funds between non-residents of a given economy, without actually conducting any operations within that economy itself, and will typically hold no assets. A conduit company raises or borrows funds that are not backed by assets, and transfers those funds to a parent company or another related entity.

52



#### A Special Purpose Entity/Vehicle (SPE/SPV) for holding and managing wealth of individuals and families

This is an entity which is responsible for holding and managing assets on behalf of clients who are private individuals or families.

53



#### A securitisation company, a captive leasing company or factoring and invoicing company

A securitisation company creates and issues tradeable securities that are backed by the income generated by an asset. A captive leasing company provides either operating or finance leasing within a group of entities or as part of an internal leasing programme. A factoring and invoicing company trades invoices that are payable and receivable by entities other than itself.

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#### A captive insurance company

A captive insurance company provides insurance services exclusively to other entities within its group.

55



#### A Special Purpose Entity/Vehicle (SPE/SPV) which carries out other financial functions

This type of business deals with the financial needs of a group, for example financing specific projects.

56

## Section C - Value Added Tax (VAT) details

### 7. Are the VAT details printed below correct for the business named on the front of this questionnaire?

If the business is part of a VAT group, any number given will include a three digit subsidiary reference number as part of the overall VAT number.

#### VAT Registration Number

9	9	9	9	9	9	9	9	9	9
---	---	---	---	---	---	---	---	---	---

#### Subsidiary Reference Number

9	9	9
---	---	---

Yes



Go to question 9

21

Exempt/  
Not applicable

Go to question 9

25

No



Go to question 8

22

### 8. If the number printed above is incorrect, please print the correct VAT details for the business named on the front of this questionnaire in the boxes below.

#### VAT Registration Number

--	--	--	--	--	--	--	--	--	--

#### Subsidiary Reference Number

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20



**Section D - Pay As You Earn (PAYE) reference**

**9. Is the employer's PAYE reference printed below correct for the business named on the front of this questionnaire?**

PAYE reference consists of a tax office number followed by a / and an employer reference number.

**Employer's PAYE reference**

9 9 9 / X Z 9 9 9 9 9

Yes  → Go to question 11 31

Not applicable  → Go to question 11 34

No  → Go to question 10 32

**10. If the reference above is incorrect, please print the correct employer's PAYE reference for the business named on the front of this questionnaire in the boxes below.**

**Employer's PAYE reference**

/ 30

**Section E - Employment**

**11. For the business named on the front of this questionnaire, what was the total number of employees on 31 March 2016?**

An employee is anyone aged 16 years or over that your organisation directly pays from its payroll(s), in return for carrying out a full-time or part-time job or being on a training scheme.

Include:

- all employees paid directly from this business's payroll(s) including directors paid via PAYE
- those temporarily absent but still being paid, for example on maternity leave

Exclude:

- working owners who are not paid via PAYE
- agency workers paid directly from the agency payroll
- voluntary employees
- former employees only receiving a pension
- self-employed employees . . . . .      150

**Section F - Assets**

- This section should be completed on an accruals accounting basis and would normally utilise data from the accounting system that is used for the production of your statutory accounts.
- Exclude the accounts of trusts or funds that you manage on behalf of others, as part of an investment management service.

**12. For the business named on the front of this questionnaire, what was the Gross Value of your total assets as reported in your latest balance sheet?**

Total assets are the final amount of all gross investments, cash and equivalents, receivables, and other assets as they are presented on your balance sheet . . . . .

To the nearest £ thousand  
 £   ,   ,   ,    47

*This section continues overleaf*



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NVS

NNF

NFD

**Section F - Assets (continued)**

**13. Does the business named on the front of this questionnaire have any subsidiaries?**

Yes  → Go to question 14 63

No  → Go to question 15 64

**14. Of this business's total assets reported in question 12, what is the amount attributable to equity held in subsidiaries?**

To the nearest £ thousand

£   ,    ,    ,    65

**Section G - Decision making power and group structure**

**15. Does the business named on the front of this questionnaire have autonomy of decision making?**

A business which has autonomy of decision making has:

- authority to make decisions concerning the financial operations of the business;
- full accountability for the conduct of its own activities; and,
- entitlement to own goods and assets in its own right.

Yes  48

No  49

**16. Does the business named on the front of this questionnaire have more than one immediate parent/owner?**

Yes  68

No  69

**17. Is the immediate parent/owner based overseas?**

Channel Islands and the Isle of Man should be considered as overseas.

Yes  70

No  71

**18. What is the company registration number of the immediate parent/owner based in the UK? .....**

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