

Online Invoicing System User guide 2024

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1. Accessing the system

Logging In

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

Step 2: click 'PROCEED TO LOGIN' box

Online Invoicing [Need Help?](#)

PROCEED TO LOGIN

[Register For Online Invoicing](#)

Security is at the heart of our Technology and Data platforms.

With this in mind, we have introduced a new Online Invoicing login page. This means that once you have logged in and authenticated using your MFA one-time passcode, you will not need to re-authenticate to access Connect or RegData while you remain logged in.

Please click on the "PROCEED TO LOGIN" button to progress to the new login page.

Please see our [resources page](#) for further information.

Important Notes

Welcome to the Online Invoicing portal.

Multi-factor authentication strengthens how you log into the FCA systems and further protects and controls access to our data. You need to enter a one-time passcode each time you login. See our [resources page](#) for more information.

Benefits of Online invoicing

Online Invoicing is the FCA's "one-stop shop" fees portal. 95% of our firms now use this paperless service which reduces our environmental impact and ensures the FCA has an efficient and effective fees invoicing and collection process.

Firms have direct access to their fees account to view fees invoices and statements. Firms can also pay fees online (by card), set up a Direct Debit instruction and, if requested by the FCA, submit fee tariff data. More than one person can register for a single firm and an individual user can have access to multiple firms (if required) via a single login. A firm's registered users receive email notifications when invoices have been raised for their firm and can opt to receive pdf copies of their invoice with these notifications. For more information, see our [website](#)

Step 3: login in using your connect login credentials

FINANCIAL CONDUCT AUTHORITY **BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY**

Login to Online Invoicing

Username

Password

Login

[Forgot Your Password?](#)

Welcome to the new Online Invoicing login page.

Once you have logged in and authenticated using your MFA one-time passcode, you will not need to re-authenticate to access Connect or RegData while you remain logged in.

Step 4: enter passcode and select **Next**

Please enter digits: 3, 5 and 1 from your passcode (excluding commas).

3	
5	
1	

[Next](#)

Step 5: select firm from dropdown list and select **Yes, Select This Firm**

 **Online Invoicing System**

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

R4A_SIT Testing_Passporting out_Test Firm25 - 999001 ▼

YES, SELECT THIS FIRM **NO, CANCEL**

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

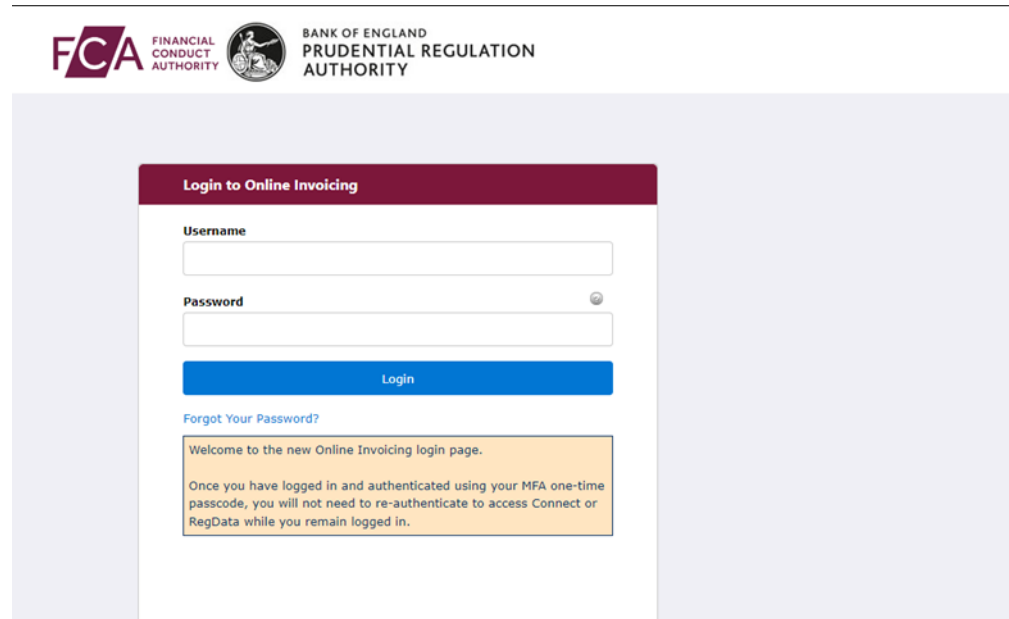
Logging Out

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.

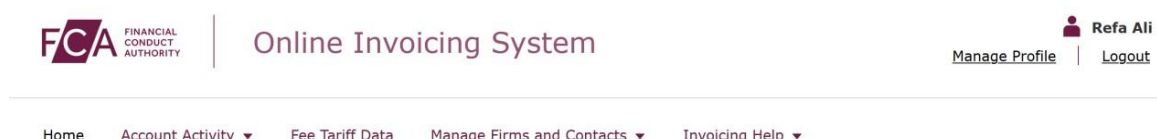
An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

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

Manage Profile

Login Details

Email Address
refa.ali@fca.org.uk.invalid

Personal details

Suffix
Select an Option

First Name
Refa

Last Name
Ali

Job Title

Country Code
+44

Telephone Number

Mobile Number (Optional)

Security Details

Security Question
To what city did you go on your honeymoon?

Security Answer
a*y**

CHANGE SECURITY DETAILS

SAVE PROFILE DETAILS

CANCEL

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**

Manage Profile

Login Details

Email Address
refa.ali@fca.org.uk.invalid

Personal details

Suffix First Name Last Name

Job Title

Country Code Telephone Number

Mobile Number (Optional)

Security Details

Security Question
To what city did you go on your honeymoon?

Security Answer
*a**y***

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

Manage Profile

Login Details

Email Address
refa.ali@fca.org.uk.invalid

Security Details

Current Security Question
To what city did you go on your honeymoon?

Current Security Answer

New Security Question

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.

The screenshot shows the FCA Online Invoicing System Home Page. At the top, the FCA logo and 'Online Invoicing System' are visible, along with a user profile for 'Michele Blyden'. The main navigation bar includes 'Home', 'Account Activities', 'Fee Tariff Data Requests', 'Manage Firms and Contacts', and 'Invoicing Help'. The page content is divided into several sections:

- Account Summary:** Displays 'Your Account Balance' as £132,341,075.41. Below this, it shows 'Total unpaid invoices' (£132,341,175.41), 'Unapplied payments' (£100.00), and 'Unapplied credit memos' (£0.00). The 'Account balance' is also £132,341,075.41. A callout box points to the 'Total unpaid invoices' section, stating: 'View summary of transaction – amounts due, what has been paid, credits to the account, admin and late fees'. Below the account summary, there are buttons for 'SEE LATEST TRANSACTIONS' and 'SEE LATEST INVOICE'. A callout box points to the 'SEE LATEST INVOICE' button, stating: 'View summary of most recent invoice and access PDF for download'. There is also a button for 'PAY TOTAL UNPAID INVOICES BY CARD' and a note: 'Users can easily pay outstanding balances by card.' The 'Overdue Amount' is shown as £0.00.
- Manage Direct Debit:** Shows 'Direct Debit instruction Not Setup'. A callout box states: 'When a firm has a Direct Debit in place the status will show as 'Active''. Below this, there is a 'SET UP DIRECT DEBIT' button and a note: 'Set up a Direct Debit. Will show as Manage Direct Debit when active DD in place.' A sub-note says: 'If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.'
- Get Invoice by Email:** Includes a checkbox for 'To receive a pdf copy of your invoice with your invoice notification tick the box and click on "Save notification settings"'. A callout box points to this checkbox, stating: 'Select to receive pdf invoices by email. Must Save Notification to activate'. Below this is a 'SAVE NOTIFICATION SETTINGS' button.
- Useful Links:** Contains a link for 'Request Firm's Unique Validation Code' with an information icon. A callout box points to this link, stating: 'Existing users can request the UVC code for the registration of new users. The code will be emailed to their registered address.' Below this is a 'See Disputes' link. A callout box points to this link, stating: 'Check the status of disputes raised about invoices, or initiate a new dispute'.

At the top of the main content area, there is a 'SWITCH FIRM' button and a callout box stating: 'Users linked to multiple firms can toggle between firm pages'.

This screenshot provides a detailed view of the 'Account Summary' section from the previous image. It shows the following details:

- Your Account Balance:** £132,341,075.41
- Total unpaid Invoices:** £132,341,175.41
- Unapplied payments:** £100.00
- Unapplied credit memos:** £0.00
- Account balance:** £132,341,075.41

Annotations and callouts include:

- A callout box pointing to the 'Total unpaid Invoices' section: 'View summary of transaction – amounts due, what has been paid, credits to the account, admin and late fees'.
- A callout box pointing to the 'SEE LATEST INVOICE' button: 'View summary of most recent invoice and access PDF for download'.
- A callout box pointing to the 'PAY TOTAL UNPAID INVOICES BY CARD' button: 'Users can easily pay outstanding balances by card.'

At the top of this section, there is a 'SWITCH FIRM' button and a callout box stating: 'Users linked to multiple firms can toggle between firm pages'.

Manage Direct Debit

Direct Debit instruction **Not Setup**

If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.

SET UP DIRECT DEBIT

When a firm has a Direct Debit in place the status will show as 'Active'

Set up a Direct Debit. Will show as Manage Direct Debit when active DD in place.

£ 132,341,075.41

recent DF for

Get Invoice by Email

☐ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

Select to receive pdf invoices by email. Must Save Notification to activate

£ 0.00

Useful Links

[Request Firm's Unique Validation Code](#) ⓘ

[See Disputes](#)

Existing users can request the UVC code for the registration of new users. The code will be emailed to their registered address.

Check the status of disputes raised about invoices, or initiate a new dispute

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

Account Summary

Your Account Balance ⓘ £ 132,341,075.41

Total unpaid invoices	£ 132,341,175.41
Unapplied payments	£ (100.00)
Unapplied credit memos	£ 0.00
Account balance	£ 132,341,075.41

SEE LATEST TRANSACTIONS **SEE LATEST INVOICE**

PAY TOTAL UNPAID INVOICES BY CARD

Overdue Amount £ 0.00

Manage Direct Debit

Direct Debit instruction **Not Setup**

If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.

SET UP DIRECT DEBIT

Get Invoice by Email

☐ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

Useful Links

[Request Firm's Unique Validation Code ⓘ](#)

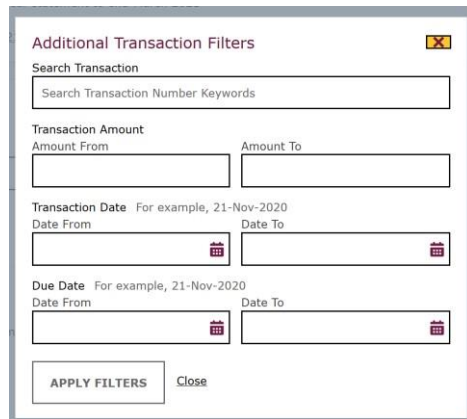
Refining your transactions search

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



The 'Refine Transactions' form contains two dropdown menus: 'Transaction Status' with 'Open/pending' selected, and 'Transaction Types' with 'All Transactions' selected. To the right of these is a yellow 'Show More Filters' button with a right-pointing chevron. Below the dropdowns are two buttons: 'APPLY FILTERS' and 'CLEAR ALL FILTERS'.

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



The 'Additional Transaction Filters' modal is a light blue box with a close button (X) in the top right corner. It contains several filter sections: 'Search Transaction' with a text input field labeled 'Search Transaction Number Keywords'; 'Transaction Amount' with 'Amount From' and 'Amount To' text input fields; 'Transaction Date' with a subtitle 'For example, 21-Nov-2020' and 'Date From'/'Date To' date picker fields; and 'Due Date' with a subtitle 'For example, 21-Nov-2020' and 'Date From'/'Date To' date picker fields. At the bottom are 'APPLY FILTERS' and 'Close' buttons.

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

Statements Download

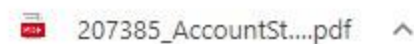
You'll be able to download the following types of statement:

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

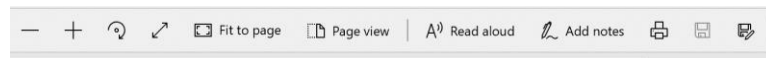
Step 1: select type of statement



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



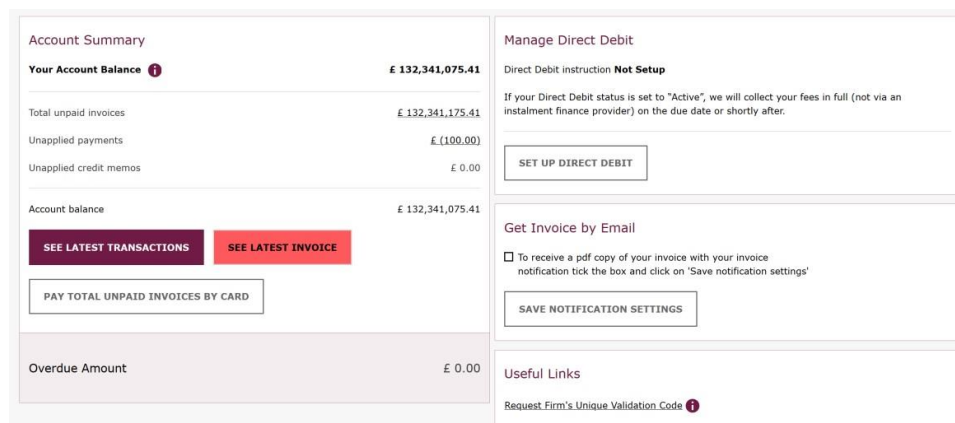
Step 3: at the top of the page on the right-hand side you'll be able to save or print the document



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

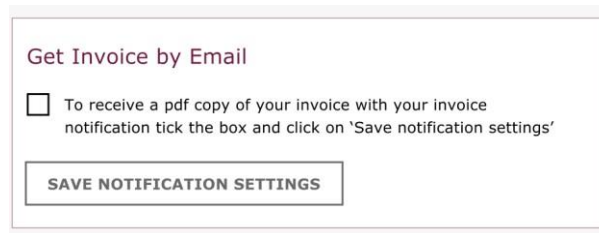
On the homepage select **See Latest Invoice**



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.

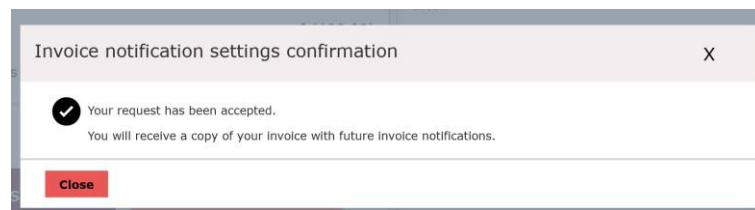


Get Invoice by Email

☐ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

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



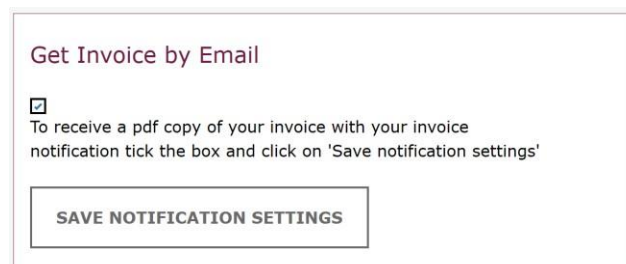
Invoice notification settings confirmation X

✓ Your request has been accepted.
You will receive a copy of your invoice with future invoice notifications.

Close

Opt-out of Invoices by Email

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

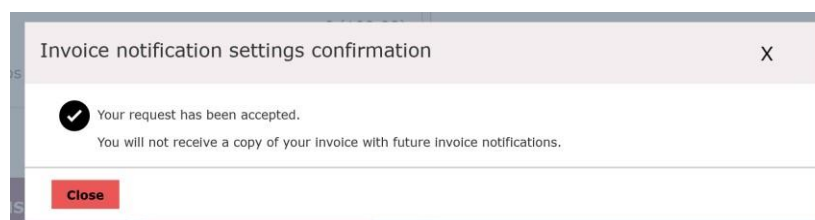


Get Invoice by Email

☒ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'

SAVE NOTIFICATION SETTINGS

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



Invoice notification settings confirmation X

✓ Your request has been accepted.
You will not receive a copy of your invoice with future invoice notifications.

Close

Pay Invoice

Set Up Direct Debit

Step 1: select **Manage Direct Debit**

Account Summary	Manage Direct Debit
Your Account Balance ⓘ £ 132,341,075.41	Direct Debit instruction Not Setup
Total unpaid invoices £ 132,341,175.41	If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.
Unapplied payments £ (100.00)	SET UP DIRECT DEBIT
Unapplied credit memos £ 0.00	
Account balance £ 132,341,075.41	
SEE LATEST TRANSACTIONS SEE LATEST INVOICE	Get Invoice by Email
PAY TOTAL UNPAID INVOICES BY CARD	☐ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'
	SAVE NOTIFICATION SETTINGS
Overdue Amount £ 0.00	Useful Links
	Request Firm's Unique Validation Code ⓘ

Step 2: enter **Direct Debit Details**

Direct Debit Details	
Payee Financial Conduct Authority 12 Endeavour Square London E20 1JN	 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	

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



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



- 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 building 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.

UPDATE DIRECT DEBIT DETAILS

Cancel Direct Debit

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

CANCEL MY DIRECT DEBIT INSTRUCTION

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**

Account Summary	Manage Direct Debit
Your Account Balance ⓘ £ 132,341,075.41	Direct Debit instruction Not Setup
Total unpaid invoices £ 132,341,175.41	If your Direct Debit status is set to "Active", we will collect your fees in full (not via an instalment finance provider) on the due date or shortly after.
Unapplied payments £ (100.00)	SET UP DIRECT DEBIT
Unapplied credit memos £ 0.00	
Account balance £ 132,341,075.41	Get Invoice by Email
SEE LATEST TRANSACTIONS SEE LATEST INVOICE	☐ To receive a pdf copy of your invoice with your invoice notification tick the box and click on 'Save notification settings'
PAY TOTAL UNPAID INVOICES BY CARD	SAVE NOTIFICATION SETTINGS
Overdue Amount £ 0.00	Useful Links
	Request Firm's Unique Validation Code ⓘ

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

Transaction Summary

If you do not wish to pay all the invoices, go to account activity and select the appropriate invoice.

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
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
			Net Amount Due	£ 3,400.00

Review Payment Information

☐ I have reviewed and agree with the Payment Information.

MAKE PAYMENT

CANCEL PAYMENT

SEE ACCOUNT ACTIVITY

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

Total

GBP 25000.00

VISA

mastercard

monero

AMERICAN EXPRESS

Pay with a new card

Add new card

Holder Name

Card Number

Expiry Month

Expiry Year

Security Code

Holder Name

Card Number

MM

YYYY

Security Code

PAY NOW

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

The screenshot shows the 'Account Summary' page. On the left, under 'Account Summary', the 'Your Account Balance' is £132,341,075.41. Below this, a table lists 'Total unpaid invoices' (£132,341,175.41), 'Unapplied payments' (£100.00), and 'Unapplied credit memos' (£0.00). The 'Account balance' is also £132,341,075.41. There are two buttons: 'SEE LATEST TRANSACTIONS' (purple) and 'SEE LATEST INVOICE' (red). Below these is a button 'PAY TOTAL UNPAID INVOICES BY CARD'. At the bottom, the 'Overdue Amount' is £0.00. On the right, the 'Manage Direct Debit' section shows the status as 'Not Setup' and a button 'SET UP DIRECT DEBIT'. Below that, the 'Get Invoice by Email' section has a checkbox for receiving PDF copies and a button 'SAVE NOTIFICATION SETTINGS'. At the bottom right, the 'Useful Links' section includes a link to 'Request Firm's Unique Validation Code'.

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

☐	Transaction Number	Type	Amount (£)	Balance (£)	Transaction Date	Due Date	Status	Action
☐	PFA20_0003744	Invoice	122,297,046.87	122,297,046.87	28/02/2021	30/03/2021	Open	Pay by Card Dispute Invoice

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

The screenshot shows the 'Add New Dispute - Step 1 of 3' form. It has three steps: '1. Select Dispute Reason', '2. Enter Dispute Details', and '3. Review & Submit Dispute Request'. The first step is active. It contains a section 'Select Dispute Reason' with a note 'All fields are required.' and a dropdown menu labeled 'Reason for Dispute' with the placeholder text 'Please select reason for Dispute'.

Step 4: select **Enter Dispute Details**

Add New Dispute - Step 1 of 3

1. Select Dispute Reason

2. Enter Dispute Details

3. Review & Submit Dispute Request

Select Dispute Reason

All fields are required.

Reason for Dispute

Please select reason for Dispute

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
PFA20_0003744	28/02/2021	30/03/2021	122,297,046.87	122,297,046.87

ENTER DISPUTE DETAILS

CANCEL DISPUTE

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

Step 5: enter the details of the dispute

Add New Dispute - Step 2 of 3

1. Select Dispute Reason

2. Enter Dispute Details

3. Review & Submit Dispute Request

Enter Dispute Reason

All fields are required.

Reason for Dispute

Duplicate Invoice

Enter additional comments explaining why the invoice is disputed.

Step 6: select Dispute Amount

Select Dispute Amount

☐ Partial Dispute Amount

☐ Partial Dispute Percentage

☐ Entire Remaining Amount

£ 122,297,046.87

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**

Add New Dispute - Step 3 of 3

1. Select Dispute Reason	2. Enter Dispute Details	3. Review & Submit Dispute Request
--------------------------	--------------------------	------------------------------------

Enter Dispute Reason

Reason for Dispute
FOS Exempt

Dispute Type
Entire Remaining Amount

Current Disputed Amount Total
126.82

Additional comments explaining why the invoice is disputed.
VXZVXXZVXXZV

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
SUN_0000238	10/02/2021	24/02/2021	126.82	126.82

[SUBMIT THIS DISPUTE](#) [BACK TO DISPUTE DETAILS](#) [CANCEL 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**

Add New Dispute - Step 3 of 3				
1. Select Dispute Reason	2. Enter Dispute Details	3. Review & Submit Dispute Request		

Enter Dispute Reason

Reason for Dispute
Duplicate Invoice

Dispute Type
Entire Remaining Amount

Current Disputed Amount Total
122,297,046.87

Additional comments explaining why the invoice is disputed.
Duplicate invoice

Invoice Summary

Invoice Number	Invoice Date	Due Date	Invoice Amount Due (£)	Invoice Balance Due (£)
PFA20_0003744	28/02/2021	30/03/2021	122,297,046.87	122,297,046.87

[SUBMIT THIS DISPUTE](#) [BACK TO DISPUTE DETAILS](#) [CANCEL 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	

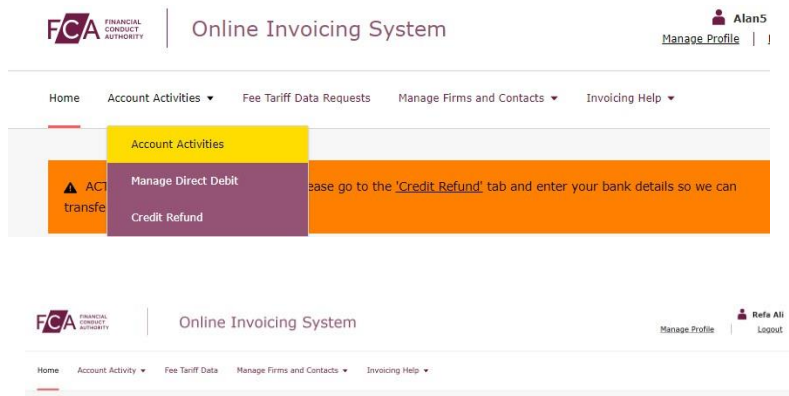
6. Credit Refund

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

⚠ ACTION - Your account is in credit. Please go to the '[Credit Refund](#)' tab and enter your bank details so we can transfer the credit balance back to you. ✕

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

Credit Refund details

Credit Refund Amount

£(100.00)

Name of Account Holder

Foden foundation

Bank / Building Society Account Number

12345678

Branch Sort Code

11-11-11

Name and Branch of Bank or Building Society

**CARTER ALLEN(A TRADING NAME OF BANK OF
DERBY SIR FRANK WHITTLE**

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**.

☒ I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT CREDIT 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**.

Confirm Credit Refund Request



Are you sure your Credit Refund account details are correct?

YES, SUBMIT CREDIT REFUND REQUEST

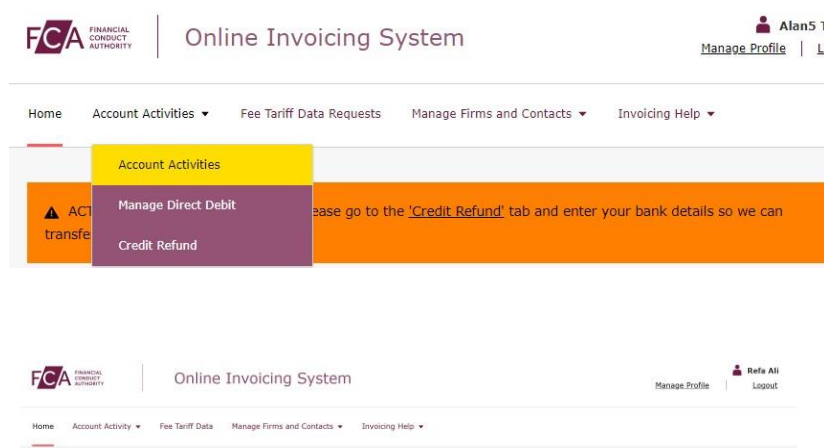
NO, CANCEL

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**

Credit Refund

Instructions

To set up a Credit Refund instruction for **Barclays Bank PLC.**, you will need your account details which can be found, for example, on your bank statement.

Please complete the form below and click on the **"Submit Credit Refund request"** button. You will receive an email confirming the instruction has been set up. If you have any queries, please email fcafees@fca.org.uk.

Credit Refund Details

Credit Refund Amount

£ (50.00)

All fields are required

Name of Account Holder

Bank / Building Society Account Number

Must be between 8 digits long

Branch Sort Code

Must be 6 digits long

VERIFY SORT CODE

Name and Branch of Bank or Building Society

...

☐ I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT CREDIT REFUND REQUEST

[Print](#)

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**.

☐ I confirm the Credit Refund instruction has been approved by an authorised signatory of the bank account stated above.

SUBMIT CREDIT REFUND REQUEST

[Print](#)

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

Confirm Credit Refund Request ✕

Are you sure your Credit Refund account details are correct?

YES, SUBMIT CREDIT REFUND REQUEST

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**

[Home](#) [Account Activity](#) [Fee Tariff Data](#) ▼ [Manage Firms and Contacts](#) ▼ [Invoicing help](#) ▼

You can view **guidance notes** for a fee block by selecting the following icon:

 . Please also refer to our **"FAQs"**.

[Fee Tariff Data Instructions](#) [Fee Tariff Data FAQs](#) [Fee Tariff Data Submission History](#)

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

Tariff Base : Relevant annual income - investment mediation ⓘ

Fee Block

I008 (Advisors, arrangers, dealers or brokers (holding client money or assets))

Organisation

FOS

Previous Years Data

100

Current Years Data

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

Tariff Base : Relevant annual income - investment mediation ⓘ

Fee Block

I008 (Advisors, arrangers, dealers or brokers (holding client money or assets))

Organisation

FOS

Previous Years Data

100

Current Years Data

Year on year variance (current/previous) %

20%

Variance Reason

Variance Details

ⓘ [Manage Variance Details](#)

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

Add Variance Details ✕

Variance %
100%

Variance Reason
Firm Merger

Variance Details

Save Variance Details **Cancel**

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

Step 5: select **Save Tariff Data**

SAVE TARIFF DATA

[VIEW SAVED TARIFF DATA \(PDF\)](#)

[View Your Regulated Activity Groups \(PDF\)](#)

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 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

Tariff Base : Annual income - investment mediation ⓘ			
Fee Block	Organisation	Previous Years Data	Current Years Data
PG009 (Managers & depositories of investment funds & operators of CIS or pension schemes pension guidance levy)	FCA	100	125
Year on year variance (current/previous) %	Variance Reason	Variance Details	Revised Current Years Data
25%	Business Transfer	ⓘ Manage Variance Details	

Step 3: review FCA query and enter detailed firm response

FCA Query Date

1-January-2020

FCA Query

Firm Response

Save Firm Response

Close

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 resubmit 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

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm



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**

Home

Account Activity ▼

Fee Tariff Data

Manage Firms and Contacts ▼

Invoicing Help ▼

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

YES, CONFIRM REMOVE FIRM ACCESS

NO, CANCEL

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

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm

▼

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**

Home Account Activity ▼ Fee Tariff Data Manage Firms and Contacts ▼ Invoicing Help ▼

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Manage Firm
Manage Firm Contacts

FIRM

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

REQUEST ADDITIONAL FIRM ACCESS

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

Request Firm Access

A few details about your firm and you are on your way
All fields are required

Firm details

Firm Reference Number

Unique Validation Code ⓘ

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**

SUBMIT FIRM INFORMATION

CANCEL

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

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm

▼

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**

[Home](#) [Account Activity ▼](#) [Fee Tariff Data](#) [Manage Firms and Contacts ▼](#) [Invoicing Help ▼](#)

Step 3: select **Manage Contacts**



FINANCIAL
CONDUCT
AUTHORITY

Online Invoicing System

[Home](#) [Account Activity ▼](#) [Fee Tariff Data](#) [Manage Firms and Contacts ▼](#) [Invoicing Help ▼](#)

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Manage Firm

Manage Firm Contacts

FIRM

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

Search Firm Contacts

Status

☐ Active ☐ Inactive ☒ All

Name of Account Holder

APPLY FILTERS

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

YES, CONFIRM REMOVE USER ACCESS

NO, CANCEL

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**.

Inactive	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**

R4A_SIT Testing_Passporting out_Test Firm25 (999001)

SWITCH FIRM

Step 2: select a firm from dropdown list

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

Select Firm

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

Select firm for Online Invoicing

Please choose a firm from the below dropdown list.

Select your Firm

R4A_SIT Testing_Passporting out_Test Firm25 - 999001

YES, SELECT THIS FIRM

NO, CANCEL

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.