

# **Water Industry Act 1991**

## **Third Licence Application Notice**

### **Notice of determination under section 17F (1) and (1B) regarding applications for Water Supply and Sewerage Licences**

**Made on 3 May 2018**

**Coming into effect on 4 May 2018**

The Licence Application Notice made by the Water Services Regulation Authority (the “Authority”) on 27 March 2017 is hereby revoked and replaced with this Notice.

The Authority makes this Notice in exercise of the powers conferred by sections 17F(1) and (1B) of the Water Industry Act 1991 (the “Act”) and as required by section 17F(1C) of the Act.

This Notice may be cited as the Third Licence Application Notice and shall take effect on the day after it is signed on behalf of the Authority.

Except as otherwise provided in this Notice, words and expressions used in the Act have the same meaning in this Notice as they have in the Act.

#### **1. PURPOSES OF THIS NOTICE**

1.1 Section 17F(1) of the Act provides that the Authority must determine for each type of relevant application that may be made:

the form and manner in which an application is to be made;

the information it is to contain;

the documents that are to accompany it; and

the fee that is to accompany it.

1.2 Section 17(1B) provides that the Authority may make a new determination as to any of the matters listed in paragraph 1.1.

1.3 Section 17F(1C) provides that the Authority must publish a notice of what it has determined under subsection (1) or (1B) in such manner as it thinks appropriate for bringing the determination to the attention of those affected by the determination.

1.4 Pursuant to section 17F(1D), the determination of the Authority under this Notice applies to an application (an “Application”) made for one or more of the following:

the grant or variation of a water supply or sewerage licence giving a retail authorisation; a restricted retail authorisation; a wholesale authorisation; a supplementary authorisation or a combination of any of these authorisations;

the grant or variation of a water supply licence giving a retail authorisation that authorises the licensee to use the supply system of a water undertaker for the purpose of supplying water to the premises only of the licensee and persons associated with the licensee (a “Retail Authorisation limited to Self-supply”);

## **2. THE FORM AND MANNER IN WHICH AN APPLICATION IS TO BE MADE**

- 2.1 Subject to clause 2.2 below, an Application shall be made in writing to the Authority by or on behalf of an applicant on the application forms provided by the Authority for that purpose from time to time (the "Application Form or the "Self-supply Application Form" as applicable"). The Application Form, to be used for applications under sub-clause 1.4.1 from the date of this Notice is attached in Schedule 1 to this Notice. The Self-supply Application Form to be used for applications under sub-clause 1.4.2 from the date of this Notice is attached in Schedule 2 to this Notice.
- 2.2 Where the Application also contains an application for a water services licence or sewerage services licence under section 6 of the Water Services etc. (Scotland) Act 2005 (a "Scottish Licence"), the Authority will accept an Application which has been made in writing to the Water Industry Commission for Scotland ("WICS") in the form and manner required by the WICS from time to time and forwarded to the Authority by the WICS, subject to the terms of the Water Supply and Sewerage Licences (Cross-Border Applications) Regulations 2016.
- 2.3 An Application made under clause 2.1 or 2.2 above may be sent to the Authority or WICS as appropriate, by post or email, to the addresses set out in the table below..

<b>Regulator</b>	<b>Address for Applications returned by post</b>	<b>Address for Applications returned by email</b>
The Authority	Case Management Office, Ofwat, 7 Hill Street, Birmingham, B5 4UA	licensing@ofwat.gov.uk
WICS	Retail Licence Applications, First Floor Moray House, Forthside Way, Stirling, FK8 1QZ	Not available

## **3. THE INFORMATION TO BE CONTAINED IN AN APPLICATION**

An Application shall contain information about

- 3.1 the type of licence applied for and the anticipated use of such a licence;
- 3.2 the applicant and any person controlling the applicant or involved in the direction, financing or management of the applicant's affairs or in the case of a Retail Authorisation limited to Self-supply, a list of premises and/or associated persons to be served;
- 3.3 the applicant's managerial, financial and technical competence to perform the activities to be authorised by the licence; and
- 3.4 any other matter which the applicant considers may be relevant to the Authority's determination of its Application,

each as set out in the Application Form and the Self-supply Application Form.

#### **4. THE DOCUMENTS TO ACCOMPANY AN APPLICATION**

4.1 Subject to clause 4.2 below, an Application shall be accompanied by the following documents:

4.1.1 the applicant's business plan including curricula vitae for key personnel;

4.1.2 audited statutory accounts and annual report for the applicant (if available);

4.1.3 a structure chart for the applicant showing those individuals or entities who own, control or are otherwise involved in the direction or management of the applicant's affairs;

4.1.4 declarations that individuals who own, control or are otherwise involved in the direction, or management of the applicant's affairs have no unspent criminal convictions;

4.1.5 a certificate in the form prescribed by the Authority from time to time confirming the adequacy (or otherwise) of the applicant's resources to perform the functions authorised by the licence(s) to which the Application relates;

4.1.6 declarations of 'fit and proper' status in relation to individuals who own, control or are otherwise involved in the direction or management of the applicant's affairs;

4.1.7 statement from the applicant's financial backer (if appropriate);

4.1.8 declarations that the applicant, if granted a licence, will work positively with the Council, the Chief Inspector of Drinking Water, the Environment Agency and the Natural Resources Body for Wales;

4.1.9 declarations that individuals who own, control or are otherwise involved in the direction or management of the applicant's affairs are aware of the responsibilities of licensees under the Act; and

4.1.10 such other supporting documentation as the Authority may reasonably request.

4.2 An Application for a Retail Authorisation limited to Self-supply does not need to include the documents listed in sub-clauses 4.1.1, 4.1.5 and 4.1.7 above.

#### **5. THE FEE THAT IS TO ACCOMPANY AN APPLICATION**

An Application, whether made to the Authority pursuant to 2.1 above or WICS pursuant to 2.2 above shall be accompanied by the appropriate fee, notified by the Authority from time to time. The appropriate fee at the date of this Notice is £5,250 for each Application (regardless of the number of water supply licences and/or sewerage licences and/or the number of authorisations requested in a single Application), except for an Application made for a Retail Authorisation limited to Self-supply, for which the appropriate fee at the date of this Notice is £3,000 for each Application.

#### **6. GUIDANCE ISSUED BY THE AUTHORITY**

The Authority will issue guidance from time to time regarding the process for making an Application and how to complete the Application Form and Self-supply Application Form to assist applicants. Such guidance will be published on the Authority's website and is subject to the terms of this Notice.

**Signed**

A handwritten signature in black ink, appearing to read 'Emma Kelso'.

**Emma Kelso**

**Senior Director, Customers and Casework**

## **Schedule 1**

# Water Supply Licence and/or Sewerage Licence: application form, version 3

Applicants are required to complete this form when making an application for a water supply licence or a sewerage licence (as each of those terms is defined in the Water Industry Act 1991 (as amended)). Water supply licences and sewerage licences are referred to collectively as “WSSLs” in this form and “WSSL” means either a water supply licence or a sewerage licence as the context requires. Applicants seeking to apply for a WSSL with a retail authorisation that is limited to self-supply should read the related guidance and complete the separate application form.

## Section A: Applicant details

- Type of application
- Applicant details and contact details
- Information for consultation notice

## Section B: Managerial competency

- Previous refusal or revocation of a licence
- Insolvency
- Fit and proper

## Section C: Technical competency

- Knowledge of duties and eligibility of premises for switching
- Systems and procedures
- MOSL’s process

## Section D: Additional information

- Other supporting information
- Primary Charges payment
- Application fee

## Section E: Enclosures

- Checklist detailing the enclosures required

## Section F: Application declaration

Please send your application to Ofwat using one of the contact details below:	
<b>Email</b>	licensing@ofwat.gov.uk
<b>Address</b>	Case Management Office Ofwat Centre City Tower 7 Hill Street Birmingham B5 4UA

This application form reflects the requirements of Ofwat's notice under s17F of the WIA91. Applicants will need to submit attachments for some of the questions in this form and may also attach additional pages should more space for a response to any of the questions be needed. Any such additional pages should be numbered and clearly indicate which questions in this application form the information is being provided for against the relevant question and the completed application form should indicate if further supporting documents have been attached.

This form should be read in conjunction with guidance issued by Ofwat for this purpose (referred to in this form as the Guidance). The Guidance outlines the information that we expect to be provided in response to the questions in this application form. To support applicants with completing the application form there is additional guidance at the end of this document. An applicant should ensure that it submits the information requested here along with fees payable to Ofwat. A checklist of required enclosures is set out in Section E.

Please note that if the information and/or documentation provided are incomplete, we will request the missing information. Further information may be requested by Ofwat at any time during the application process to enable a fair and thorough evaluation of the application to be carried out.

In completing its application, an applicant should highlight (explaining its reasons) any information that it would not wish to be published or disclosed by Ofwat in due course. In particular an applicant should set out clearly whether, and for what length of time, it considers the information submitted to be subject to any exemptions under the Freedom of Information Act 2000. Ofwat may have regard to such submissions when considering future publication or disclosure. We will retain your information in accordance with Ofwat's retention schedule and will not share it with third parties unless we have a legal obligation to do so. Further information on the treatment of confidential information, can be obtained from Ofwat at <http://www.ofwat.gov.uk/foi/>. If you have any concerns on how we manage your personal data please contact the Data Protection Officer at [FOI@ofwat.gsi.gov.uk](mailto:FOI@ofwat.gsi.gov.uk)

**Please note that section 207 of the Water Industry Act 1991 provides that any applicant who knowingly or recklessly makes a statement in connection with an application for a licence that is false or misleading in a material particular is guilty of an offence in England and Wales.**

## Section A: Applicant details

**A1. Please tick the appropriate boxes below to indicate which authorisations the applicant is applying for.**

Location of operation	Type of Authorisation	Please tick
England	Retail (water) authorisation	
	Retail (sewerage) authorisation	
	Wholesale authorisation <sup>1</sup>	
Wales	Restricted retail authorisation	
	Supplementary authorisation <sup>2</sup>	

If the applicant is applying for a variation, as well as completing the above table regarding which licence is being applied for, please can the applicant indicate its existing licence number?

**A2. Please provide the contact details of person to whom correspondence or queries concerning this application should be directed.**

Contact name:

Position in company:

Contact address:

Email address:

Telephone number(s):

**A3. Is the contact provided in question A2 above also relevant for queries relating to the Drinking Water Inspectorate (DWI), Natural Resources Wales (NRW) and Environment Agency's (EA) assessment?**

Yes

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<sup>1</sup> Please note you must hold a WSSL with a retail or restricted retail authorisation or apply for this at the same time to be eligible to apply for a wholesale or supplementary authorisation. In addition, only limited companies can hold a wholesale or supplementary authorisation.

<sup>2</sup> See above footnote.

No  If there are different details for contact between the applicant and the DWI, NRW or EA please provide these details below.

Contact name:
Position in company:
Contact address:
Email address:
Telephone number(s):

**A4. Please provide details for the applicant.**

Applicant name:
Legal status:
Registered company number (if applicable):
Contact Address:
Email address:
Telephone number(s):

**A5. Where the applicant is not an individual, please give the full names and contact details of each person concerned in the direction or management of the applicant's affairs.**

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**A6. Please provide the name(s) and contact details (including, if applicable, the details referred to in response to questions A4 and A5 above) for any ultimate controller of the applicant, together with the details of the nature of the control exercised.**

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**A7. Does the applicant have any relationship with a company appointed as an undertaker, licensee or infrastructure provider under the Water Industry Act 1991?**

Yes  Please give details below

No

**A8. Please provide information for the notice of application that will be published by Ofwat following confirmation that a complete application has been received.**

The purpose of the information included in section A8 is to provide information that the applicant consents to be published as part of the notice of application which forms the commencement of Ofwat’s public consultation period. Please refer to section 2.5 of the Guidance for further information.

Applicant’s company name:

Registered company number (if applicable):

Contact Address:

Regulated owners or associates<sup>3</sup> (if applicable):

Please provide a brief synopsis of the business plan (around 50 words) that can be published with the notice of application as part of the public consultation.

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<sup>3</sup> These are companies that sit within the group that are regulated by Ofwat

## Section B: Managerial competency

**B1. Is the applicant and are all of the persons referred to in response to question A6 ‘fit and proper’ persons? If any relevant person cannot complete the ‘fit and proper’ declaration, the reasons for that must be set out below.**

Yes  Please include declarations (see Guidance – section 3.9.3)

No  Please give details of below

**B2. Do any of those persons concerned in the direction or management of the applicant detailed in response to question A5 above currently work, or have they previously worked, in a regulated utility?**

Yes  Please give details of below

No

**B3. Do the individuals concerned with the direction or management of the applicant detailed in response to question A5 above hold any professional or industry qualifications that are relevant to the management of the applicant as a licensed retailer or wholesaler as appropriate?**

Yes  Please give details of below

No

**B4. Have any of those persons concerned in the direction or management of the applicant detailed in response to question A5 above been involved in any regulated utility business where a licence has been revoked, withdrawn or refused?**

Yes  Please give details below

No

**B5. Have any of those persons concerned in the direction or management of the applicant detailed in question A5 above been involved in any insolvency event, including any period of receivership or administration?**

Yes  Please give details below

No

**B6. Please provide details of any current litigation involving the applicant or any of the persons referred to in response to question A5.**

Yes  Please give details of below

No

**B7. Please provide details of any cases that involve the applicant or any of the persons referred to in response to question A5 above, where they have plead or been found guilty of a criminal offence and/or been subjected to a civil penalty.**

This should exclude minor convictions or penalties. Where the persons listed at question A5 above have any unspent convictions please provide declarations from each person(s) to this effect.

Yes  Please give details of below

No  Please provide declarations

## Section C: Technical competency

**C1. Please give details as to how the applicant will ensure that it has adequate knowledge of the duties of water supply and/or sewerage licensees (as applicable) and that systems and procedures have been put in place to comply with those duties. Please complete the relevant parts below as appropriate to your application.**

Please see section 3.7 of the Guidance for further details particularly the relevant sections that apply to the DWI, EA and NRW as appropriate.

### **a. Retail Authorisation and Restricted Retail Authorisation applicants**

### **b. Wholesale Authorisation and Supplementary Authorisation applicants**

**C2. Please give details as to how the applicant will ensure that it has adequate knowledge of the difference in the duties of licensees between England and Wales, and that systems and procedures have been put in place to comply with those duties.**

**C3. Please give details as to how the applicant will ensure that it has adequate knowledge of the eligibility of customers to switch.**

**C4. Please explain how the applicant has satisfied itself that its customer facing systems and procedures have sufficient capacity and capability to support its proposed business plan?**

**C5. Please confirm whether the applicant intends to apply for or has MOSLs market entry assurance certification for the use of low or high volume interface with market systems? Please indicate “Low” or “High”.**

High

Low

**C6. Please confirm whether the applicant intends to make use of the transfer of certification from incumbent retailer to associated retailer?**

Yes

No

If the answer to question C6 is “Yes”, please provide full details of the transfer including the approach and the expected timings of the transfer. Please confirm the steps taken to ensure that the transfer will be effective and reliable, together with related contingency plans.

## Section D: Additional information

### D1. Does the applicant have a financial backer?

Yes  Please give details below and include a declaration from the backer

No  Please set out below how the company will fund the anticipated costs of operating as a WSSL. It should provide supporting evidence as proof of funds for the amounts required to fund its business

### D2. Does the applicant consider that any of the standard licence conditions or any other regulatory requirements should not apply in respect of its licence application? If so, please indicate which conditions or requirements they are and details of the reasons for the proposed disapplication of those conditions or requirements.

Yes  Please give details below

No

### D3. Please provide details of any facts or circumstances that might adversely affect the applicant's ability to exercise the functions authorised under the licence(s) the applicant is applying for.

**D4. How has the applicant submitted the application fee with the application form?**

Electronic transfer

Cheque

**D5. Do you require a receipt for payment of the application fee?**

Yes

No

**D6. Please tick how you anticipate paying the Primary Charges to the applicable wholesalers.**

Pre-payment

Post-payment

**D7. Please specify below any additional information that you feel is necessary to support your application. Please list any other documents you are providing.**

## Section E: Enclosures

This section provides a list of tick boxes to ensure that all the additional documents required are included with the application form. If you do not provide the information required within this section we will be unable to process your application.

**Please check the following are included for ALL applications except where it specifically states it is not needed:**

Fee	<input type="checkbox"/>
Letter of authority (if third party is submitting the application on behalf of the applicant)	<input type="checkbox"/>
Business Plan	<input type="checkbox"/>
Cover letter confirming that the business plan has been agreed by those persons concerned in the direction or management of the applicant	<input type="checkbox"/>
CVs for key personnel	<input type="checkbox"/>
Organisational structure chart	<input type="checkbox"/>
Management structure chart	<input type="checkbox"/>
Statement of any unspent criminal convictions	<input type="checkbox"/>
Copy of latest audited statutory accounts and annual report (if available)	<input type="checkbox"/>
Three years' projected balance sheets, cash flow statements and profit and loss statements. The financial information should be provided in the form of an Excel spreadsheet, with a clear narrative demonstrating any underlying assumptions that have been made.	<input type="checkbox"/>
Certificate of Adequacy	<input type="checkbox"/>
Declaration from Financial Backer (if applicable)	<input type="checkbox"/>
Declarations of 'fit and proper' status	<input type="checkbox"/>
Declarations that the applicant, if granted a licence, will work positively with CCWater, the DWI, the EA and the NRW.	<input type="checkbox"/>
Declarations that persons detailed at question A5 of this application form are aware of the responsibilities of licensees under the WIA91.	<input type="checkbox"/>

## Section F: Applicant declaration

I confirm that, having made due enquiry of the applicant (if someone other than me) and each of the persons (if any) listed in the response to *Question A5*, the information supplied is complete and correct to the best of my knowledge and belief.

I confirm that I, and (if someone other than me) the applicant, will provide such further information as Ofwat requests in connection with its assessment of this application and will inform Ofwat if there is any material change to the circumstances of the applicant and/or the information contained in this application.

I confirm that I, and (if someone other than me) the applicant, consents to Ofwat sharing the contents of this application, including for the avoidance of doubt any enclosures, with third parties whose input is necessary or desirable for the assessment of this application.

Signed .....

Print Name .....

Print job title .....

For and behalf of (if applicable) .....

Dated .....

## Schedule 2

# Water Supply Licence and/or Sewerage Licence limited to self-supply: application form, version 1

Applicants are required to complete this form when making an application for a water supply licence and/or a sewerage licence with a retail authorisation that is limited to self-supply. Water supply licences and/or sewerage licences are referred to collectively as “WSSLs” in this form and “WSSL” means either a water supply licence or a sewerage licence as the context requires.

Applicants seeking to apply for a WSSL that is not limited to self-supply should read the related guidance and complete the separate application form.

## Section A: Applicant details

- Type of application
- Applicant details and contact details
- Information for consultation notice

## Section B: Managerial competency

- Previous refusal or revocation of a licence
- Insolvency
- Fit and proper
- Intended use of licence
- Forecast premises numbers

## Section C: Technical competency

- Knowledge of duties and eligibility of premises for switching
- Systems and procedures
- MOSL’s process

## Section D: Additional information

- Third party, advisor or sub-contractor involvement
- Other supporting information
- Primary Charges payment
- Application fee

## Section E: Enclosures

- Checklist detailing the enclosures required

## Section F: Application declaration

Please send your application to Ofwat using one of the contact details below:	
<b>Email</b>	licensing@ofwat.gov.uk
<b>Address</b>	Case Management Office Ofwat Centre City Tower 7 Hill Street Birmingham B5 4UA

This application form reflects the requirements of Ofwat's application notice under s17F of the WIA91. Applicants will need to submit attachments for some of the questions in this form and may also attach additional pages should more space for a response to any of the questions be needed. Any such additional pages should be numbered and clearly indicate which questions in this application form the information is being provided for against the relevant question. The completed application form should indicate if further supporting documents have been attached.

This form should be read in conjunction with the Application process guidance for WSSLs limited to self-supply issued by Ofwat for this purpose (referred to in this form as the Guidance). The Guidance outlines the information that we expect to be provided in response to the questions in this application form. To support applicants with completing the application form there is additional guidance at the end of this document. An applicant should ensure that it submits the information requested in this application form along with fees payable to Ofwat. A checklist of required enclosures is set out in Section E.

Please note that if the information and/or documentation provided are incomplete, we will request the missing information. Further information may be requested by Ofwat at any time during the application process to enable us to carry out a fair and thorough assessment of the application.

In completing its application, an applicant should highlight (explaining its reasons) any information that it would not wish to be published or disclosed by Ofwat in due course. In particular an applicant should set out clearly whether, and for what length of time, it considers the information submitted to be subject to any exemptions under the Freedom of Information Act 2000. Ofwat may have regard to such submissions when considering future publication or disclosure. We will retain your information in accordance with Ofwat's retention schedule and will not share it with third parties unless we have a legal obligation to do so. Further information on the treatment of confidential information, can be obtained from Ofwat at <http://www.ofwat.gov.uk/foi/>. If you have any concerns on how we manage your personal data please contact the Data Protection Officer at [FOI@ofwat.gsi.gov.uk](mailto:FOI@ofwat.gsi.gov.uk)

**Please note that section 207 of the Water Industry Act 1991 provides that any applicant who knowingly or recklessly makes a statement in connection with an application for a licence that is false or misleading in a material particular is guilty of an offence in England and Wales.**

## Section A: Applicant details

**A1. Please tick the appropriate boxes below to indicate which authorisation(s) the applicant is applying for.**

Location of operation	Type of Authorisation	Please tick
England	Retail restricted to self-supply (water) authorisation	
England	Retail restricted to self-supply (sewerage) authorisation	

**A2. Please provide information for the notice of application that will be published by Ofwat following confirmation that a complete application has been received.**

Applicant's company name:

Registered company number (if applicable):

Registered Address:

Regulated owners or associates<sup>4</sup> (if applicable):

Please provide a brief summary (around 200 words) of the intended use of the WSSL, if granted that can be published within the notice of application as part of the public consultation. In this section, please also include any other information that the applicant considers to be relevant to the public consultation.

**A3. Please provide details for the applicant.**

Applicant name:

Legal status:

Jurisdiction in which the applicant is established:

Contact Address (principal place of business):

<sup>4</sup> These are companies that sit within the group that are regulated by Ofwat

Email address:

Telephone number(s):

**A4. Please provide the contact details of the person to whom correspondence or queries concerning this application should be directed.**

Contact name:

Position in company:

Contact address:

Email address:

Telephone number(s):

**A5. Is the contact provided in question A4 above also relevant for queries relating to the Drinking Water Inspectorate (DWI), National Resources Wales (NRW) and the Environment Agency's (EA) assessment?**

Yes

No

If there are different details for contact between the applicant and the DWI, NRW or EA please provide these details below.

Contact name:

Position in company:

Contact address:

Email address:

Telephone number(s):

**A6. Where the applicant is not an individual, please give the full names and contact details of each person concerned in the direction or management of the applicant's affairs.**

**A7. Please provide the name(s) and contact details for any ultimate controller of the applicant, together with the details of the nature of the control exercised.**

**A8. Does the applicant have any relationship with a company appointed as an undertaker, licensee or infrastructure provider under the Water Industry Act 1991?**

Yes  Please give details below

No

## Section B: Managerial competency

**B1. Have any of those persons concerned in the direction or management of the applicant detailed in response to question A6 been involved in any regulated utility business where a licence has been revoked, withdrawn or refused?**

Yes  Please give details below

No

**B2. Have any of those persons concerned in the direction or management of the applicant detailed in question A6 been involved in any insolvency event (including any period of receivership or administration) or been involved in a regulated utility which has been the subject of enforcement or revocation proceedings in respect of its licence or other authorisation?**

Yes  Please give details below

No

**B3. Is there any current or pending litigation involving the relevant parts of the applicant's business, or any of the persons referred to in response to question A6?**

Yes  Please give details of below

No

**B4. Please provide details of any cases that involve the applicant or any of the persons referred to in response to question A6 above, where they have been found guilty of a criminal offence and/or been subjected to a civil penalty.**

Yes  Please give details of below

No  Please provide declarations (see Guidance - section 4.5.2)

**B5. Is the applicant and are all of the persons referred to in response to question A6 'fit and proper' persons? If any relevant person cannot complete the 'fit and proper' declaration, the reasons for that must be set out below.**

Yes  Please include declarations (see Guidance - section 4.5.3)

No  Please give details of below

**B6. Please provide details of the applicant's intended plan for operating as a WSSL limited to self-supply, including details of the premises it will serve.**

**B7. What are the applicant's forecasts for the number of premises to be served by the WSSL limited to self-supply during the first three years of its operation? Are there any significant changes expected to the applicant's core business that could impact on its licensed activities?**

**B8. What resources does the applicant need to deliver its plan set out in B6 and B7?**

**B9. Do any of those persons concerned in the direction or management of the applicant detailed in response to question A6 currently work, or have they previously worked, in a regulated utility?**

Yes  Please give details of below

No

**B10. Do any of those persons concerned in the direction or management of the applicant detailed in response to question A6 hold any professional or industry qualifications that are relevant to the management of the applicant as a licensed retailer?**

Yes  Please give details of below

No

## Section C: Technical competency

**C1. Please give details as to how the applicant will ensure that it has adequate knowledge of the duties of a licensee limited to self-supply.**

Water supply:

Sewerage:

**C2. Please give details of the systems and procedures that the applicant has or will have in place to comply with the duties of a licensee limited to self-supply.**

**C3. Please explain how the applicant has satisfied itself that the systems and procedures it will use for operating a WSSL limited to self-supply have sufficient capacity and capability.**

**C4. Please give details as to how the applicant will ensure that it has adequate knowledge of the eligibility of premises to be served by a WSSL limited to self-supply.**

**C5. Please confirm whether the applicant has or will apply for MOSL's market entry assurance certification (MEAC) for the use of low or high volume interface with market systems?**

High

Low

## Section D: Additional information

**D1. Details of any sub-contractors who will be involved in the operations of the applicant.**

**D2. Details of the applicant's advisers, including accountants, lawyers and technical advisers.**

**D3. Please provide details of any facts or circumstances that might adversely affect the applicant's ability to exercise the functions authorised under the licence(s) the applicant is applying for.**

**D4. Does the applicant consider that any of the standard licence conditions or any other regulatory requirements should not apply in respect of its application?**

Yes  Please give details below

No

**D5. Please specify any additional information that the applicant feels is necessary to support the application.**

**D6. Please tick how you anticipate paying the Primary Charges to the applicable wholesalers serving the premises and/or the premises of associated persons.**

Pre-payment

Post-payment

**D7. How has the applicant submitted the application fee with the application form?**

Electronic transfer

Cheque

**D8. Do you require a receipt for payment of the application fee?**

Yes

No

## Section E: Enclosures

**Please check the following are included with the application:**

Application fee (see Guidance – section 3.4)	<input type="checkbox"/>
Application form	<input type="checkbox"/>
List of premises and/or associated persons to be served (see Guidance – section 4.2.2)	<input type="checkbox"/>
Declarations of ‘fit and proper’ status (see Guidance – section 4.5.3)	<input type="checkbox"/>
Statements of any unspent criminal convictions (see Guidance – section 4.5.2)	<input type="checkbox"/>
Declaration that the applicant will work positively with CCWater, the DWI, NRW and the EA (see Guidance – section 4.5.4)	<input type="checkbox"/>
Declaration that the applicant is aware of the responsibilities of licensees under the WIA91 <sup>5</sup> (see Guidance – section 4.5.5)	<input type="checkbox"/>
Management structure diagram (see Guidance – section 4.2.2)	<input type="checkbox"/>
Organisational structure diagram (see Guidance – section 4.2.2)	<input type="checkbox"/>
Copy of the latest available financial accounts (see Guidance – section 4.3.2)	<input type="checkbox"/>
Forecast of the applicant’s projected cost savings table (see Guidance – section 4.3.2)	<input type="checkbox"/>
Supporting information relating to financial stability (see Guidance – section 4.3)	<input type="checkbox"/>
Supporting information relating to managerial competency (see Guidance – section 4.2)	<input type="checkbox"/>
Supporting information relating to technical competency (see Guidance – section 4.4)	<input type="checkbox"/>
Letter of authority (required if a third party is submitting the application on behalf of the applicant)	<input type="checkbox"/>

<sup>5</sup> Water Industry Act 1991.

## Section F: Application declaration

I confirm that, having made due enquiry of the applicant (if someone other than me) and each of the persons (if any) listed in the responses to *Section A, Question 6*, the information supplied in the application form and supporting documents is complete and correct to the best of my knowledge and belief.

I confirm that I, and (if someone other than me) the applicant, will provide such further information as Ofwat requests in connection with its assessment of this application and will inform Ofwat if there is any material change to the circumstances of the applicant and/or the information contained in this application.

I confirm that I, and (if someone other than me) the applicant, consents to Ofwat sharing the contents of this application, including for the avoidance of doubt any enclosures, with third parties whose input is necessary or desirable for the assessment of this application.

Signed .....

Print Name .....

Print job title .....

Company name .....

For and behalf of (if applicable) .....

Dated .....