



OFFICE *of the*  
RAIL REGULATOR

**APPLICATION FOR A LICENCE  
TO OPERATE RAILWAY ASSETS**



# *Application for a licence to operate railway assets*

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**Office of the Rail Regulator**

Application No:

Date received:

(i) Before making an application, the applicant should refer to the Guidance on Licensing, to the legislation referred to in that Guidance and to the Explanatory Notes in this application form.

(ii) The original and four copies of this form and any supporting documentation should be sent to:

[Name of ORR contact]  
The Office of the Rail Regulator  
1 Waterhouse Square  
138-142 Holborn  
London EC1N 2ST

(iii) The fee to accompany this application is £250.

(iv) Under the provisions of section 146 of the Railways Act 1993, it is a criminal offence to make a statement which the applicant knows is false in a material particular, or recklessly to make a statement which is false in a material particular.

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1. *Name of applicant*  
*(including any trading name)*

*Address:*

*Telephone number:*

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<b>Nature of operation</b>	
2a	<i>What railway asset or class of railway asset does the applicant wish to be authorised to operate?</i>
2b	<i>Description of activity or services to be operated:</i>
2c	<i>Nature of principal activity now and if licence is granted:</i>
2d	<i>From what date is the licence required to be effective?</i>
2e	<i>Other licences and exemptions held or applied for:</i>

<b>Company information</b>			
<i>3a Registered office:</i>			
<i>Date and place of incorporation:</i>			
<i>Company registration number:</i>			
<i>3b Shareholders</i>			
<p>Please list below details of each person or company holding more than 3% of the total issued share capital in the applicant. In the case of nominee holdings, the name of the beneficial holder should also be given.</p>			
Full name of shareholder	No of shares	Class of shares	% of total issued
Name of parent company (if any) and date and place of incorporation			
Name of ultimate holding company (if any) and date and place of incorporation			

<p>3c <i> Holding company</i></p> <p>If the applicant is a subsidiary of another company, please list below details of each person or company holding more than 3% of the total issued share capital. In the case of nominee holdings, the name of the beneficial holder should also be given</p>			
<p>Shares in <i>ultimate holding company</i></p>			
Full name of shareholder	No of shares	Class of shares	% of total issued

<p><i>3d Directors</i></p> <p>Please list below details of the board of directors of the applicant and of any ultimate holding company shown above.</p>			
<p><b>Board of applicant</b></p>			
Full name of director	Position held	Address	Nationality

<b>Board of</b> <i>(ultimate holding company)</i>			
Full name of director	Position held	Address	Nationality

<b>Financial information</b>	Check box
<p><i>4a Information relating to the applicant</i></p> <p>The following information should be attached to the completed application form:</p> <ul style="list-style-type: none"> <li>• the most recent audited accounts</li> <li>• audited accounts for the preceding two financial years;</li> <li>• interim financial statement for any period from the end of most recent audited accounts to the date of the application.</li> </ul>	
<p><i>4b Information relating to the group</i></p> <p>Where the applicant is part of a group of companies, the following information in respect of the group should be attached to the application form:</p> <ul style="list-style-type: none"> <li>• the most recent audited group accounts;</li> <li>• the audited group accounts for the preceding two financial years;</li> <li>• interim group financial statement for any period from the end of the most recent audited accounts to the date of the application.</li> </ul>	

Additional information	Check box
<p>5. <i>The following additional documentation should be attached to the application form:</i></p> <ul style="list-style-type: none"> <li>• details of any bankruptcy order (as defined in section 381(1) of the Insolvency Act 1986) made against the applicant or against the directors of the company;</li> <li>• banker's reference;</li> <li>• estimate of gross turnover of licensed activities for the current financial year;</li> <li>• details of any legal proceedings against directors, company officers or Major shareholder;</li> <li>• details of any current or pending litigation against the applicant;</li> <li>• details of any prosecutions or enforcement orders made by environmental agencies, local authorities or the Health and Safety Executive, together with a description of remedial action taken or proposed.</li> </ul>	

**Declaration**

6. *I hereby apply for a licence to operate railway assets as specified in section 2 above.*

I declare that, to the best of my knowledge and belief, the statements given in this application are true and complete.

I enclose the application fee of £250.

Signed:

Name:

Position in company:

On behalf of

Date:



## *Explanatory notes*

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*A separate application is required for each class of railway asset an operator wishes to be licensed to operate (passenger trains, non passenger trains, stations, light maintenance depots and networks). Where applications are being submitted simultaneously for different classes of asset, the information in sections 3-5 may be given on only one of the forms, with appropriate cross-references on the others.*

- (i) Applicants may provide the application in a word-processed form if they wish. They must, however, follow the format and wording of the application form. Parcels containing applications should be clearly labelled "Licence Application" and should be addressed to the ORR contact identified during the pre-application briefing.
  - (ii) Cheques for the application fee should be made payable to "Office of the Rail Regulator".
1. The address given here will be assumed to be the address for all correspondence unless clearly stated otherwise.
  - 2a. Where an application is made for a light maintenance depot licence, applicants should also normally apply for a network licence as part of the light maintenance depot licence application because most light maintenance depots contain track that constitutes a network. The light maintenance depot licence will itself make reference to the network contained in the depot and a separate network licence will not be issued. Only a single £250 application fee is payable in these circumstances.
  - 2b. A full description should be given of the geographical location, scope and extent of the activity proposed under the licence. A sketch map may be helpful for describing the scope of train operations. Applicants for station or light maintenance depot licences should list the stations and depots to which the application relates, using the full name of each station or depot. Applicants for network licences should provide a description of the network(s) and a map showing their location.
  - 2c. If the operation of railway assets is not the applicant's principal activity now, or will not be the applicant's principal activity if the licence is granted, please give details of the principal activity.

- 2e. Please give details of other licences and exemptions held and the date they were granted, and details of any application in hand, including application number where known.
  
- 3d. Where any director is a company, the address should be that of the registered or principal office of that company.
  
- 4. If an applicant cannot provide accounts for previous years, the Regulator should be consulted to determine what other information will satisfy his requirement.
  
- 5b. The banker's reference should be in a form satisfactory to the Regulator and may be required to state the period of banking connection, certify that accounts have been conducted satisfactorily and certify that the applicant is able to meet his business commitments.
  
- 5c. Turnover should be given in total for all activities for which applications for licences have been submitted, including, for passenger train operations, an estimate of subsidy. A definition of turnover is given in Enclosure 7 (Schedule of Licence Fees).
  
- 6. As mentioned in paragraph 2.16 of the Guidance, the applicant will be asked to declare that there have been no material changes to the information provided in the application before the licence is granted. Applicants should inform the Regulator immediately of any material changes to information provided in the application.