

User guide: Adding or amending Directory Persons data for an individual

This user guide helps firms to either submit new Directory Persons data or amend existing Directory Persons data individually.

From end of 2020, Directory Persons information will start being published on the Financial Services Register (FS Register), a public register showing details of key people working in financial services.

Directory Persons consist of:

- all Certified staff (those holding a certification function under the Senior Managers and Certification Regime (SM&CR))
- directors who are not performing Senior Manager Functions (SMFs) – both executive and non-executive
- other individuals who are sole traders or ARs (including those within ARs) where they are undertaking business with clients and require a qualification to do so

Directory Persons information to be published on the FS Register includes:

- name and any previous names
- roles with start and end dates
- activities undertaken

For customer-facing roles requiring qualification:

- customer engagement methods
- workplace location (where relevant)
- memberships of professional bodies

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1. Overview

Under the [Senior Managers and Certification Regime \(SM&CR\)](#), the FCA will publish and maintain a [directory](#) of certified and assessed persons on the [Financial Services Register](#), so consumers and professionals can check the details of key individuals working in financial services.

This data will be owned and maintained by firms, and firms who do not maintain an up-to-date record of Directory Persons could be in breach of our reporting rules in SUP 16.26 and supervisory or enforcement action may be taken. It will also mean that the data on your Register record may not be accurate and this could be misleading to consumers.

Firms are required to maintain their Directory Persons data, including:

- adding new Directory Persons
- adding new roles
- adding new activities
- adding new accreditations
- adding new workplace locations
- adding new customer engagement methods
- updating activities, accreditations, workplace location or customer engagement method
- updating start dates and end dates for a role

Where firm data maintained on the FS Register has not change, firms are required to submit an Attestation of accuracy for Directory Persons as per SUP 16.26.18-20. This guide will take you through the steps needed to do this.



Before you start

Confirm you have:

- Directory Person's full name
- Individual reference number (IRN) where the Directory Person has one. ***IRN are issued where the individual is already known to the FCA***
- Relevant roles (s) held
- Start and/or end date s of each role
- Type of business the Directory Person is qualified to undertake (if requiring qualification) in accordance with TC App 1.1
- Workplace locations(s) – post code(s) for customer facing roles only
- Unique identifiers – National Insurance number passport number, and date of birth. ***Firms must provide NI number where there is one, where NI is not available, then firms should provide passport number and nationality.***

To help you determine which submission method you should be using, please refer to the following table:

Use Cases	Single Add	Single Amend	Multiple Add	Multiple Amend	Note
Add new Directory Persons	✓		✓		
Add new roles	✓	✓	✓		
Add new activities	✓	✓	✓		
Add new accreditations	✓	✓	✓		
Add new workplace location	✓	✓	✓		
Add new customer engagement method	✓	✓	✓		
End date existing roles		✓		✓	When all roles are end dated, all activities will end as well.
Update name (title, first name, last name or commonly used name)	✓	✓			You can also hide previous name using single amend form
Update Passport Number	✓	✓			
Update Nationality	✓	✓			
Update National Insurance Number	✓	✓			
Remove existing activities		✓			
Remove existing accreditations		✓			
Remove existing workplace location		✓			
Update customer engagement method		✓			
Overwrite existing activities				✓	This will replace existing data with the information provided in the bulk amend spreadsheet.
Overwrite existing accreditations				✓	
Overwrite existing workplace location				✓	No change will be made if no data is provided for an attribute. E.g. – if no activities are listed in the Multiple Amend spreadsheet, then the existing activities will remain unchanged.
Overwrite existing customer engagement method				✓	
Update start-date		✓		✓	

2. Connect log in

Access the Attestation section by logging into Connect.

1. Go to [FCA's Connect system](#) and log in using your username and password details.

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

Login to Connect

Email [Need Help?](#)

Password

Login

[Forgot Your Password?](#) | [Register to be a Connect User](#)

Important Notices

Advance Notice of Connect Maintenance

Due to essential maintenance, Directory Person Forms will be unavailable from Friday 4th September 12:30 pm and Connect will be unavailable 18:00 Friday 4th September to 18:30 Sunday 6th September. Apologies for any inconvenience this may cause.

Changes to Connect

When you log in, you'll notice a new and improved look and feel to Connect. We're keen for your feedback on these changes, so please use the feedback function within Connect to let us know what you think.

As part of the FCA's commitment to data protection, our continuous improvement programme is currently implementing some security upgrades for our Connect Users. Over the next 6 months you may be requested to create a PIN as part of your login process. When prompted please follow the onscreen instructions.

2. Agree to the cautionary notice to proceed

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

Connect Login

Warning - This system is the property of the FCA and PRA. It is provided to you for official FCA/PRA business and must be used in accordance with FCA and PRA Policy. Under no circumstances must you give any other person your User ID and password. Any unauthorised access to this system is strictly prohibited.

Data Protection:

When completing a form in Connect you may be asked to provide personal information about yourself or others. Connect is used jointly by the Financial Conduct Authority ("FCA") and the Bank of England and contains forms which relate to both of our organisations. With that in mind, before you log in to Connect, please read our privacy notices:

FCA's privacy notice www.fca.org.uk/data-protection

Bank of England's privacy notice www.bankofengland.co.uk/prudential-regulation/authorisations

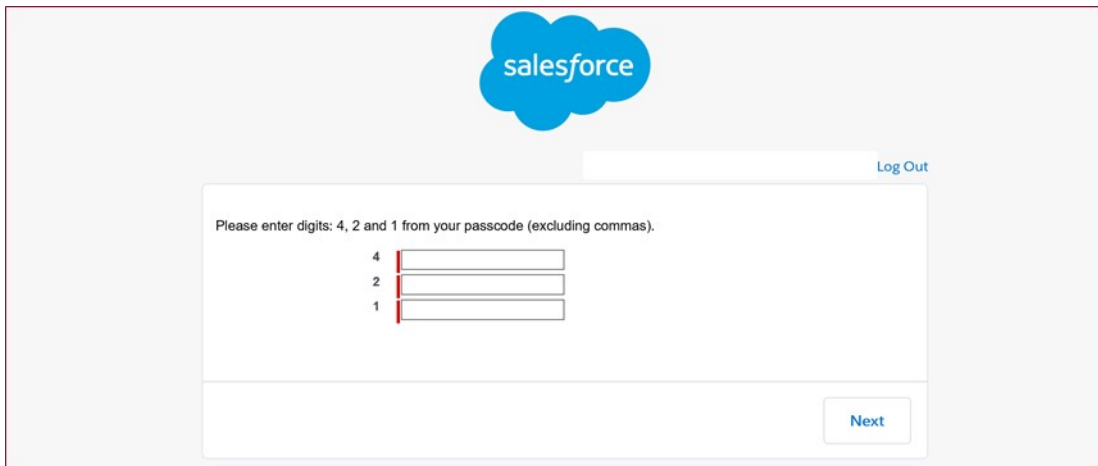
These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we both use personal information and who to contact if you have any queries or wish to exercise your rights.

Please also note that we are currently in the process of replacing all references made to the Data Protection Act 1998 ("DPA") in our forms with "The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018" ("the new data protection legislation"), where appropriate. For compliance purposes, where we still refer to the DPA in our forms, please read this as reference to the new data protection legislation. Information about how we (the FCA and the Bank of England) process personal data in line with the new data protection legislation can be found in both of our privacy notices (see links above).

EU Withdrawal

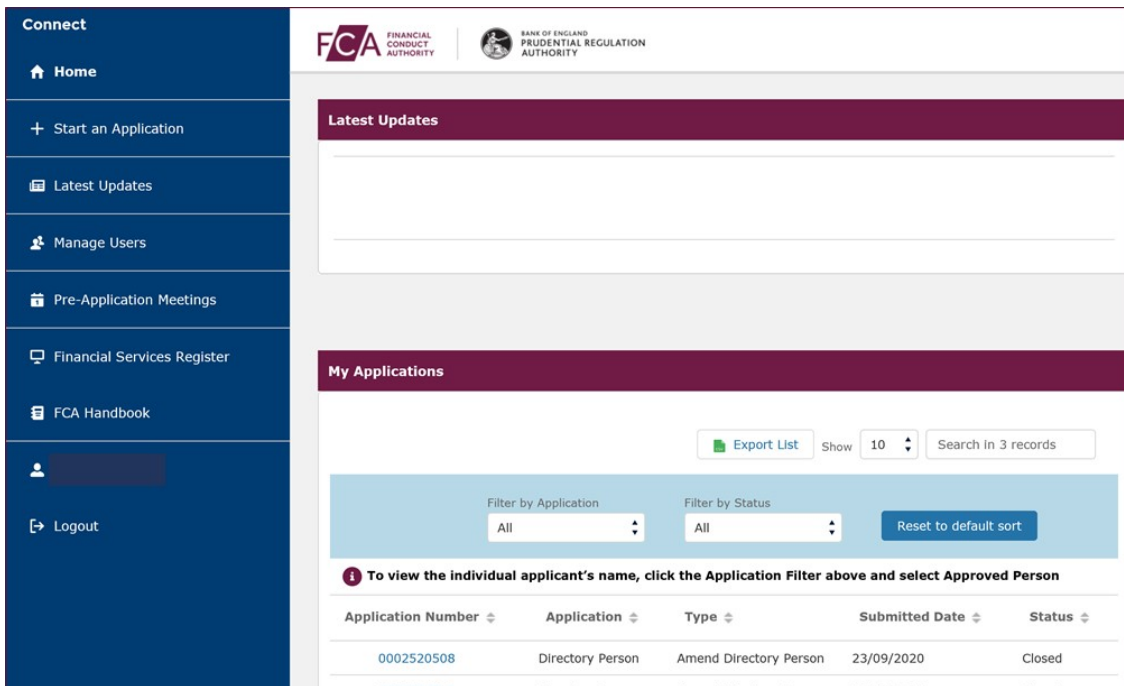
The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and

3. Enter required digits from your passcode and click **Next**.

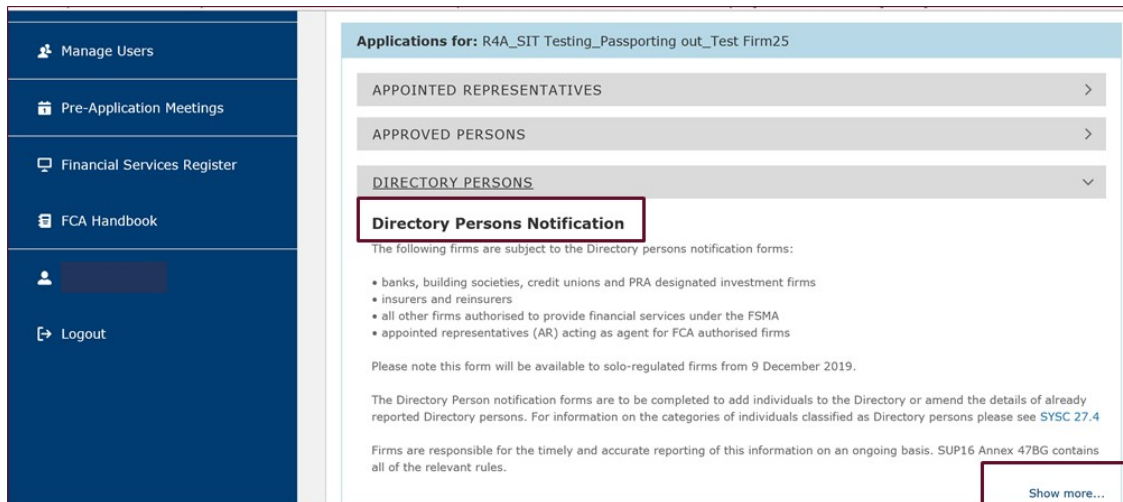


3. Single Add Submission

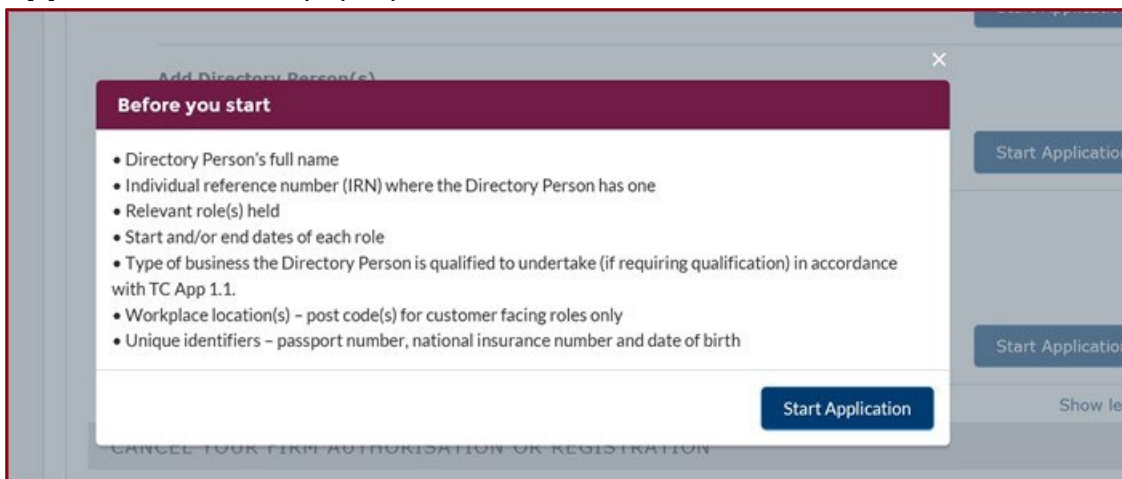
1. Select **Start an Application** on the left-hand panel



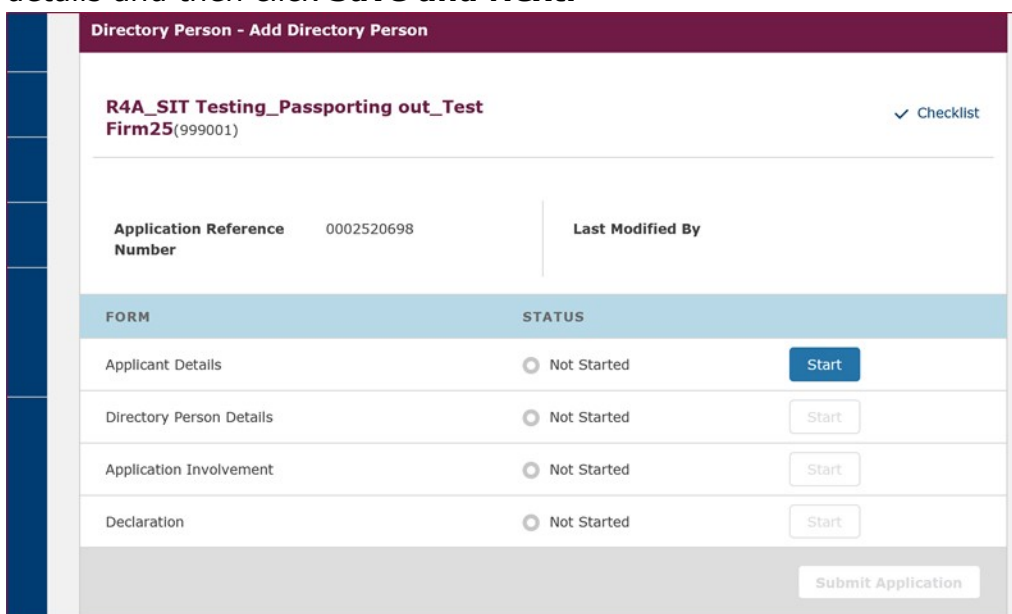
2. Select the **Directory Persons** drop down arrow and click on **Show more**



3. Select **Start Application** button for Add Directory Person(s) and then click **Start Application** on the pop-up box.



4. Click on **Start** and complete the Applicant's (the person submitting the data) details and then click **Save and Next**.



- Click on **Start** to complete the Directory Person Details

Directory Person - Add Directory Person

R4A_SIT Testing_Passporting out_Test Firm25(999001) ✓ Checklist

Application Reference Number 0002520698 | **Last Modified By**

FORM	STATUS	
Applicant Details	✓ Complete	Edit
Directory Person Details	○ Not Started	Start
Application Involvement	○ Not Started	Start
Declaration	○ Not Started	Start

- Click the drop-down arrow and select **Notification Form** to make a single add submission.

Directory Person Details

Current Status In-Progress | **Last Modified By**

[Back to Application](#) [Previous](#) [Save](#) [Save and Next](#)

Directory Person Details

* Please choose if you wish to provide your Directory person(s) details by entering them on a notification form or by uploading a file you have compiled from our approved template.

--None--

- ✓ --None--
- Notification Form
- File Upload

[Back to Application](#) [Previous](#) [Save](#) [Save and Next](#)

- Confirm if the Directory Person holds or has held an **FCA Individual Reference Number** before and then select **Save and Next**.

Register

Directory Person Details

* Please choose if you wish to provide your Directory person(s) details by entering them on a notification form or by uploading a file you have compiled from our approved template.

Notification Form

Please provide details of the directory person

Does the directory person hold/previously held an FCA Individual Reference Number? ⓘ

Yes

No

Back to Application Previous Save Save and Next



Submission for Individual who holds or has held an FCA Individual Reference Number (IRN):

If you select "Yes", then **Save and Next**, on the next page you would need to search for the individual by providing:

- IRN
- Date of Birth
- NI Number or a combination of Passport Number and Nationality

Firms must provide NI number where there is one, where NI is not available, then firms should provide passport number

8. For individuals not yet known to the FCA, you would have selected "No". Complete the Individual's details and then click **Save and Next**.

Individual Details

i Please provide individual details.

Title

* First Name(s)

* Last Name

Commonly Used Names

* Date of Birth
 📅

National Insurance Number

Passport Number

Nationality

9. Select **Start** to complete the **Application Involvement** details.

Directory Person - Add Directory Person		
R4A_SIT Testing_Passporting out_Test		✓ Checklist
Firm25 (999001)		
Application Reference Number	0002520698	Last Modified By
FORM	STATUS	
Applicant Details	✔ Complete	Edit
Directory Person Details	✔ Complete	Edit
Application Involvement	○ Not Started	Start
Declaration	○ Not Started	Start

10. Select **Choose Firm** to complete involvement and **Select Firm** on the pop-up screen.

Application Involvement

Current Status In-Progress

Last Modified By

[Back to Application](#)

[Previous](#)

[Save](#)

[Save and Next](#)

Involvement Selection

* **Selected FRN** : firm not selected [Choose Firm](#)

Please Click on the Add firm for which firm requires Involvement. [Add firm](#)

[Back to Application](#)

[Previous](#)

[Save](#)

[Save and Next](#)

11. Select the tick boxes for the roles you want to add and complete **Role Started Date** and click **Finish**.

Roles

Select	Name	Role Started Date	Customer Engagement Method (s)
<input type="checkbox"/>	[FCA CF] CASS oversight function	<input type="text"/>	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Benchmark submission and administration	<input type="text"/>	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Proprietary trader	<input type="text"/>	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input checked="" type="checkbox"/>	[FCA CF] Significant management	03-Aug-2020	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Functions requiring qualifications	<input type="text"/>	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input checked="" type="checkbox"/>	[FCA CF] Manager of certification employee	03-Aug-2020	<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone

[Finish](#)

12. On the next page, click on **Save and Next**.

Involvement Selection

* Selected FRN : R4A_SIT Testing_Passporting out_Test Firm25(999001) Remove Firm

Roles

Name	Role Started Date	Customer Engagement Method(s)
[FCA CF] Significant management	2020-08-03	
[FCA CF] Manager of certification employee	2020-08-03	

Add/Modify

Please Click on the Add firm for which firm requires Involvement. Add firm

Back to Application
Previous
Save
Save and Next

13. Click on **Start** to complete the **Declaration**.

Directory Person - Add Directory Person

R4A_SIT Testing_Passporting out_Test Firm25(999001) ✓ Checklist

Application Reference Number: 0002520698 | Last Modified By:

FORM	STATUS	
Applicant Details	✓ Complete	Edit
Directory Person Details	✓ Complete	Edit
Application Involvement	✓ Complete	Edit
Declaration	○ Not Started	Start

Submit Application

14. Review the **Declaration** statement; tick the box for **Review and Confirmation**; complete **Authorised signatory** details and then click **Save and Next**.

Declaration

Each firm is responsible for ensuring that any information reported about a Directory person is accurate and complete.

Even if the firm believes or knows that information has been provided to the FCA before (whether as part of another notification or otherwise) or is in the public domain, it should be disclosed clearly and fully as part of this report.

It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act).

The FCA will not verify the information about Directory persons which is reported by the firm. If a firm becomes aware of any inaccuracies or errors in the information reported about a Directory person it must rectify that information as soon as possible in accordance with applicable data protection legislation.

The firm should be aware that, while advice may be sought from a third party (e.g. legal advice), the firm has responsibility for the accuracy of information, as well as the disclosure of relevant information in the report. For certification employees, the Senior Manager with responsibility for certification (PRb) is accountable for the accuracy of the information submitted in this report.

Review & Confirmation

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

Authorised Signatory

Authorised Signatory 1

* Signatory Name

* Signatory Position

* Signature Date

15. Select **Submit Application** to complete your application.

Directory Person - Add Directory Person

R4A_SIT Testing_Passporting out_Test ✓ Checklist
Firm25(999001)

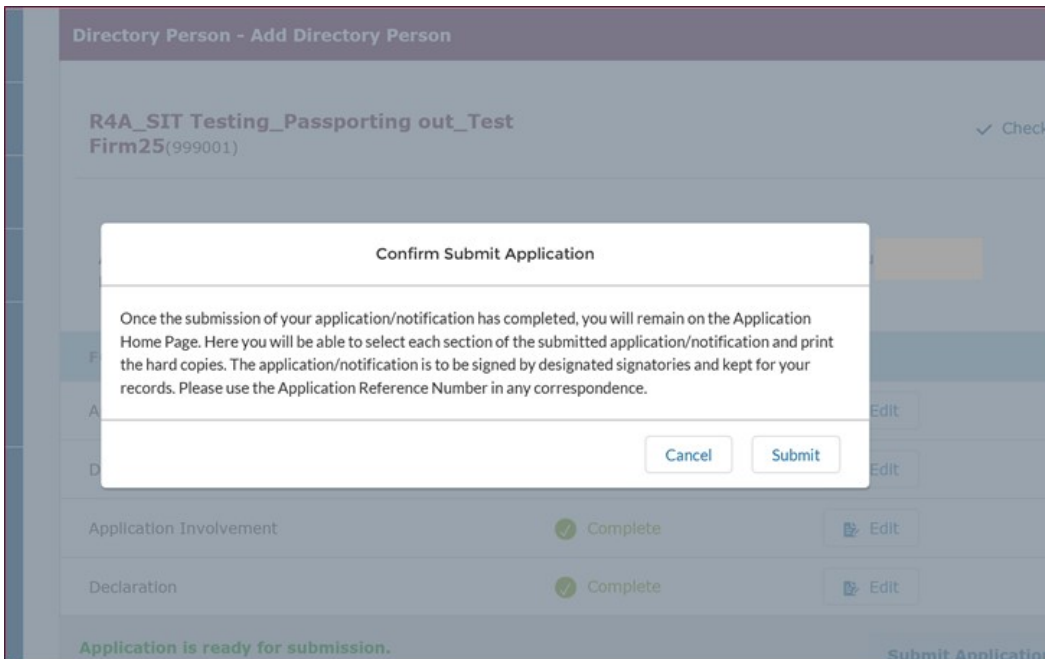
Application Reference Number 0002520698 **Last Modified By**

FORM	STATUS	
Applicant Details	✓ Complete	Edit
Directory Person Details	✓ Complete	Edit
Application Involvement	✓ Complete	Edit
Declaration	✓ Complete	Edit

Application is ready for submission.

Submit Application

16. Select **Submit** on the pop up screen.



Please note:

- You will receive an email to confirm your application has been completed.
- Checking your Connect profile will show the status of your application has changed from **Submitted** to **Closed**.

4. Single Amend Submission

1. Select **Start an Application** on the left-hand panel

The screenshot shows the FCA Connect dashboard. The left-hand panel (Connect) contains the following navigation items: Home, Start an Application, Latest Updates, Manage Users, Pre-Application Meetings, Financial Services Register, FCA Handbook, and Logout. The main content area is divided into two sections: Latest Updates and My Applications. The My Applications section includes an 'Export List' button, a 'Show 10' dropdown, and a search box. Below this are filters for 'Application' and 'Status', both set to 'All', and a 'Reset to default sort' button. A table below shows one application:

Application Number	Application	Type	Submitted Date	Status
0002520508	Directory Person	Amend Directory Person	23/09/2020	Closed

2. Select the **Directory Persons** drop down arrow and click on **Show more**

The screenshot shows the FCA Connect dashboard. The left-hand panel (Connect) contains the following navigation items: Manage Users, Pre-Application Meetings, Financial Services Register, FCA Handbook, and Logout. The main content area is titled 'Applications for: R4A_SIT Testing_Passporting out_Test Firm25'. Below this are three expandable sections: APPOINTED REPRESENTATIVES, APPROVED PERSONS, and DIRECTORY PERSONS. The DIRECTORY PERSONS section is expanded, showing a 'Directory Persons Notification' box with the following text:

The following firms are subject to the Directory persons notification forms:

- banks, building societies, credit unions and PRA designated investment firms
- insurers and reinsurers
- all other firms authorised to provide financial services under the FSMA
- appointed representatives (AR) acting as agent for FCA authorised firms

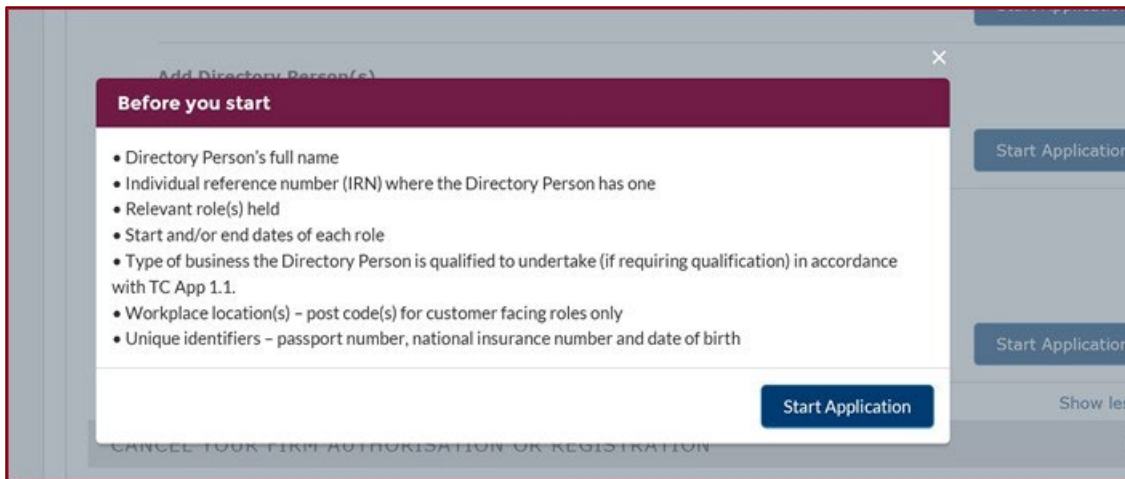
Please note this form will be available to solo-regulated firms from 9 December 2019.

The Directory Person notification forms are to be completed to add individuals to the Directory or amend the details of already reported Directory persons. For information on the categories of individuals classified as Directory persons please see SYSC 27.4

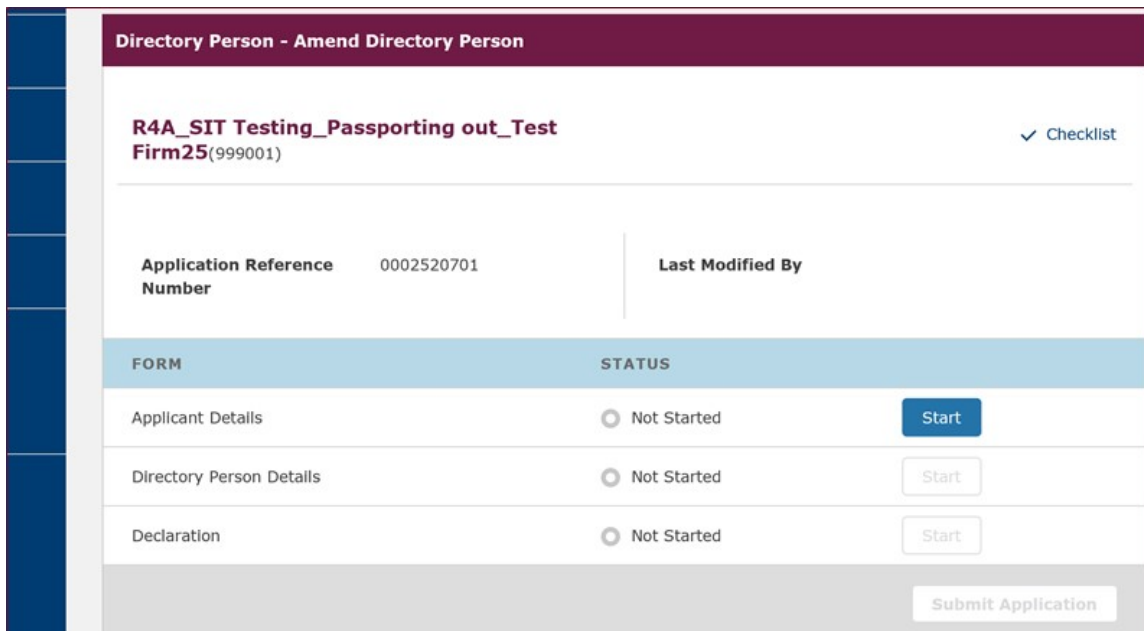
Firms are responsible for the timely and accurate reporting of this information on an ongoing basis. SUP16 Annex 47BG contains all of the relevant rules.

[Show more...](#)

3. Select **Start Application** button for **Amend and / or End Date Directory Person(s)** and then click **Start Application** on the pop-up box.



4. Click on **Start** and complete the Applicant's (the person submitting the data) details and then click **Save and Next**.



5. Click on **Start** to complete the Directory Person Details

FORM	STATUS	
Applicant Details	Complete	Edit
Directory Person Details	Not Started	Start
Declaration	Not Started	Start

[Submit Application](#)

- Click the drop-down arrow and select **Notification Form** to make a single amend submission and select **Add**.

Back to Application Previous Save Save and Next

Directory Person Details

* Please choose if you wish to provide your Directory person(s) details by entering them on a notification form or by uploading a file you have compiled from our approved template.

Notification Form


Please click to add an individual you would like to modify within this firm. [Add](#)

Back to Application Previous Save Save and Next

- In the pop-up box, enter the Individual Reference Number (IRN), Date of Birth (DOB) and National Insurance Number or Passport Number and click on **Find**. And then **Confirm** to select the Individual.
- Review the Directory Person's details, Roles, Activities and Accreditation (where relevant) and then select **Add/Modify**.
- Make relevant changes on **the Roles screen** and then select **Next**. For example, end date a role of change engagement style.

<input type="checkbox"/>	[FCA CF] Proprietary trader			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Significant management			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input checked="" type="checkbox"/>	[FCA CF] Functions requiring qualifications	13-Feb-2020	02-Oct-2020	<input checked="" type="checkbox"/> Face To Face <input checked="" type="checkbox"/> Telephone <input checked="" type="checkbox"/> Online
<input checked="" type="checkbox"/>	[FCA CF] Manager of certification employee			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Material risk taker			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Client dealing			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone <input type="checkbox"/> Online
<input type="checkbox"/>	[FCA CF] Algorithmic trading			<input type="checkbox"/> Face To Face <input type="checkbox"/> Telephone

10. Review the **Activities** page and confirm the relevant activities which are no longer applicable are ticked and then select **Next**.

 **Activities**¹

Select	Description	No longer applicable
<input type="checkbox"/>	2. Giving personal recommendations on securities which are not stakeholder pension schemes or personal pension schemes or broker funds	<input type="checkbox"/>
<input type="checkbox"/>	3. Giving personal recommendations on derivatives	<input type="checkbox"/>
<input type="checkbox"/>	4. Giving personal recommendations on retail investment products which are not broker funds	<input type="checkbox"/>
<input checked="" type="checkbox"/>	6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met)	<input checked="" type="checkbox"/>
<input type="checkbox"/>	7. Giving personal recommendations on long-term care insurance contracts	<input type="checkbox"/>
<input checked="" type="checkbox"/>	8. Giving personal recommendations on investments in the course of corporate finance business	<input checked="" type="checkbox"/>
<input type="checkbox"/>	9. Advising on syndicate participation at Lloyd's	<input type="checkbox"/>
<input type="checkbox"/>	9A. Advising on P2P agreements	<input type="checkbox"/>
<input type="checkbox"/>	10. Broker fund adviser	<input type="checkbox"/>
<input type="checkbox"/>	11. Pension transfer specialist	<input type="checkbox"/>
<input type="checkbox"/>	12. Giving personal recommendations on and dealing in securities which are not stakeholder pension schemes or personal pension schemes or broker funds	<input type="checkbox"/>

Back Next



Please note:

- Activities related to an End-dated role will be already ticked as **No longer applicable**.
- **Workplace locations** related to an End-dated role will be marked as **Removed**.

11. Review the Workplace location page and then select **Next**.

12. Review the **Accreditations** page and confirm the relevant accreditations which are no longer applicable are ticked and then select **Finish**.

Select	Description	No longer applicable
<input type="checkbox"/>	CFA Society of the UK	<input type="checkbox"/>
<input checked="" type="checkbox"/>	The Chartered Institute for Securities and Investment (CISI)	<input checked="" type="checkbox"/>
<input type="checkbox"/>	The Chartered Banker Institute (CBI)	<input type="checkbox"/>
<input type="checkbox"/>	The Chartered Insurance Institute (CII)	<input type="checkbox"/>
<input type="checkbox"/>	The London Institute of Banking and Finance (LIBF) - formerly known as IFS	<input type="checkbox"/>
<input checked="" type="checkbox"/>	The Pensions Management Institute	<input checked="" type="checkbox"/>

Back Finish

13. Select **Save and Next** on the next screen and then progress to complete the Declaration by selecting **Start**.

Directory Person - Amend Directory Person

INTACT R1 UAT
CR341_SCENARIO12(9991009) ✓ Checklist

Application Reference Number: 0002520721 | Last Modified By:

FORM	STATUS	
Applicant Details	✓ Complete	Edit
Directory Person Details	✓ Complete	Edit
Declaration	○ Not Started	Start

14. Review the **Declaration** statement; tick the box for **Review and Confirmation**; complete **Authorised signatory** details and then click **Save and Next**.

Declaration

Each firm is responsible for ensuring that any information reported about a Directory person is accurate and complete.

Even if the firm believes or knows that information has been provided to the FCA before (whether as part of another notification or otherwise) or is in the public domain, it should be disclosed clearly and fully as part of this report.

It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act).

The FCA will not verify the information about Directory persons which is reported by the firm. If a firm becomes aware of any inaccuracies or errors in the information reported about a Directory person it must rectify that information as soon as possible in accordance with applicable data protection legislation.

The firm should be aware that, while advice may be sought from a third party (e.g. legal advice), the firm has responsibility for the accuracy of information, as well as the disclosure of relevant information in the report. For certification employees, the Senior Manager with responsibility for certification (PRb) is accountable for the accuracy of the information submitted in this report.

Review & Confirmation

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

Authorised Signatory

Authorised Signatory 1

* Signatory Name

* Signatory Position

* Signature Date

15. Select **Submit Application** to complete your application.

Directory Person - Amend Directory Person

INTACT R1 UAT ✓ Checklist
CR341_SCENARIO12(9991009)

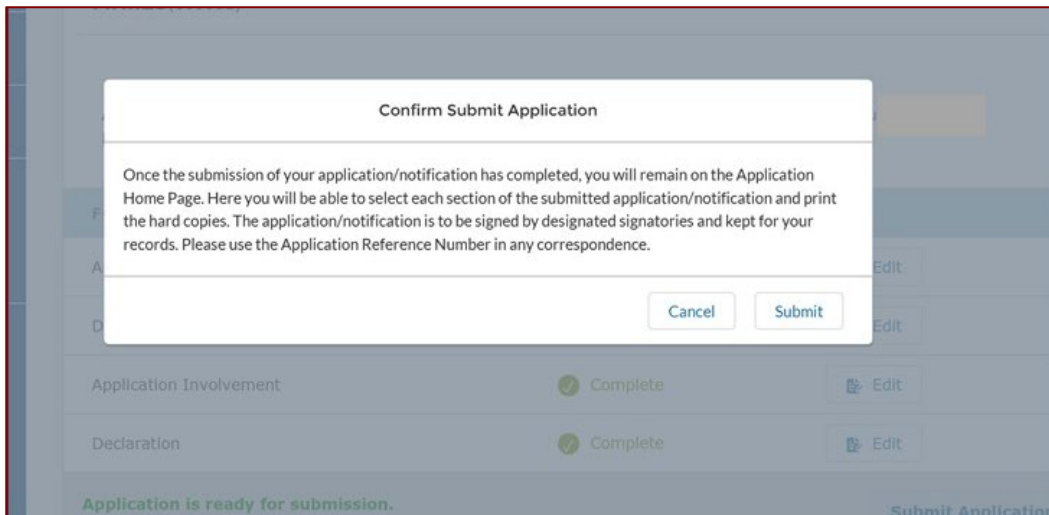
Application Reference Number 0002520721 | **Last Modified By**

FORM	STATUS	
Applicant Details	✓ Complete	Edit
Directory Person Details	✓ Complete	Edit
Declaration	✓ Complete	Edit

Application is ready for submission.

Submit Application

16. Select **Submit** on the pop up screen.



Please note:

- You will receive an email to confirm your application has been completed.
- Checking your Connect profile will show the status of your application has changed from **Submitted** to **Closed**.

5. Support



[Contact us](#)

0300 500 0597



[Policy Statement 19/7: finalising the Directory](#)



[Directory Persons](#)



[Directory Persons data collection: Q&A](#)





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