FINANCIAL CONDUCT AUTHORITY

User guide: Adding Directory Persons data for multiple individuals

This user guide helps firms to submit new Directory Persons data in bulk we suggest firms use the multiple add functionality if submitting data for 10 or more Persons.

Directory Persons information is 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

Version: 11.0
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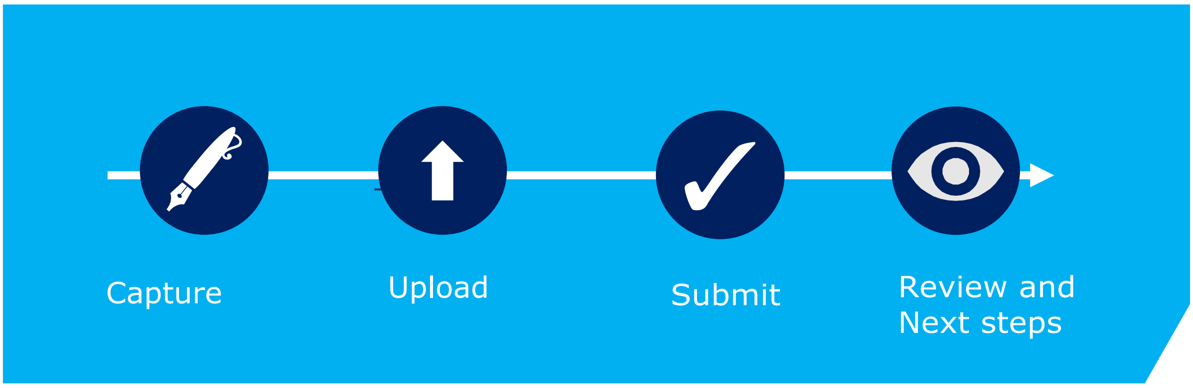
1. Getting Started

To submit your Directory Persons data successfully, you need to:



Before you start, check you are ready to begin your submission.

Connect – Make sure you have access to the Connect system. You can't submit Directory Persons data without this.

Spreadsheet – You will need to use a program that allows you to populate an Excel spreadsheet and save the file as CSV UTF-8 format.

Bulk submission of Directory Persons data – use the Multiple Add template to submit new Directory Persons data. This could be new Directory Persons, or new data about those persons, e.g. adding a new role. It cannot be used to amend previously submitted information.

Bulk amendments of Directory Persons data – use the Multiple Amend template to amend previously submitted Directory Persons information.

Latest files - please ensure you are using the latest versions of the user guide and template from the Directory Persons web page.

2. NEW...Roles, Activities and Accreditations

See FCA Handbook for more details on certification functions and list of Activities

Roles covered in Directory
[FCA CF] (1) CASS oversight function
[FCA CF] (2) Benchmark submission and administration
[FCA CF] (3) Proprietary trader
[FCA CF] (4) Significant management
[FCA CF] (5) Functions requiring qualifications
[FCA CF] (6) Manager of certification employee
[FCA CF] (7) Material risk taker
[FCA CF] (8) Client dealing
[FCA CF] (9) Algorithmic trading
[PRA CF] Significant risk taker or Material risk taker
[PRA CF] Key function holder
[PRA CF] Managing a material risk taker
Director of firm who is not a certification employee or a SMF manager
Sole trader dealing with clients for which they require qualification
Appointed representative dealing with clients for which they require qualification

Activities covered in Directory
2. Giving personal recommendations on securities which are not stakeholder pension schemes or personal pension schemes or broker funds
3. Giving personal recommendations on derivatives
4. Giving personal recommendations on retail investment products which are not broker funds
6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met)
7. Giving personal recommendations on long-term care insurance contracts
8. Giving personal recommendations on investments in the course of corporate finance business
9. Advising on syndicate participation at Lloyd's
9A. Advising on P2P agreements
10. Broker fund adviser
11. Pension transfer specialist
12. Giving personal recommendations on and dealing in securities which are not stakeholder pension schemes or personal pension schemes or broker funds
13. Giving personal recommendations on and dealing with derivatives
14. Managing investments
15. Operating a collective investment scheme or undertaking the activities of a trustee or depositary of a collective investment scheme
16. Safeguarding and administering investments or holding client money
17. Administrative functions in relation to managing investments

Activities covered in Directory
18. Administrative functions in relation to effecting or carrying out contracts of insurance which are life policies
19. Administrative functions in relation to the operation of stakeholder pension schemes
20. Advising or arranging (bringing out) regulated mortgage contracts for a non-business purpose
21. Advising or arranging (bringing out) equity release transactions
21A. Designing scripted questions for execution-only sales of regulated mortgage contracts for a non-business purpose
22. Designing scripted questions for execution-only sales of equity release transactions
23. Overseeing execution-only sales on a day-to-day basis in relation to equity release transactions

Accreditations
CFA Society of the UK
The Chartered Institute for Securities and Investment (CISI)
The Chartered Banker Institute (CBI)
The Chartered Insurance Institute (CII)
The London Institute of Banking and Finance (LIBF) - formerly known as IFS

3. Using the Multiple Add template

The Multiple add template allows you to submit multiple Directory Person records in a single application. You can use the multiple add template to:

- add new Directory Persons
- add new roles
- add new activities
- add new accreditations
- add new workplace location
- add new customer engagement method

The template you need to complete looks like the ***illustration below***.

Personal details

FRN	IRN	Title	First name(s)	Last name	Commonly used names	Date of birth	National Insurance number	Passport number	Nationality
123456	XXX00000	Mrs	Monica	Riaz		#######	AB123456CC	12345678900	

Each row represents a single Directory Person's entry (individual) for a single legal entity.

If an individual works for multiple legal entities, please submit a separate application for each entity

Multiple add process includes:

Capture:
input your information in the Multiple Add template - be mindful of rules and guides

Upload:
The correctly completed Multiple Add template into Connect

Submit:
Submit application and check that the file was uploaded correctly

Next steps:
View application feedback file to ensure no errors occurred / amends required

4. Capture

What do you need to do?

- Complete the required fields on the template.
- Be aware of the required format for each field.
- Be aware of the rules relating to roles, activities, customer engagement methods and workplace location.

Important information you need to know when completing the template

- The header cell of each column contains help text (if needed). Hover over the header cells to display the text.
- Do not remove or edit the top 3 rows.
- Do not add formatting to the spreadsheet (e.g. cell borders) as this may corrupt the file when it is saved to .csv.
- Some cells contain validations. Do not change them or your submission is likely to fail.
- Do not use commas as they will cause your submission to fail.
- Do not leave blank rows. For example, do not fill in row 10 and 12 but leave row 11 blank. If you do any data after row 10 will not be processed.

Hints & Tips:

Where an individual has had a gap in service:

1. First submit the historical role using single add or multiple add.
2. Check the Application feedback file to confirm that the historical role submission has been processed
3. Then add the current role.

Warning! If you submit current role first and then historical message later, you will get an error message

Use the formats and rules in the following table when completing the template.
Please follow these carefully – if there are errors your file will not be processed.

	Data field		Format	Required?	
Firm details	FRN		Numeric – 6 to 7 characters		
Personal details	IRN		Alphanumeric – 8 characters		
	Title		Predefined drop-down list		
	First name(s)		Free Text field		
	Last name		Free Text field		
	Commonly used names		Free Text field		
	Previous name	Title	Free Text field	Optional when providing previous name	
		First Name	Free Text field	Mandatory when providing previous name	
		Last Name	Free Text field	Mandatory when providing previous name	
		Date of change	Numeric – (dd/mm/yyyy)	Mandatory when providing previous name	
	Date of birth		Numeric – (dd/mm/yyyy)		
	National Insurance Number ^1		Alphanumeric – 2 Alpha followed by 6 numeric followed by 1 Alpha		
	Passport number^2		Free Text field		
	Nationality		Predefined drop-down list	Mandatory when providing passport number	
Directory Person role details	Relevant roles currently held		Predefined drop-down list – More than one can be selected		
	Date started role		Numeric – (dd/mm/yyyy) - Can be up to 3 months in the future		
	Role end date		Numeric – (dd/mm/yyyy) - Can be up to 3 months in the future but must be after the start date		
				For customer engagement roles requiring qualification	Other roles
	Activities which the Directory Person carries out		Predefined drop-down list – More than one can be selected		
	Customer engagement method(s)		Predefined drop-down list – More than one can be selected		
	Workplace location(s)^3		Alphanumeric – 8 characters – Up to 5 postcodes can be provided		
	Relevant Accredited Body the Directory Person is a Member of for customer engagement roles requiring qualification only		Predefined drop-down list – More than one can be selected		

Key:	
	Always required
	Where applicable
	Not required

1. National Insurance (NI) number: It is mandatory to provide a NI number if the Directory Person has one (see SUP 16 Annex 47AR(4-5) & SUP 16 Annex 47BG(2)).
2. Passport number: Provide the passport number and nationality if the Directory Person does not have an NI number.
3. The workplace location field may be left blank if a firm believes that making a Directory Person's workplace location public would put them at risk.

The following fields are applicable when one or more customer engagement roles requiring qualification have been selected in the 'Relevant roles currently held' field:

- Activities the Directory Person carries out.
- Customer engagement method(s).
- Workplace location(s).
- The accredited body of which the Directory Person is a member.

Saving your file:

Note: To ensure your file is processed promptly, please don't exceed a file size of 5MB (megabytes). The number of rows you can populate will depend on how many columns are used. For example:

- 100% (96) columns populated = approx. 1500 rows
- 50% (48) columns populated = approx. 2000 rows
- 25% (24) of columns populated = approx. 2500 rows

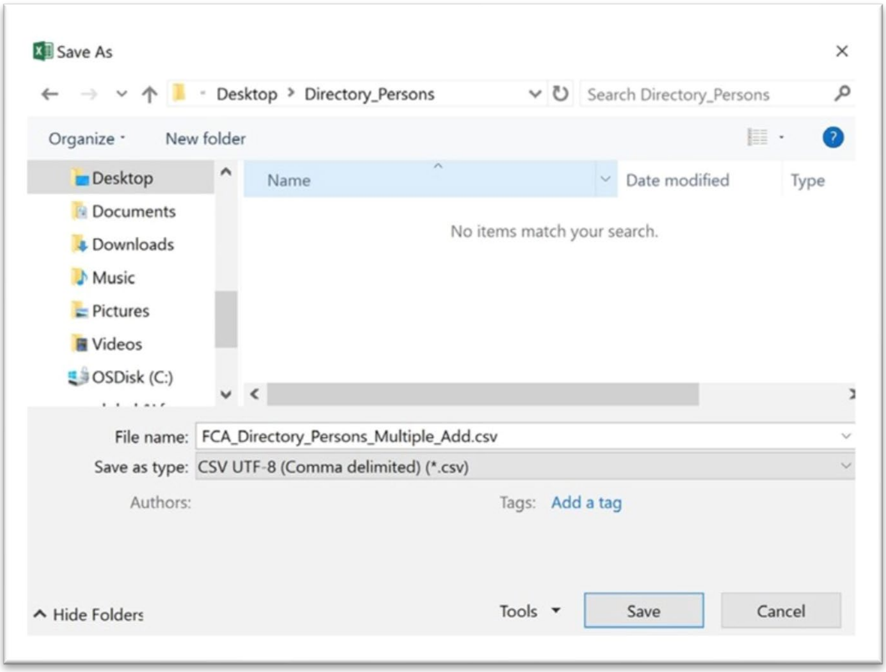
If you need to submit more information than this, you can do so by submitting another application and uploading a file with the remaining information.

When you have completed the template with all the information in appropriate fields, save the file in the CSV UTF-8 format (comma separated values), and **not** as .xls (Excel spreadsheet). Do not save it as a CSV UTF-8 until you are ready to submit, as doing so will remove the template formatting.

When saving the file, ensure you are on the form that contains the information you have populated, as the CSV UTF-8 format removes all other tabs.

The name of your file should be: 'FCA_Directory_Persons_Multiple_Add.csv' and saved on a local drive. Do not use any spaces or special characters in the file name.

When you have saved the file, you are ready to upload to Connect



Saving as a .csv file

5. Upload

To upload your completed **Multiple Add** template:

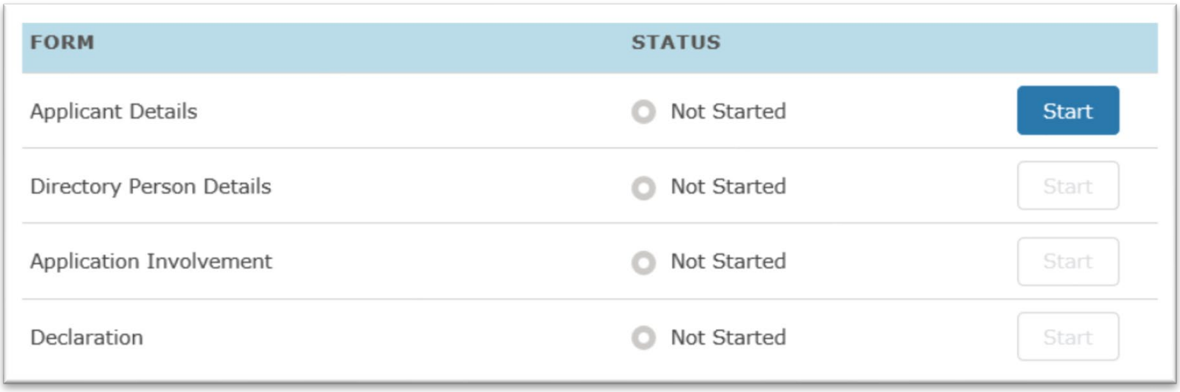
> **Please Note:**
> All screenshots provided are for illustration purposes only. Actual content and design may differ on Connect.

1. Log into your Connect account.
2. Click on 'Start an Application' – this button is on the left-hand side of the screen

3. Select the section 'Directory Persons'.

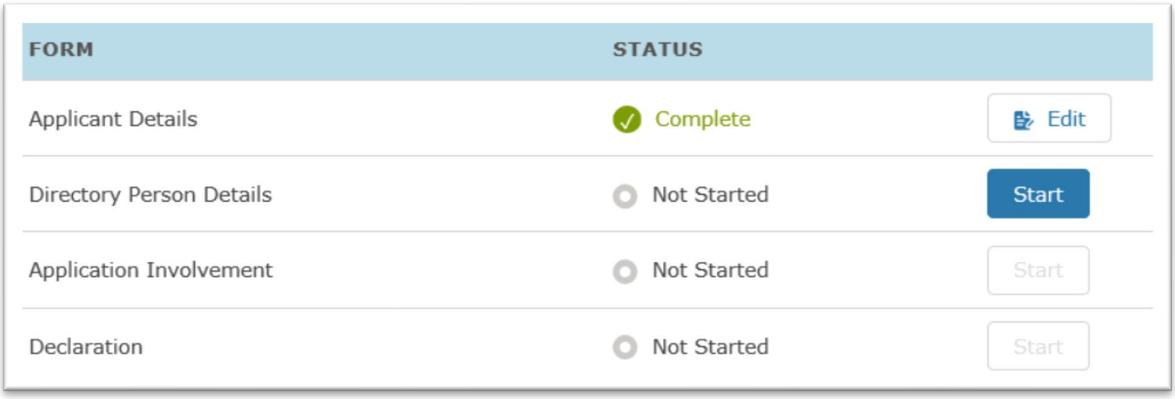
4. To add Directory Person(s), select 'Start Application'.

5. Complete the 'Applicant Details' section. The '**Applicant**' is the person submitting the notification. This is not for the details of the Directory Person.



FORM	STATUS	
Applicant Details	Not Started	Start
Directory Person Details	Not Started	Start
Application Involvement	Not Started	Start
Declaration	Not Started	Start

6. When you have completed the 'Applicant Details' section, select the 'Directory Person Details' section.



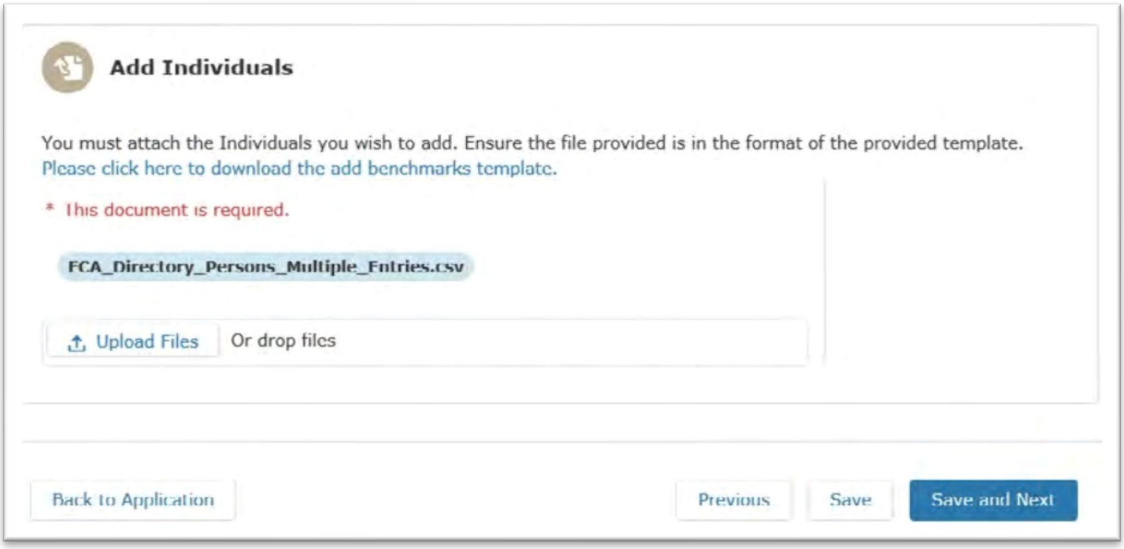
7. Select the 'File Upload' option.

Please Note:
You can complete these steps before starting to populate the template.

When you select 'File Upload', you can download the template via a link.

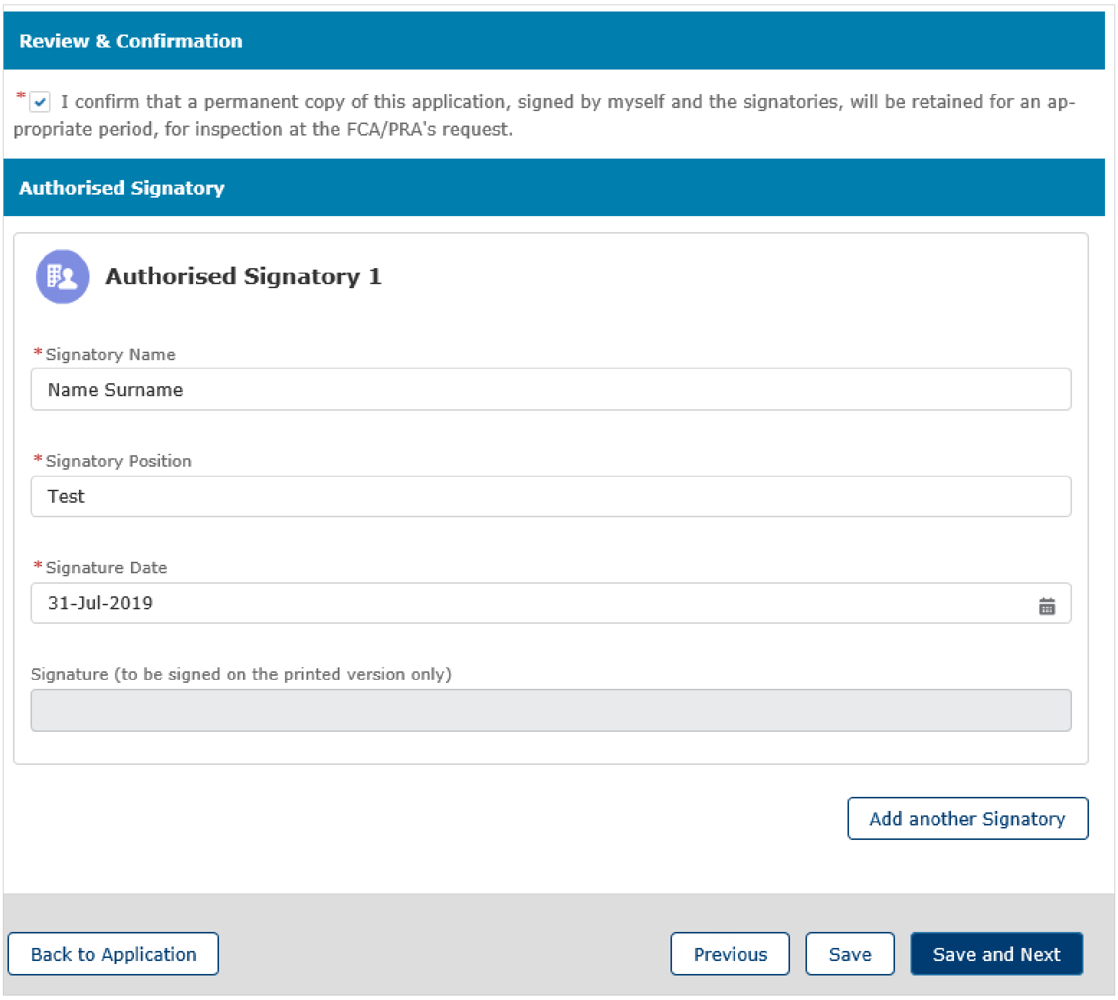
8. Upload your file(s) or drop them in the box shown below.

9. The file(s) you upload will appear on the screen. Select 'Save and Next'.



10. When you have completed this, the ‘Directory Person Details’ and Application Involvement’ sections will appear as complete. Next, click on the Start button for ‘Declaration’.

11. Read and complete the declaration page. Then click on ‘Save and Next



Please Note:
It is not necessary to print, sign and retain your application. You can view your application on Connect. However, please check the box to continue.

6. Submit

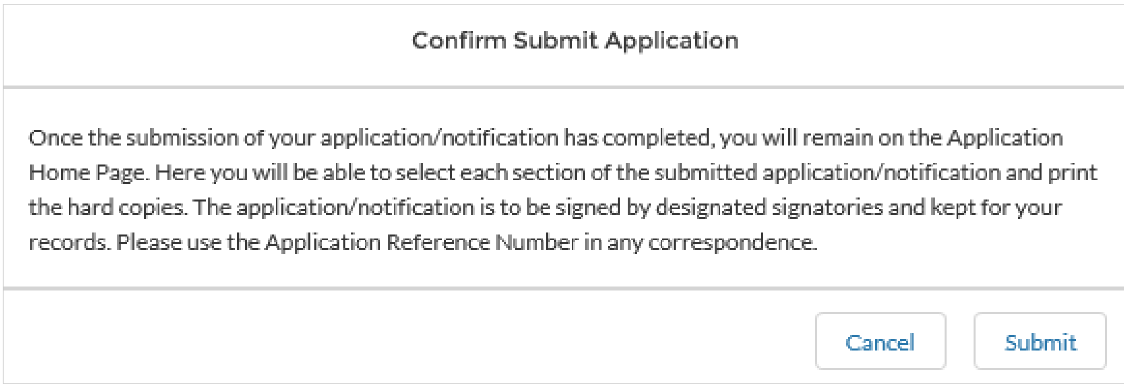
What you need to do:

- Submit the application.
- Be aware of what to do if the file contains errors or if we can't accept some of the information you have provided.
- Check the file has been processed successfully.

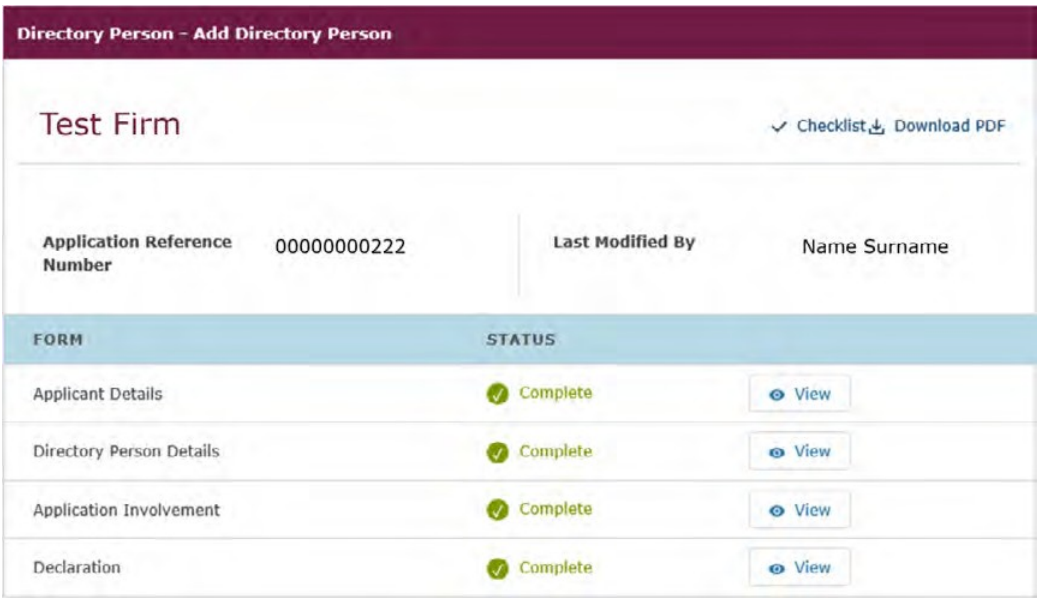
When the file you wish to submit has been successfully uploaded, you will need to submit the application so we can start processing the information and publish it on the FS Register.

1. You are now ready to submit. Click on 'Submit Application'.

2. You will see the following information box. Click 'Submit' to proceed.



3. On the next screen, you can choose to view the information you submitted either by viewing each section separately or by downloading a pdf version of your submission. You won't be able to see the content of your Multiple Add file, but you will see the name of the file you submitted, and your application reference number.



4. We now have your file and you can log out. We will email you further information about processing your data.

7. Review and Next steps

When you have uploaded and submitted the Multiple Add template, we will perform several checks on the data to ensure it is ready to publish on the FS Register.

Upon receipt of your Bulk Add Directory submission, we will check your data and process your application. We will then create a feedback file (Feedback.csv) in Connect, which details the outcome for each individual submitted.

You will receive a standard email asking you to check your feedback file on Connect. All firms will receive this email and a feedback file regardless of whether there are errors in their submission. You can find the feedback file in the 'Directory Person Detail' section of the submitted application.

Access your feedback file from the Directory Person detail section: The path is as follows, select - >Application Reference Number -> View Application -> Directory Person Details -> feedback.csv.

View the status of each individual in the feedback file. This allows you to easily check which individuals have been processed successfully, and which must be resubmitted.

The feedback file contains:

- A list of all the individuals submitted as part of the bulk notification, not only those with errors.
- Details of which individuals have been processed as part of the submission, along with the IRNs for any new individuals.
- If an individual has failed, there will be an error message explaining the error in the relevant row. If the individual row has been processed without error, there will be no details in the error column.
- A new 'IRN Status' column that will indicate whether it's a new individual (previously unknown to FCA) with the value 'New Individual' populated, or it's an existing individual with the value 'Existing Individual' populated.
- If we cannot process your data due to an incorrect file format, incorrect template or the template being modified you will receive a single piece of feedback on the whole submission. For example, 'Columns missing or file is corrupted. Please do not modify the csv file once converted from xlsx'.

If there are no errors in the data, we aim to publish the information within 24 hours. From later this year for banks and insurers and from end of December 2020 for all other firms.

NOTE: Before 7 September 2020, we sent 2 emails when we processed a Bulk Add Directory Submission: one to confirm the processing status of the application, and another listing the successfully processed IRNs. Our new process aims to simplify the way you receive feedback.

Understanding the feedback file

Individual Status column	Error column	Description of the scenario
New Individual		Record has been successfully processed and new individual created
Existing Individual		Record has been successfully processed and existing individual record has been updated
Existing Individual	Populated with error message	An existing record has been identified for the individual, but it has not been processed. Submit a new application after correcting the error message.
	Populated with error message	No existing record has been identified (except when there is a Personally Identifiable Information mismatch error) and the record has not been processed. Submit a new application after correcting the error message.

To help you determine which template you should be using (Multiple Add or Multiple Amend), 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
Overwrite existing accreditations				✓	

Use Cases	Single Add	Single Amend	Multiple Add	Multiple Amend	Note
Overwrite existing workplace location				✓	in the bulk amend spreadsheet. 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		✓		✓	

> Access your feedback file from the Directory Person detail section: The path is as follows, select - >Application Reference Number -> View Application -> Directory Person Details -> feedback.csv.

8. Error message glossary

Table below contains frequently seen error messages for multiple directory person form submission:

Category	Error message	Error description and how to resolve
Information mismatch error	IRN mismatch error: Our IRN record does not match with what you have submitted	This error will occur when an IRN has been provided, but some of the personal information provided in the spreadsheet does not match our records. Please make sure that all the information provided such as - date of birth, national insurance number, passport and nationality matches the information that we hold in our records. If the problem persists, try submitting this record via the single notification form.
Information mismatch error	Surname mismatch error: Surname provided does not match our record	When an IRN has been provided, surname should match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting this record via single notification form.
Formatting error	Title is defined by a range of values. Please select from dropdown	Please select title from the drop-down list that is provided in the template. Note - list is case sensitive. For example, putting MR instead of Mr. will result in this error message.
File validation error	Columns missing or file is corrupted. Please do not modify the csv file once converted from xlsx	This error is displayed when the whole file is rejected by the system. Please make sure that you don't change the file after converting it into .CSV. Another reason for this error is when a user submits a multiple add template for an amend notification and vice-versa.
File validation error	Unsupported file format; Please submit file in CSV UTF-8 format	Please submit the file in the UTF-8 CSV format only.
File validation error	Date format is incorrect. It should be dd/mm/yyyy and the number format for all cells with date populated should be 'Date'	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format. You can verify it by clicking on the date cell and view the value that is displayed under home tab -> number format. If the value displayed there is anything other than 'date', example 'General', then it will also result in this error message.
Duplicate value error	Duplicate individual	Please use the single notification form to submit this record as the system is unable to identify a unique record in the database and therefore unable to process record.

Category	Error message	Error description and how to resolve
Duplicate value error	Individual already holds [Role Name]	A firm can only submit a new role for an individual when the same role previously submitted by the firm has ended. For example, if a DP holds client dealing role with a start date of 03/06/2020 and no end date, then the firm cannot submit a notification for the same individual without first end dating the current role.
Duplicate value error	Duplicate Role records present for individual	This error will result due to the same role being provided more than once for the same individual in the same notification form. Please use a separate notification form to record gaps in employment. For example, if a Directory Person individual held [FCA CF] (5) Functions requiring qualifications role from 01/01/2020-02/02/2020 and then again from 04/04/2020 to present, then first submit an add notification with the historical role, i.e. for the period of 01/01/2020-02/02/2020 and once that is processed successfully, please submit another notification for the current time period.
Data validation error	Individual Failed	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add

The table below contains a full list of error messages that a firm can receive when submitting multiple directory person form:

Category	Error message	Error description and how to resolve
Mandatory field error	FRN cannot be blank	FRN is a mandatory field. Please provide FRN for each individual record that you are submitting.
Mandatory field error	Start date cannot be blank for the [Role Name]	Start date is mandatory where a role has been submitted. Please provide start date.
Mandatory field error	At least one role is mandatory	Please provide at least one role when submitting a Directory Person
Mandatory field error	First name(s) cannot be blank	First name(s) is a mandatory field and must be provided.
Mandatory field error	Last name cannot be blank	Last name is a mandatory field and must be provided.
Mandatory field error	Date of birth cannot be blank	Date of birth is a mandatory field and must be provided.

Category	Error message	Error description and how to resolve
Mandatory field error	Please provide Passport number if Nationality present in Record	Passport number becomes a mandatory field if Nationality has been provided. Please either provide passport number or remove nationality if NI number has also been provided.
Mandatory field error	Please provide NI number, or where the individual does not have one, their Passport number and nationality	Either NI or a combination of passport and nationality is mandatory. This error will result when none of these values are provided for a Directory Person record.
Information mismatch error	IRN mismatch error: Our IRN record does not match with what you have submitted	This error will occur when an IRN has been provided, but some of the personal information provided in the spreadsheet does not match our records. Please make sure that all the information provided such as - date of birth, national insurance number, passport and nationality matches the information that we hold in our records. If the problem persists, try submitting this record via the single notification form.
Information mismatch error	Surname mismatch error: Surname provided does not match our record	When an IRN has been provided, surname should match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting this record via single notification form.
Information mismatch error	Personal Information mismatch error: One or more of the following information does not match our records; Date of birth; National Insurance (NI) number; Passport or Nationality	When an IRN has been provided, other details such as date of birth and National Insurance number/Passport number + Nationality must match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting via single notification
Formatting error	Title is defined by a range of values. Please select from dropdown	Please select title from the drop-down list that is provided in the template. Note - list is case sensitive. For example, putting MR instead of Mr. will result in this error message.
Formatting error	Roles should be defined by a range of values. Please select from dropdown	Please select role from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	NI Number format is wrong	The format of the National Insurance number is two prefix letters, six digits and one suffix letter. An example is AB123456C. Please make sure that NI number submitted is in this format.

Category	Error message	Error description and how to resolve
Formatting error	Date of birth format is wrong. It should be in dd/mm/yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format.
Formatting error	Date format is wrong. It should be in dd/mm/yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/2020. Please make sure that the date provided is in the specified date format.
Formatting error	IRN format is wrong	The format of the IRN is three prefix letters and five digits. An example is ABC12345. Please make sure that IRN submitted is in this
Formatting error	Nationality should be defined by a range of values. Please select from dropdown	Please select Nationality from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Please declare Customer Engagement method. Please select from dropdown	Please select customer engagement method from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Activity-should be defined by a range of values. Please select from dropdown	Please select activity from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Accreditation-should be defined by a range of values. Please select from dropdown	Please select accreditation from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Role end date format is wrong. It should be in dd/mm/ yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/2020. Please make sure that the date provided is in the specified date format.
File validation error	Columns missing or file is corrupted. Please do not modify the csv file once converted from xlsx	This error is displayed when the whole file is rejected by the system. Please make sure that you don't change the file after converting it into .CSV. Another reason for this error is when a user submits a multiple add template for an amend notification and vice-
File validation error	Unsupported file format; Please submit file in CSV UTF-8	Please submit the file in the UTF-8 CSV format only.
File validation error	Date format is incorrect. It should be dd/mm/yyyy and the number format for all cells with date populated should be 'Date'	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format. You can verify it by clicking on the date cell and view the value that is displayed under home tab -> number format. If the value displayed there is anything other than 'date', example 'General', then it will also result in this error
Duplicate value error	Duplicate individual	Please use the single notification form to submit this record as the system is unable to identify a unique record in the database and therefore unable to process record.

Category	Error message	Error description and how to resolve
Duplicate value error	Individual already holds [Role Name]	A firm can only submit a new role for an individual when the same role previously submitted by the firm has ended. For example, if a DP holds client dealing role with a start date of 03/06/2020 and no end date, then the firm cannot submit a notification for the same individual without first end dating the current role.
Duplicate value error	Duplicate Individual: NI number already present in Excel Sheet	If the same NI number has been provided for more than one record in the same spreadsheet, then it will result in this error message. If there is more than one entry of the same individual with the same NI in the same spreadsheet, then it will also result in
Duplicate value error	Duplicate Role records present for individual	This error will result due to the same role being provided more than once for the same individual in the same notification form. Please use a separate notification form to record gaps in employment. For example, if a Directory Person individual held [FCA CF] (5) Functions requiring qualifications role from 01/01/2020-02/02/2020 and then again from 04/04/2020 to present, then first submit an add notification with the historical role, i.e. for the period of 01/01/2020-02/02/2020 and once that is processed successfully, please submit another notification for the current time
Duplicate value error	Duplicate Individual: Passport number already present in Excel Sheet	If the same passport number has been provided for more than one record in the same spreadsheet, then it will result in this error message. If there is more than one entry of the same individual with the same passport number in the same spreadsheet then it will also result in this error message.
Duplicate value error	Duplicate Activity records present for individual	This error is due to an individual already having this activity on record.
Duplicate value error	Duplicate Accreditation records present for individual	This error is due to an individual already having this accreditation. Please remove this accreditation and submit again.
Duplicate value error	Duplicate Post Code present for individual;	This error is due to same workplace location provided more than once for the same individual.

Category	Error message	Error description and how to resolve
Data validation error	FRN should be same as Parent organisation	The same FRN should be entered in the spreadsheet that has been selected by the CONNECT user when they select Directory Person form. Please submit a separate notification for each associated entity. Submitting Directory Person data for more than one FRN in the same spreadsheet will also result in this error.
Data validation error	Activity cannot be blank for [Role Name]	Activity is mandatory for the following roles: -Functions requiring qualification -Sole trader dealing with clients for which they require qualification -Appointed representative dealing with clients for which they require qualification
Data validation error	Date started role for [Role Name]: You have selected a date that is earlier than the commencement of the certification regime for your type of firm	Dual Regulated Deposit takers and PRA designated investment firms (banking firms) – SM&CR regime started 7th March 2016. Role start dates for this population cannot be earlier than 7th March 2016. Dual Regulated Insurers – SM&CR Regime started 10th December 2018. Role start dates for this population cannot be earlier than 10th December 2018 Solo regulated Firms – SM&CR Regime started 9th December 2019. Role start dates for this population cannot be earlier than 9th December 2019.
Data validation error	Customer engagement cannot be blank for the [Role Name]	Customer engagement method is mandatory for the following roles: - Sole trader dealing with clients for which they require qualification - Appointed representative dealing with clients for which they require qualification
Data validation error	Individual Failed	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add template
Data validation error	This individual cannot be processed using the bulk upload facility; for this individual please submit a single Directory Person Notification form	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add template.
Data validation error	First name(s) cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.

Category	Error message	Error description and how to resolve
Data validation error	Commonly used name(s) cannot be more than 80	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Previous First name(s) cannot be more than 80	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Previous Last name cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Last name cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Age should be equal or greater than 16 years	The minimum age of directory person is 16 years.
Data validation error	Role end date cannot be before Role start date	Role end date should be greater than the role start date. For example, if a role start date is 03/06/2020 then the earliest role end date could be 04/06/2020.
Data validation error	Post code should be proper format of: [Postcode] is wrong	Please only provide postcode and not the full address. There is a limit of 8 characters for this field. Ensure there are no white spaces **after** the postcode.
Data validation error	You have selected a date that is more than 3 months in the future. You cannot make this change now. Please return to	The start date of a role can only by up to 3 months from the current date. Please submit the role/record when there are 3 months or less until the role start date.
Data validation error	When Role which holds Customer Engagement as face to face is not active user cannot add workplace location	You can add workplace location only if any active role holds Customer Engagement method as Face-to-Face.
Duplicate value error	Duplicate Individual: IRN already present in Excel Sheet	Only one entry per individual should be added in Amend file. Please do not add multiple entry for single individual.
Data validation error	For applied role user cannot hold any activities /workplace/accreditations	User can only add activities, workplace, and accreditation for specific roles.

9. Support

Contact us
0300 500 0597

Policy Statement 19/7:
finalising the Directory

Directory Persons

Directory Persons data collection:

FINANCIAL
CONDUCT
AUTHORITY

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