

Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5)

Registration Guide

1.0

November 2020

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Overview

The FCA will be changing the way in which investors submit the Standard form for notification of major shareholdings (TR-1 Form) as required under the Disclosure Guidance and Transparency Rules Chapter 5 (DTR 5).

DTR 5 requires investors with holdings in shares or financial instruments with voting rights attached to notify the FCA and the relevant issuer when certain thresholds are reached or crossed.

As part of the drive to continuously improve the services we provide, the FCA has reviewed the notification process and is working on a new online portal for this purpose. The new process will involve the completion of an electronic TR-1 Form available via the DTR 5 reporting element of the FCA's Electronic Submission System (ESS) and will be live in Q1 2021.

In readiness for this change, investors subject to notification obligations under DTR 5 (Position Holders) and persons reporting TR-1 Forms on behalf of Position Holders (Reporting Persons) will need to complete a two-step registration process:

- Step 1 – Register to Use the Electronic Submission System (ESS)
- Step 2 – Register for Major Shareholdings Registration – DTR 5

Whilst completing the DTR 5 Registration you may also wish to register for Short Selling Regulation (SSR). We have regulated short selling and certain aspects of credit default swaps (CDS) in the UK since 1 November 2012, under the Short Selling Regulation (SSR) you can access [more information here](#).

This guide has been created to help you successfully complete all aspects of the overall registration process.

Before you start

Completing the registration process

You will have been advised of your registration window and it is important that you comply with this timetable.

Position Holders and their Reporting Persons who do not participate in the early registration process will have the opportunity to register once the new system is live.

However, we would like to take this opportunity to remind Position Holders, with reporting obligations under DTR 5.1.2, that a TR-1 notification in relation to shares in a UK issuer admitted to trading on a regulated market, should be submitted to the FCA no later than two trading days after the date on which the threshold was crossed.

We therefore recommend that you register before you have a requirement to submit a TR-1 notification to avoid delay on submissions.

The registration process is very simple and will take no longer than 15 minutes to complete. However, your registration is subject to approval and consequently the overall process may take a number of business days to complete.



If you are already registered to use the Electronic Submission System (ESS) you do not need to complete Step 1 and can proceed immediately to Step 2.

Step 1 - How to complete the Electronic Submission System (ESS) registration

1.1 Accessing the ESS system

If you wish to submit documents securely to the FCA, you will have to first register with the **Electronic Submission System** for access.

1.2 Registering for system access

Your registration is subject to approval. You can send documents via this system only once you have been accepted as an approved user of the system.



The ESS does not accept group email addresses as it poses security risks so all individuals from your organisation who need to use the system must register individually for access.

Sharing your username and password with other users is strictly prohibited.

To register for system access, follow these simple procedures

Go to the [ESS login page](#) and click on **Register for System Access**

Electronic Submission System Login

Important Notices
Any important notices will be displayed here.

Short Selling Regime
If you are already a user of the Short Selling Regime and you have been submitting notifications by emailing the FCA, then you will have to register to use the Electronic Submission System (ESS) by clicking on this [link](#).
If you are an existing ESS user or if you have already completed registration, please login to ESS by providing your credentials below.
For issues relating to registering for an ESS user account please contact our general administrative line on 020 7066 8348 or email itaadmin@fca.org.uk
For issues relating to SSR submissions please email the Position Monitoring Unit pmu@fca.org.uk.

Login
Login to Electronic Submission System. [Need help?](#)
Username
Password
[Forgot Your Password?](#) [Register for System Access](#) [Login](#)

Data Protection:
When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

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 the EU. The FCA's [Interpretative Guide on completing our forms after the UK's withdrawal from the EU](#) Interpretative Guide on completing our forms after the UK's withdrawal from the EU does not apply during the implementation period and we have not amended our forms. Please complete forms as previously until further notice."

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Enter your registration details as required on ESS, then **Submit**

Electronic Submission System - User Registration Request

1 Please supply your Personal and Company Information Mandatory fields are denoted by an *

My Personal Information

Title *

First Name *

Last Name *

Email Address *
Your email address will be your username. Please enter an individual work email address and not a group or consolidated email address.

Confirm Email Address *

Company Information

Company Name *

Mailing Street *

Mailing City *

Mailing State/Province

Mailing Zip/Postal Code *

Mailing Country *

Contact Number *
This must be your direct line telephone number, not a switchboard number

Fax Number

[Submit](#) [Cancel](#)

When providing your registration details, please note:

- Your email address will be used as your ESS username. Once submitted, your email address cannot be changed.
- Your contact telephone number must be your direct line, not a switchboard number.
- Your company information (company address, contact number and fax) will be used on all cases where you are named as the Primary Contact.
- If you are an individual using a personal email domain address (i.e.: @hotmail, @gmail, etc) you will have to provide your full name on the "Company Name" field.



Please note – If you are an individual who will only use ESS to submit Short Selling and/or Major shareholdings notifications, and are not associated to a firm, you can register for an ESS account with a personal email domain address, e.g. @ hotmail, @gmail etc. If you do so, you will not be permitted to submit any other notification type.

Click on **I Accept** to accept the terms and conditions



Electronic Submission System

Electronic Submission System - User Registration Request

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited. Please refer to the FCA Privacy Statement [here](#).

I Accept

Cancel

Copyright © 2018 Financial Conduct Authority (FCA). All rights reserved.

When you click **I Accept**, you will see the **Registration confirmation** message and an email will be sent to your registered email address. At this point, your request is now with us for approval. Click on **OK** to complete the registration process.

Registration Confirmation

Thank you for registering for access to our Electronic Submission System. Your registration request has been submitted successfully. An email confirming your registration request has been sent out to your registered email address. If you have not received an email within 24 hours, please contact the UKLA Operational Support team on 02070668348.

OK

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You will be sent an email once the decision is taken.

If you choose **Cancel** in Step 3, the registration requests you have created will be void and no further action will be taken

1.3 Activating your ESS registration

Once we have approved your registration, an email will be sent to your registered email address. This email will confirm your username and provide a link to activate your account.

Click on the link in the email and you will be prompted to set a password when you first log in.

Change Your Password

Enter a new password for **david@bigcompanyplc.com**. Your password must have at least:

- ☐ 8 characters
- ☐ 1 uppercase letter
- ☐ 1 lowercase letter
- ☐ 1 number
- ☐ 1 special character ⓘ

* New Password

* Confirm New Password

Password was last changed on 18.04.2018 16:37.

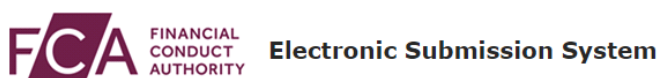
Your password must be at least 8 characters long, with a mix of uppercase, lowercase and at least one special character: !#\$%-_+=<>

1.4 If your ESS registration request is rejected

If your registration has been rejected, an email will be sent to your registered email address. If you have any queries you can call our **General administrative help desk** on the number provided in the email.

1.5 Logging in

When you log into ESS in future, you will need to enter your username and password and click on **Login**. Enter the username in lowercase.



Electronic Submission System Login

Important Notices

Login

Login to Electronic Submission System. [Need help?](#)

Username

?

Password

?

[Forgot Your Password?](#) | [Register for System Access](#)

Login

Data Protection:
When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

After 5 unsuccessful login attempts, your account will be locked for 30 minutes.

Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.

david@bigcompanyplc.com [Log Out](#)

Electronic Submission System Login

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited.

Please refer to the FCA Privacy Statement here.

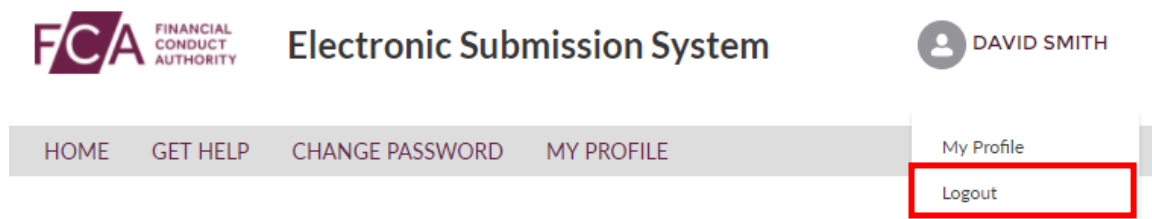
I Accept ☐

[Next](#)

You can view the FCA Privacy Statement using the on-screen link, or at <https://www.fca.org.uk/privacy>

1.6 Logging out

You can log out of the system at any time by clicking on your user name in the top right corner of the page and selecting **Logout** from the dropdown.



1.7 Help with using ESS.

If you need help or advice about using ESS then you can contact us.



You can find out more information about contacting the [ESS Portal Support Team here.](#)

Step 2 - How to complete the Major Shareholdings Registration – DTR 5

Once your ESS registration has been confirmed and you have activated your ESS account you are now able to complete Step 2 Major Shareholdings Registration – DTR 5 on ESS.

2.1 Accessing the ESS system

To begin the Step 2 registration process you will need to log into [ESS](#).

Login

Login to Electronic Submission System. [Need help?](#)

Username

?

Password

?

[Forgot Your Password?](#) | [Register for System Access](#)

Login

You will be taken to your ESS User Interface Page shown below.

Electronic Submission System

ANGELA CORNELI

[HOME](#) [CREATE NEW CASE](#) [MY ORGANISATIONS](#) [CHANGE PASSWORD](#) [GET HELP](#) [MY PROFILE](#)

My Cases

[Go](#)

☒ Case Number ☐ Organisation Name

Drafts (2)

Submitted (2)

Closed (0)

Show 10 Search in 2 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00368777	PMU	Registration for New Position Holder Firm		12/11/2020 20:13
00368776	PMU	Registration for New Position Holder Firm		12/11/2020 20:11

Prev 1 Next

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[Accessibility Statement](#)

2.2 Do you need to complete the registration process for Short Selling Regulation (SSR)?

To be able to submit a net short position notification to us on behalf of a position holder (whether a firm or an individual), the person making the notification (the reporting person) must be registered with us.

If you are making notifications for yourself as an individual, you will still need to be registered as a reporting person beforehand.

You will not be able to send any notifications until we have accepted your registration.

You can complete your Short Selling Regulation Registration at the same time as completing your DTR 5 Registration.

2.3 Selecting your DTR 5 Registration Process

Select **Create New Case** from the menu at the top of the User Interface Page.

The screenshot displays the 'Electronic Submission System' interface. At the top, a navigation bar includes links for HOME, CREATE NEW CASE (highlighted with a red box), MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. The user's name, ANGELA CORMELI, is shown in the top right corner. Below the navigation bar, there is a 'My Cases' section with a search bar and a 'Go' button. A table of cases is displayed, showing two records. The table has columns for CASE NUMBER, TEAM, CASE TYPE, ORGANISATION, and CREATED DATE. The first record has CASE NUMBER 00368777, TEAM PMU, CASE TYPE Registration for New Position Holder Firm, and CREATED DATE 12/11/2020 20:13. The second record has CASE NUMBER 00368776, TEAM PMU, CASE TYPE Registration for New Position Holder Firm, and CREATED DATE 12/11/2020 20:11. The table is paginated, showing 1 of 2 records. The footer contains copyright information for the Financial Conduct Authority (FCA) and an Accessibility Statement.

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00368777	PMU	Registration for New Position Holder Firm		12/11/2020 20:13
00368776	PMU	Registration for New Position Holder Firm		12/11/2020 20:11

This will take you to the case categories page shown below

The screenshot shows the 'Electronic Submission System' interface. At the top right, a user profile for 'ANGELA CORMELI' is visible. A navigation bar contains links: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD, GET HELP, and MY PROFILE. Below this is a 'Case Categories' section with a search bar labeled 'Search Case Category or Case Type here to create a new case'. Underneath the search bar is a 'Select Case Category' menu with four options: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY', 'ISSUER MANAGEMENT', 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', and 'NATIONAL STORAGE MECHANISM'. Each option has a right-pointing chevron. At the bottom of the page, there is a copyright notice: 'Copyright © 2020 Financial Conduct Authority (FCA). All rights reserved.' and a link to the 'Accessibility Statement'.

Select **Short Selling and or Major Shareholdings Registration Request Forms** from the **Case Category Menu**

This is a close-up of the 'Select Case Category' menu from the previous screenshot. It shows four options: 'DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY', 'ISSUER MANAGEMENT', 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', and 'NATIONAL STORAGE MECHANISM'. The third option, 'SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS', is highlighted with a red rectangular border.

You will then need to choose the appropriate case which best describes your situation, from the displayed list and then select the create case button.

- Registration for Existing Position Holder
- Registration for New Position Holder Firm
- Registration for New Position Holder Individual

You will also be able to complete your SSR: Short Selling Regulation registration process at the same time if you wish to do so.

Select Case Category

DOCUMENT VETTING, GUIDANCE AND ELIGIBILITY

ISSUER MANAGEMENT

SHORT SELLING AND/OR MAJOR SHAREHOLDINGS REGISTRATION REQUEST FORMS

Registration for Existing Position Holder

Use this option to register as a reporting person for an already registered Position Holder.

Help

Create Case

Registration for New Position Holder Firm

Use this option to register a new Position Holder that is a firm, not an individual.

Help

Create Case

Registration for New Position Holder Individual

Use this option to register a new Position Holder Individual.

Help

Create Case

NATIONAL STORAGE MECHANISM

2.4 Registration for Existing Position Holder

Use this option to register as a reporting person for an already registered Position Holder

Once you have selected the Registration for Existing Position Holder you will be taken to the Registration Overview page as shown below.

Registration for Existing Position Holder

?

Help

✓

Checklist

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	<div>Start</div>
Document Upload	<input type="radio"/> Not Started	(Yes)	<div>Start</div>

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

Registration Details

Current Status


In-Progress

Last Modified By

Angela Cormell


Back to Case

Save

 **Position Holder Details**

* Position Holder ID

* Position Holder Full Company Name

 **Reporting Person Details**

First Name

Angela

Last Name

Cormell

Full company name

FCA

Mailing Street


The Financial Conduct Authority, 12 Endeavour Square


Mailing City

London

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for Existing Position Holder

 Help

 Checklist

Case Reference Number

00368784

Case Status

Draft

Closed On

Closed By

Date/Time Opened

Friday, 13 Nov 20 13:37

Opened By

Angela Cormell

Last Submitted By


Last Submitted On

FORM


STATUS

REQUIRED


Registration Details

 Ready to Submit

(Yes)

 Edit

Document Upload

 Not Started

(Yes)

Start

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

Document Upload

Current Status

In-Progress

Last Modified By

Angela Cormell

Back to Case

Save

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

☐

SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (mandatory)
 - Certificate of Incorporation (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☐

DTR5: Disclosure Guidance and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory)
 - Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files

Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒

SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (Mandatory)
 - Certificate of Incorporation (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☒

DTR5: Disclosure and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory)
 - Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files

Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document from the drop-down menu and then select Upload File to upload the document from your computer files.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --
Certificate of Incorporation
Authorisation Document for DTR5
Authorisation Letter for SSR or Combined Request
Supporting Document
Proof of Identity

Upload Files Or drop files

mission by clicking the "Remove" button below.

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
---------------	-----------	---------	------------------------	----------

Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **Save**.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Document(s) ready for submission

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Authorisation Document for DTR5	Authorisation Document for DTR 5.docx	1	Remove	Download

Submitted Document(s)

DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD
---------------	-----------	---------	-------------------------	----------

Back to Case
Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for Existing Position Holder

[? Help](#) [✓ Checklist](#)

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	✓ Ready to Submit	(Yes)	Edit
<input type="checkbox"/> I agree terms & conditions			Submit Case

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[Accessibility Statement](#)

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for Existing Position Holder

[? Help](#) [✓ Checklist](#)

Case Reference Number

00368784

Date/Time Opened

Friday, 13 Nov 20 13:37

Case Status

Open

Opened By

Angela Cornell

Closed On

Last Submitted By

Angela Cornell

Closed By

Last Submitted On

Friday, 13 Nov 20 14:40

FORM	STATUS	REQUIRED	
Registration Details	✓ Submitted	(Yes)	View
Document Upload	✓ Submitted	(Yes)	View

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[Accessibility Statement](#)

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

2.5 Registration for New Position Holder Firm

Use this option to register a new Position Holder that is a firm, not an individual.

Once you have selected the Registration for New Position Holder Firm, you will be taken to the Registration Overview page as shown below.

Registration for New Position Holder Firm

[? Help](#) [✓ Checklist](#)

Case Reference Number

00368785

Case Status

Draft

Closed On

Closed By

Date/Time Opened

Friday, 13 Nov 20 16:03

Opened By

Angela Cornell

Last Submitted By

Last Submitted On

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	<div>Start</div>
Document Upload	<input type="radio"/> Not Started	(Yes)	<div>Start</div>

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

Position Holder Details

* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

* Mailing Street

* Mailing City

* Mailing State/Province

* Mailing ZIP/Postcode

* Country

REPORTING PERSON & CONTACT PERSON DETAILS

Contact Person

* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for New Position Holder Firm

? Help
✓ Checklist

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	Start
Document Upload	<input type="radio"/> Not Started	(Yes)	Start

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box. You should then upload the mandatory **Authorisation Document for DTR 5** and you have the option to upload **Any other additional supporting documents**.

Document Upload

Current Status	In-Progress	Last Modified By	Angela Cornell
----------------	-------------	------------------	----------------

Back to Case
Save

Please tick the box for the regime you wish to be registered in. If you wish to register for both SSR and DTR 5, please tick the boxes below and provide the documents required.

☐ **SSR: Short Selling Regulation**
You will require the following documents
- Authorisation Letter (mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☐ **DTR5: Disclosure Guidance and Transparency Rules, Chapter 5**
You will require the following documents
- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration
Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *
1. Select Document Type
-- None --
Upload Files
Or drop files

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (Mandatory)
- Certificate of Incorporation (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☒

DTR5: Disclosure and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory)
- Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files

Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

To upload the documents, you will need to select the type of document from the drop-down menu and then select Upload File to upload the document from your computer files.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --
Certificate of Incorporation
Authorisation Document for DTR5
Authorisation Letter for SSR or Combined Request
Supporting Document
Proof of Identity

Upload Files

Or drop files

mission by clicking the "Remove" button below.

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD

Once the file upload is completed the document(s) will be displayed in the section marked **Document(s) ready for submission**. If a document has been uploaded in error you can remove the file by clicking on the **Remove** button. Once you have uploaded all the necessary documents you need to select **Save**.

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

Upload Files
Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the **"Remove"** button below.

Document(s) ready for submission				
DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
Authorisation Document for DTR5	Authorisation Document for DTR 5.docx	1	Remove	Download

Submitted Document(s)				
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

Back to Case
Save

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for New Position Holder Firm

? Help
✓ Checklist

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	✓ Ready to Submit	(Yes)	Edit

☒ I agree terms & conditions
Submit Case

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for New Position Holder Firm

[? Help](#)
[✓ Checklist](#)

Case Reference Number	00368786	Date/Time Opened	Friday, 13 Nov 20 20:48
Case Status	Open	Opened By	Angela Cormell
Closed On		Last Submitted By	Angela Cormell
Closed By		Last Submitted On	Friday, 13 Nov 20 20:52

FORM	STATUS	REQUIRED	
Registration Details	✓ Submitted	(Yes)	View
Document Upload	✓ Submitted	(Yes)	View

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

2.6 Registration for New Position Holder Individual

Use this option to register a new Position Holder individual.

Once you have selected the Registration for New Position Holder Individual you will see the following advisory information has shown below. The box headed up 'Before you start' sets out the documents you will need to upload to ESS in order to complete the registration. For clarification, the advice is detailed below.

For short selling only:

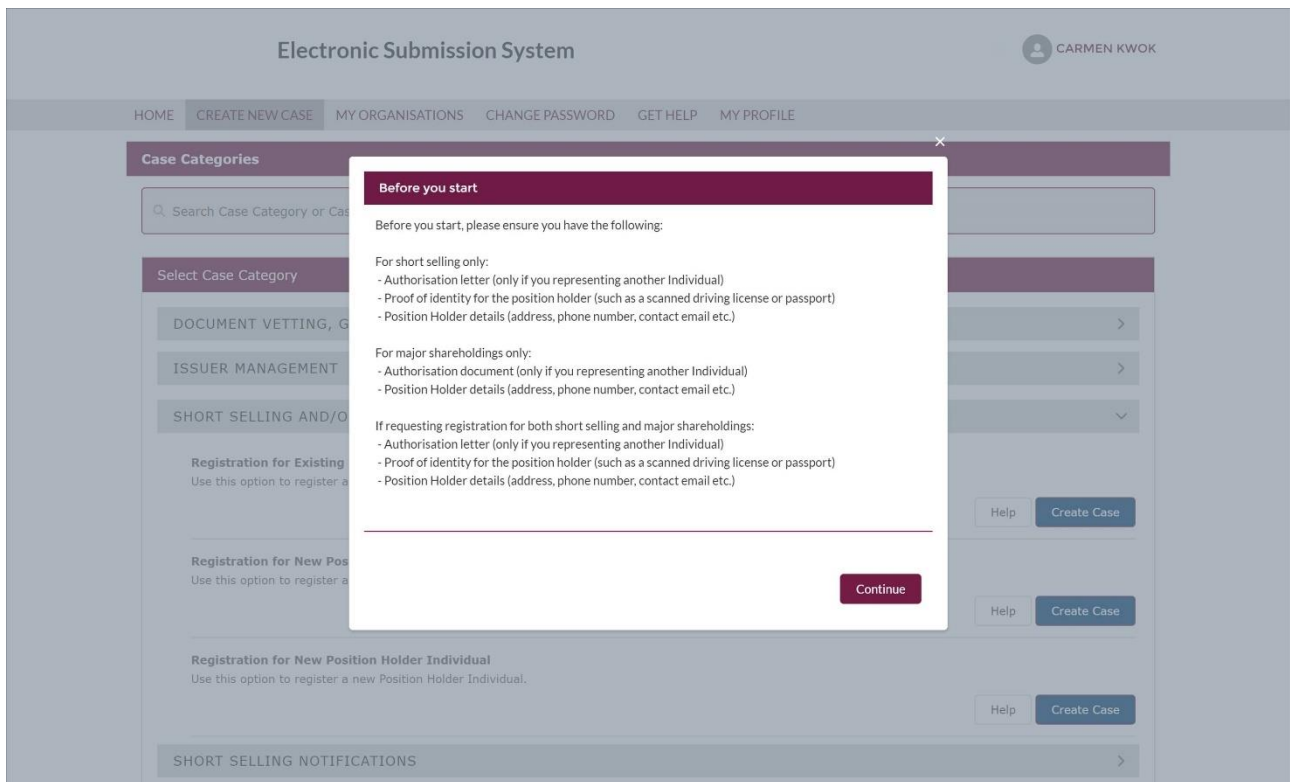
- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)

For major shareholdings only:

- Authorisation document (only if you are representing another Individual)
- Position Holder details (address, phone number, contact email etc.)

If requesting registration for both short selling and major shareholdings:

- Authorisation letter (only if you are representing another Individual)
- Proof of identity for the position holder (such as a scanned driving license or passport)
- Position Holder details (address, phone number, contact email etc.)



Once you have select **Continue** you will be taken to the Registration Overview page as shown below.

Registration for New Position Holder Individual

? Help ✓ Checklist

Case Reference Number	00368787	Date/Time Opened	Friday, 13 Nov 20 20:59
Case Status	Draft	Opened By	Angela Cormell
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	Start
Document Upload	<input type="radio"/> Not Started	(Yes)	Start

From the overview screen please select **Start** to begin the Registration Details.

The Registration Details screen will be displayed. Please provide the necessary information **Position Holder, Contact Person** and **Reporting Person Details** and then select **Save** at the bottom of the screen. You will receive a 'success' message which appears at the top of the screen to confirm that the information has been successfully added to the system.

N.B Although the displayed proforma asks you to enter the full company name when registering as an individual please enter your personal details.

 **Position Holder Details**

If Request is for New Position Holder Individual, Please enter Individual Full name

Full company name

1

BIC

 **Position Holder Details**

* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

* Mailing Street

* Mailing City

* Mailing State/Province

* Mailing ZIP/Postcode

* Country

REPORTING PERSON & CONTACT PERSON DETAILS

 **Contact Person**

* Is contact person different from reporting person?

You will be returned to the Overview Screen, as shown below. It is now time to complete the Document Upload and you will need to select **Start** to begin the process.

Registration for New Position Holder Individual

[? Help](#)
[✓ Checklist](#)

Case Reference Number

00368788

Date/Time Opened

Friday, 13 Nov 20 21:01

Case Status

Draft

Opened By

Angela Cornell

Closed On

Last Submitted By

Closed By

Last Submitted On

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	○ Not Started	(Yes)	Start

The Document Upload screen will be displayed. Please tick the DTR 5: Disclosure Guidance and Transparency Rules, Chapter 5 box.

Document Upload

Current Status

In-Progress

Last Modified By

Carmen Kwok

[Back to Case](#)
[Save](#)

☐

SSR: Short Selling Regulation

You will require the following documents

- Authorisation Letter (mandatory if you are representing another individual)
- Proof of Identity (mandatory for a new Position Holder)
- Any other supporting documents (optional)

☐

DTR5: Disclosure and Transparency Rules, Chapter 5

You will require the following documents

- Authorisation Document for DTR5 (mandatory if you are representing another individual)
- Any other supporting documents (optional)

Attach Document(s) for Registration

Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
A file name cannot contain any of the following characters > : " / \ | ? *

1. Select Document Type

-- None --

[Upload Files](#)
Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the **"Remove"** button below.

Document(s) ready for submission				
DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD

Submitted Document(s)				
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

If you also wish to register for SSR: Short Selling Regulation then please tick both boxes as shown below and upload the necessary documentation.

The documents you upload here pertain to the PH ID entered in the Registration Details section. After uploading the documents, if you change the PH ID, these documents will be deleted and you will be required to upload documents pertaining to the updated PH ID.

☒
SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (Mandatory)
 - Certificate of Incorporation (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☒
DTR5: Disclosure and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory)
 - Any other supporting documents (optional)

Attach Document(s) for Registration
 Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *
 1. Select Document Type

-- None --

Upload Files
 Or drop files

If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.

Please bear in mind that the Authorisation Document for DTR5 is mandatory only if you are a Reporting Person registering on behalf of an existing or new Position Holder Firm or on behalf of a Position Holder Individual. If you are a Position Holder Individual registering as a Reporting Person for yourself, no Authorisation Document for DTR 5 will be required.

The Authorisation Document could be any kind of document (i.e.: letter or email) from the Position Holder Firm or Individual confirming that the Reporting Person will have the authority to submit Major shareholdings notifications on their behalf.

Document Upload

Current Status

In-Progress

Last Modified By

Carmen Kwok

Back to Case

Save

☐
SSR: Short Selling Regulation
 You will require the following documents
 - Authorisation Letter (mandatory if you are representing another individual)
 - Proof of Identity (mandatory for a new Position Holder)
 - Any other supporting documents (optional)

☐
DTR5: Disclosure and Transparency Rules, Chapter 5
 You will require the following documents
 - Authorisation Document for DTR5 (mandatory if you are representing another individual)
 - Any other supporting documents (optional)

Attach Document(s) for Registration
 Please select at least one Document to add to your case. Valid file types are: *.doc;*.docx;*.pdf;*.jpeg;*.jpg;
 A file name cannot contain any of the following characters > : " / \ | ? *
 1. Select Document Type

-- None --

Upload Files
 Or drop files

Proof of Identity

Supporting Document for new PH Individual

DOCUMENT TYPE

FILE NAME

VERSION

REMOVE FROM SUBMISSION

DOWNLOAD

Submitted Document(s)

You will be returned to the overview screen and you will need to tick the **I agree terms & conditions** to acknowledge your acceptance.

You can view the terms & conditions by clicking on the red text.

Registration for New Position Holder Individual

[? Help](#) [✓ Checklist](#)

Case Reference Number	00368788	Date/Time Opened	Friday, 13 Nov 20 21:01
Case Status	Draft	Opened By	Angela Cornell
Closed On		Last Submitted By	
Closed By		Last Submitted On	



FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	Edit
Document Upload	✓ Ready to Submit	(Yes)	Edit

☒ I agree terms & conditions

Submit Case

If everything is as expected and correct you will receive a confirmation pop-up message which appears at the top of the screen. If you need to correct any discrepancies you will receive an error pop-up message. The pop-up message will describe what needs to be corrected so that registration can be completed.

Once all the information and documentation has been successfully added to the system you will see the following screen.

Registration for New Position Holder Individual			
		? Help ✓ Checklist	
Case Reference Number	00368788	Date/Time Opened	Friday, 13 Nov 20 21:01
Case Status	Open	Opened By	Angela Cormell
Closed On		Last Submitted By	Angela Cormell
Closed By		Last Submitted On	Friday, 13 Nov 20 21:14
FORM	STATUS	REQUIRED	
Registration Details	 Submitted	(Yes)	View
Document Upload	 Submitted	(Yes)	View

A **Registration Confirmation email** will be sent to your registered email address. At this point, your request is now with the FCA for approval. Once we have approved your registration, an email will be sent to your registered email address to confirm that the registration process has been completed.

Your DTR 5 Registration is now complete.

Help & Support

If you require assistance with any aspect of the registration process please send your email as follows.



For Queries on Step 1 Registration on ESS– Please contact the Operational Support team on:

- **020 7066 8348**
- **LTadmin@fca.org.uk**

For Step 2 Registration on DTR 5 Portal – Please email PMU@fca.org.uk

For Step 2 SSR Registration – Please email PMU@fca.org.uk

