

Financial Services Register Extract Service Subscribers' Handbook

October 2024

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What's new in this version

<i>Section</i>	<i>What's new since the previous version (May 2024)?</i>
Current fees	Removed section referring to SDM fees for customisation (no longer offered)
Subscription process	Updated to clarify that payment must be received before access to the data is granted
PSD/EMD firms	Split PSD/EMD Agent status into 2 separate fields
Spectrum Data Management	Updated contact email address
Lookup values / Current authorisation status	Updated with new values
Lookup values / Sub-status	Updated with new values

1 Introduction

Who is this handbook for?

- People who are interested in learning about how they can get access to data from the Financial Services Register (<https://register.fca.org.uk>)
- Subscribers who want the most recent information about how the service works and how much it costs
- Teams who are responsible for managing their organisation's use of the data contained in the service

Subscribers' Handbook

1.1 This handbook:

- provides an overview of the Financial Services Register (FS Register) as the context for the Register Extract Service (RES)
- explains what data is available, the format and how frequently you can get it
- tells you how you can subscribe to the RES and explains the related fees and charges
- contains a detailed technical specification for the RES files
- provides a list of frequently asked questions (FAQs)

1.2 Subscribers will be notified of updates to this handbook, and the up-to-date handbook will be available on the [FCA website \(https://www.fca.org.uk/firms/financial-services-register/data-extract\)](https://www.fca.org.uk/firms/financial-services-register/data-extract).

The Financial Services Register (FS Register)

1.3 In the UK, nearly all firms and individuals who engage in financial services activities must be authorised by the FCA. You can search the FS Register for firms and individuals, and the activities firms have permissions for.

1.4 The FS Register is an online public record of firms, individuals and other bodies that are, or have been, regulated by the PRA and/or FCA. It includes information on the firms that are or have been:

- authorised by us
- registered with us to conduct regulated activities, or
- providing certain regulated products or services in the UK

1.5 The FS Register also allows users to search for businesses that are or have been registered with the FCA under FSMA, the Money Laundering Regulations 2007, the Payment Services Regulations 2009, and the Electronic Money Regulations 2011.

1.6 Access to the [online FS Register \(https://register.fca.org.uk\)](https://register.fca.org.uk) is free.

The Register Extract Service (RES)

- 1.7 The Freedom of Information Act (FOIA) and statutory instruments require us to publish and maintain a publication scheme. This must set out the types of information we publish, the way it's published and whether we charge for providing it.
- 1.8 The RES forms part of the FCA's Publication Scheme, which has been compiled in line with our obligations under the Freedom of Information Act 2000. For more information on our publication scheme, you can visit <https://www.fca.org.uk/freedom-information/fca-publication-scheme>.
- 1.9 While the FS Register and Register API displays information about a single entity at a time, the RES offers most (although not all) of the information from the FS Register as a series of files.
- 1.10 For a fee, subscribers to the RES can select to receive either **Firms** data or **Firms and Individuals** data on a weekly, monthly or one-off basis.

Information available through the Register Extract Service

- 1.11 Most information that is available within the FS Register is also available within the RES, and there are some additional fields that are only available in the RES. For full details on what fields are included, see section **File structure and content** on page 15.
- 1.12 The following records / fields are not included within the RES:
 - Exempt Professional Firms
 - Directory of certified and assessed persons (including memberships of professional organisations)
 - Email addresses or websites (even where these may appear on the Register)
 - Individual former names
 - Firm complaints contacts
 - Waivers, discretions and exclusions
 - Disciplinary and regulatory action records pertaining to individuals
 - Unauthorised Firms (i.e. Scam firms, clone firms)
 - Fund information (apart from information relating to Collective Investment Schemes)
 - Exchanges
 - UK-registered AIFMs
 - For Appointed representative/Agent relationships:
 - Insurance Distribution, Tied Agent, EEA Tied Agent, AR Relationship (i.e. Full/Introducer AR)

Register API

- 1.13 The FCA offers a free API (currently in BETA) to access data from the FS Register programmatically. This is a separate service to the RES.
- 1.14 You can register for the API at <https://register.fca.org.uk/Developer/s/> by clicking on the **[Register to be a New User](#)** link.

- 1.15 Registering as an API user will give you access to the API portal which provides more detail on what is available via the API, and the available endpoints.
- 1.16 The current version of the API has not been designed for bulk querying, and you can only return information on a single entity (e.g. a single regulated firm or individual) at a time.
- 1.17 The API is currently rate limited to 50 requests per 10 seconds.
- 1.18 We do not offer any “premium” versions of the API, nor the ability to raise the limits referred to above.
- 1.19 For any technical support queries relating to the API, please contact registerapisupport@fca.org.uk.

Contact us

- 1.20 For enquiries about the contents of the RES or subscription details, please contact:

The Register Extract Service (RES)
Financial Conduct Authority
Register Team
Authorisations
12 Endeavour Square
Stratford
London E20 1JN

data.extract@fca.org.uk

2 Subscription options

Extract types

- 2.1 The Register Extract Service is made up of 2 main data sets: the **Firms** data set and the **Individuals** data set.
- 2.2 You can select to receive just the **Firms** dataset, or, for an additional fee, you can receive the **Individuals** data set as well. The table below details what files you can expect to receive based on the extract type you decide to purchase.

- Please note: the Individuals data set is not sold on its own.

<i>Data file</i>	<i>Firms only</i>	<i>Firms and Individuals</i>
Firm authorisation		

Data file	Firms only	Firms and Individuals
Activity permissions	✓	✓
Alternative firm names	✓	✓
Appointed representatives	✓	✓
Collective investment schemes	✓	✓
Firm regulators	✓	✓
Firm disciplinary history	✓	✓
Passports	✓	✓
Payment Services Directive (PSD) & E-money firms	✓	✓
PSD Firm Names	✓	✓
PSD Activities	✓	✓
PSD Agents	✓	✓
Requirements	✓	✓
Limitations	✓	✓
Firm Disciplinary History	✓	✓
Register notices	✓	✓
Individuals		✓
Involvements		✓

Frequency of data extracts

- 2.3 The RES offers a subscription service on a weekly or monthly basis, or you can obtain a one-off extract.

Delivery

- 2.4 The data is provided by Spectrum Data Management Limited (SDM) on our behalf. SDM make the RES available via an online portal that they manage.
- 2.5 Weekly subscribers will be able to access their data every Friday (excluding Bank Holidays).
- 2.6 Monthly subscribers will be able to access their data on the first Friday of the month (excluding Bank Holidays).
- 2.7 When the usual distribution day (Friday) is a Bank Holiday, the RES will typically be distributed in the weekday preceding the Bank Holiday.
- 2.8 See section 3, **Spectrum Data Management** for further details.

How you can use the data

- 2.9 The licence fee is calculated according to how you use the data. We categorise this using the following bands:

Compliance use

- 2.10 This band will be relevant to subscribers from **regulated** firms who want to use the data for compliance purposes in terms of carrying out **their own** FCA/Prudential Regulation Authority (PRA) regulated activities.

- This band excludes firms who provide compliance services for other firms. Firms wishing to purchase this licence can only use it for the benefit of a single regulated entity.

- 2.11 If you intend to use the extract for commercial gain and/or for the benefit of any entity separate to the subscribing entity, then you must choose one of the other options below.
- 2.12 Firms selecting this licence type must provide the FRN of the regulated entity that will be using the service, and the subscriber agreement must be in the name of that entity.

Other: own business

- 2.13 This band will be relevant to subscribers who want to use the data for other activities (outside the compliance purposes detailed above), including research, academic studies and any other non-compliance reasons related to normal business e.g. statistical/trend analysis.

Re-sale use

- 2.14 This usage band is for organisations who wish to sell all or part of the data, either by itself, or as part of an enhanced dataset or product, where the function of that product is exclusively:
- to help users to establish if entities are FCA regulated **and**
 - to fulfil their statutory obligations arising from relationships with these entities
- 2.15 Note that this option is charged at the same rate as **Other: Own Business** but has additional obligations as part of your agreement with us, including only distributing any derivative product under a strict licence of use.

Fees

Charging model

- 2.16 The subscription year runs from April to March the following year. FCA invoices are issued in April for the new subscription year.
- 2.17 The cost of subscribing to the RES will depend on:

- What data you wish to receive
- How you use the data
- How often you wish to receive it

- 2.18 In accordance with the terms of the subscriber agreement, subscriptions will automatically be renewed each subscription year, unless cancelled in accordance with our notice period (two months). **This does not apply to one-off subscriptions.**
- 2.19 If you subscribe part of the way through a year, the fee we charge will be pro-rated according to the date your subscription goes live. You will be charged for the entire month if your subscription goes live part way through a month.
- 2.20 You will be invoiced separately by both the FCA (who provide the data), and SDM (who provide access to the data).
- 2.21 When subscribing for the first time, you will be required to pay your subscription fee in advance of receiving access to the data.

- Fees must be paid in full within 30 days of the invoice date.

Changes to fees

- 2.22 The FCA will inform subscribers of any price changes at least two months in advance of the new subscription year, as set out in the terms of agreement.

Current fees

- 2.23 The annual FCA fees listed below were correct as of 01 April 2024. These figures are exclusive of VAT:

Usage	Frequency		
	Weekly	Monthly	One-off
Firm data only			
<i>Compliance purposes</i>	£2,599	£1,444	<i>Not offered</i>
<i>Commercial re-use/Other: own business</i>	£9,445	£7,219	£6,012
Firms & Individuals			
<i>Compliance purposes</i>	£8,663	£5,408	<i>Not offered</i>
<i>Commercial re-use/Other: own business</i>	£17,840	£13,514	£11,025

- 2.24 SDM currently charge:

- £1,814.40 plus VAT per annum for the firms' weekly download
- £1,128.33 plus VAT per annum for the firms' monthly download
- £100 plus VAT for one-off extracts (of any kind)

These fees are applied pro rata, depending on when the order is made.

- 2.25 For the individuals' data, SDM charge an additional £226.80 plus VAT for weekly and monthly downloads.
- 2.26 For example, for firms' data on a weekly basis, used for compliance purposes, **£1,814.40** is payable to SDM and **£2,599** is payable to the FCA, giving a total charge of **£4,413.40 plus VAT** per annum.
- 2.27 Please email us at data.extract@fca.org.uk to request the Register Extract order form and a list of the current fees.

3 Spectrum Data Management

Overview

- 3.1 Spectrum Data Management (SDM) is a distributor of RES data on behalf of the FCA. They provide an online download service and interrogation facilities for the data on our behalf.
- 3.2 Full details of their service can be obtained via SDM's website (<https://www.sdm.co.uk>) or you can contact SDM at:

Spectrum Data Management Limited
2nd Floor
130 Shaftesbury Avenue
London
W1D 5AR

✉ Ben Chun (ben.chun@finova.tech)

- 3.3 Fees for services provided by SDM are paid directly to them, as this service does not form part of the FCA's service to RES subscribers. Note that SDM fees are **in addition** to the licence fee payable to the FCA.

Frequently asked questions about SDM

What are SDM's fees?

- 3.4 See our **Fees** section on page 9 for details on what fees apply

Is there a way I can download the data automatically?

- 3.5 Yes, automation is possible using an HTTP script. Please contact SDM directly and they will guide you through the procedure.

Can the extracts be opened, downloaded or viewed by more than one person in the firm?

- 3.6 Yes, please contact SDM directly for more information.

4 Subscription process

New subscribers

- 4.1 The illustration below highlights the stages of the subscription process for a new subscriber.



Complete order form

- 4.2 You can get a copy of the latest order form from data.extract@fca.org.uk. On this form, you let us know what kind of subscription you want, and who the key contacts for the subscription are.
- 4.3 We collect the name and email address of the contacts you provide to:
- ensure you are kept up to date with changes that affect the service
 - send payment reminders
 - request you sign an updated version of the subscriber agreement when the terms and conditions change
 - confirm details relating to your subscription or organisation if we believe these may have changed

Sign & return agreement

- 4.4 Once we have your completed order form, we send you our standard subscriber agreement for your review and signature
- 4.5 After we receive a signed copy from you, we return a counter-signed copy for your records.
- 4.6 Note that we will not make any bespoke amendments to the subscriber agreement.

Invoice raised and sent

- 4.7 Upon receipt of the signed agreement, we will ask our finance team to issue an invoice to you.
- 4.8 Our terms are **30 days**.

Payment received

- 4.9 We must receive payment in full before you will be granted access to the data.

Subscription goes live

- 4.10 As the final stage of the subscription process, once the invoice has been paid we will ask SDM to activate your account.
- 4.11 You will be included on the distribution list for the next extract production date, which will depend on whether you are a monthly or weekly subscriber:
- Weekly extracts will be available each Friday via SDM's download portal
 - Monthly extracts will be available on the first Friday of each month via SDM's download portal.

Renewals, changes and cancellations

- 4.12 Except for one-off subscriptions, under the terms of the subscriber agreement, **subscriptions will automatically roll over to the next subscription year**, unless we are advised otherwise by the subscriber.
- 4.13 We will not issue a new subscriber agreement every year. We typically only issue new agreements if your details or subscription have changed, or we are updating our terms and conditions.
- 4.14 There is a **two-month notice period for cancellations or amendments to your subscription**.
- 4.15 Renewal reminders are sent out in December by email. Subscribers wishing to **change** or **cancel** their subscription should let us know in writing no later than the end of January.
- 4.16 Invoices for the new subscription year are issued in April.



Key dates

April

Beginning of subscription year (1st)
Invoices issued

May

Invoices due

December

Renewal reminders

January

Deadline for changes/cancellations to take effect in April (31st)

Making payments

- 4.17 When subscribing for the first time, your initial invoice will be sent to you via email. Your invoice will include information on payment methods, including:
- Direct Debit
 - Online payments
 - Electronic Payments (e.g. BACS/CHAPS/Faster payments)
 - By post/cheque
- 4.18 When your subscription renews, you will **only** receive an invoice via email if you have signed up to the FCA's online invoicing portal. Contact data.extract@fca.org.uk for more details on how to register your subscriber account for this service.
- 4.19 If you have not signed up for online invoicing, your invoice will be sent to the postal address we have on file for you. We will not manually email invoices upon request.
- 4.20 If you wish for us to include a purchase order number on your invoice, please let us know the details **by the end of February**.
- 4.21 Our payment terms are 30 days. If we do not receive payment in this time, your subscription will be put on hold, and you may be charged interest.

5 Support and change management

Support

- 5.1 The RES has a dedicated mailbox for queries related to the service: data.extract@fca.org.uk, and we aim to respond to queries within two working days.
- 5.2 We can support you with general queries about the service and questions you may have about the content of the files.
- 5.3 We cannot:
- provide you with advice or guidance on how to interpret regulatory data
 - update records to add or remove special characters to support your data ingestion processes
 - resolve questions relating to the delivery of the files. For matters related to delivery, please contact helpdesk@sdm.co.uk in the first instance
- 5.4 We do not offer telephone support for this service.

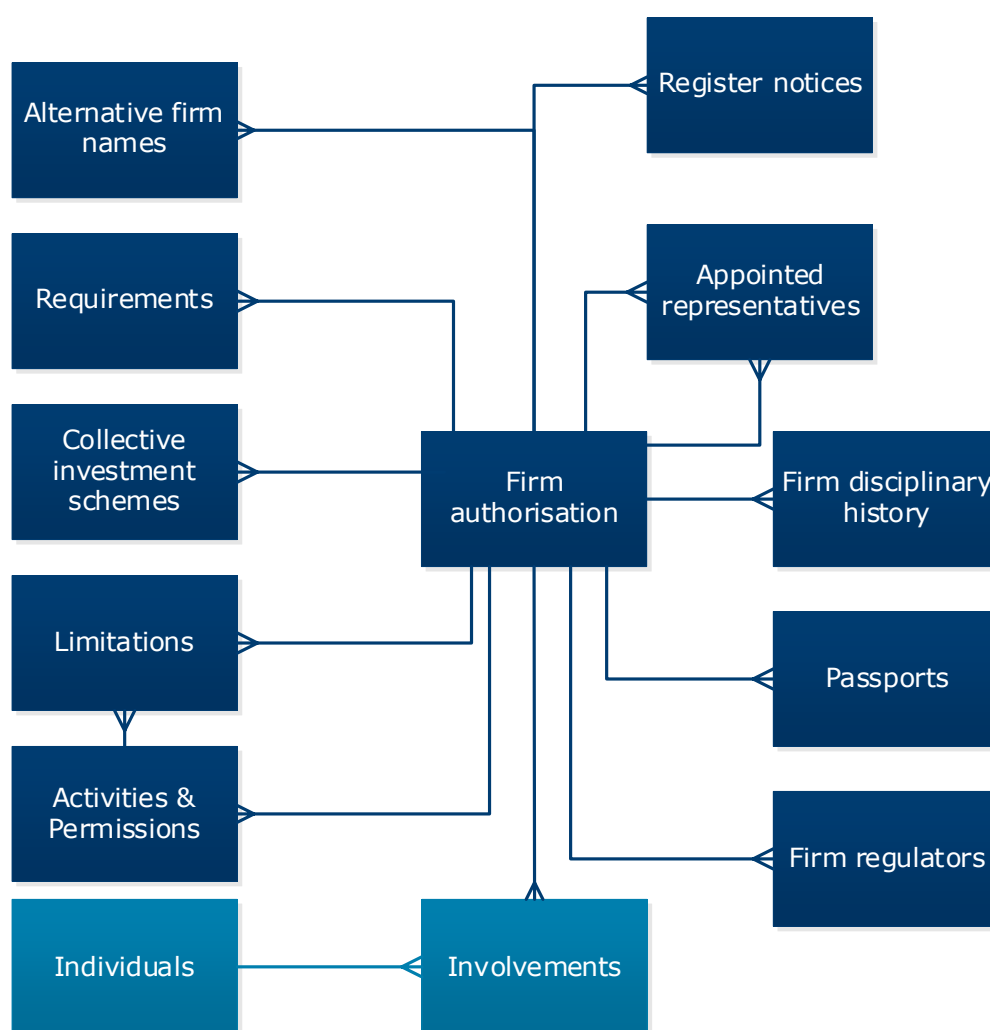
Change management

- 5.5 We often need to make changes to content and/or structure of the data we make available to you.
- 5.6 This is usually because of regulatory change affecting the information we need to make available on the Register.

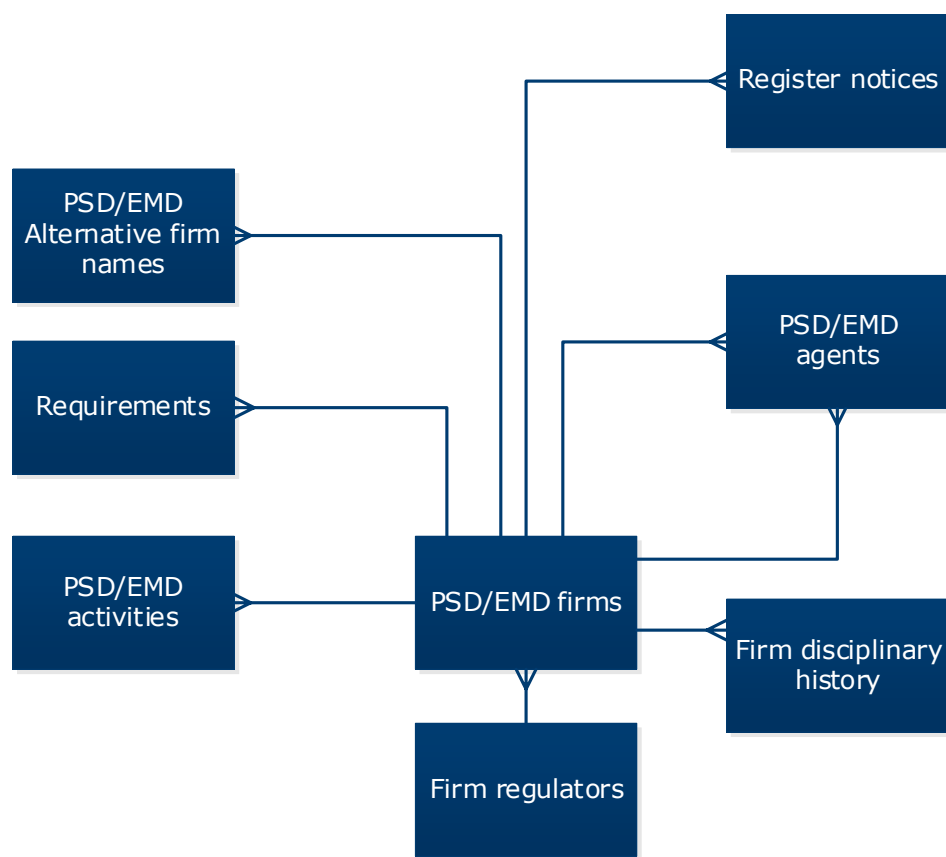
- 5.7 When we become aware of a change that will impact the service, we aim to give at least two months' notice so you have time to update any processes that may be affected.
- 5.8 We will provide notice via email, so it is important that you keep your contact details with us up to date.
- 5.9 We are not currently able to offer test versions of files before they go live.

6 File structure and content

Relationship map – FSMA firms



Relationship map – PSD firms



File details

Sample

- 6.1 The table below shows a sample – using anonymised data - of how the file content appears. This is an example of the **Firm authorisation** file...you can see the specification for this file on page 18.

Header	Firm Authorisation	20220323	1236
101150	Amcykgo Bmuflo	Limited	Regulated
1JN	+44	2071111111	No longer authorised
20201112	20060714	AMCYKGOBMUFLO	20210921
141161	11111111	11111111	11111111
95772	Vubirrfb Nrzur Acxjvbk	Sole Trader	Appointed Representative
12	Endeavour Square	111	London
E20	1JN	+44	2071111111
No longer registered as an Appointed Representative	20061023	VUBIRRFBNRZURACXJVBK	20201121
182711	Former	20070614	MLRs
Registered	20201014	1111	1111
205339	Dsvsgelwh Vwzt Kisur Cnugjydlr Uursqe	Partnership	Introducer A.R.
12	Endeavour Square	111	London
E20	1JN	+44	2071111111
Appointed representative - introducer	20200901	DSVSGELWHVWZTKISURCNUGJYDLRUURSQE	20200923
128951	111	MLRs Registered	20210604
1111	108736	Srvswwlve Wmbcsl Kzfycbk Uomajfbf	Limited
Regulated	Not hold and not control client money	12	Endeavour Square
111	London	E20	1JN
+44	2071111111	No longer authorised	20180323
20161003	SRVSWWLVEWMBCSLKZFYCBKUOMAJFBF	20210921	66979
11111111	57053	Aezxsajw Rxfupmacyu Kcoyliych Chruudyxu Houxbjtgyx	Limited
Appointed Representative	12	Endeavour	

Square| || |London| |E20 1JN|+44|2071111111|No longer registered as an Appointed Representative|20101201| |AEZXZSAJWRXFUPMACYUKCOYLIYCHCHRUUDYXUHOXBXTGXY|20210208|69126|Former|20210208| || || || ||

118876|Uaqzkwoxrx Aomuzb Sgmjts|Company Limited by Guarantee with No Share Capital|Introducer A.R. |12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Appointed representative - introducer|20161206| |UAQZKWOXRXAOMUZBSGMJTS|20220228|6654| |Formerly MLRs Registered|20201026| || || |92446|Nezixvub Cratg Uffqypymr Yktmqoey Ubbiuqcm|Partnership|Introducer A.R. |12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|No longer registered as an Appointed Representative|20071008| |NEZIXVUPBCRATGUFFQYPYPMRYKTMQOEYUBBIUQCM|20201014|168021|Former|20100607| || || |

99127|Vjlnuh Iejjyynre|Limited|Introducer A.R. |12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Appointed representative - introducer|20151120| |VJLNUHIEJJYYNRE|20201121|47585| |MLRs Registered|20211120| || || |220525|Juwxsot Yoxrw Oxqaloke|Limited|Regulated|Not hold and not control client money|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Authorised|20161125|20161125|JUWXSOTYOXRWOXQALOKE|20220201|20239| |Registration Revoked|20211205| || || |

161494|Gfcyh Pevtm|Sole Trader|Appointed Representative|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|No longer registered as an Appointed Representative|20100817| |GFCYHPEVTVM|20201121|189347|Former|20110506| || || || |

176317|Rasdvc Bacweddd|Partnership|CBTL|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Registered|20240409| |RASDVCIBACWEDDD|20201221| || || |Registered|20231227| || |

113722|Bqoiuu Mcadw|Partnership|CBTL|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Registered|20220314| |BQOIUUMCADW|20201111| || || |No longer Registered|20220314|20230401| || |

129813|Gczxx Bkkkow & Co|Sole Trader|Supervised for anti-money laundering purposes only|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Registered|20031021| |GCZXXBKKKOWCO|20201012| || || || |3MLD Registered|20220831|

116122|Mcasdsf Padlic & Cccxlwe Limited|Limited|Supervised for anti-money laundering purposes only|12 Endeavour Square| || |London| |E20 1JN|+44|2071111111|Registered|20011101| |MCASDSFPADLICCCXLWELIMITED|20201021|1149225| || || || |Formerly 3MLD Registered|20210506|

Footer|14|

Headers and footers

- 6.2 There are no field names contained within the files. Instead, each file has a Header specifying the filename, date, and time of production. Each file is terminated by a footer specifying the row count (excluding the header and footer).

Encoding and delimiters

- 6.3 The files are text files encoded in UTF-8 and are delimited using the pipe character - "|". There is a delimiter at the end of each row, and lines are terminated using the Windows/DOS line ending ([CR][LF]). If a field includes the pipe character, where possible, the entire field in that record will be enclosed with double quotation marks.

Special characters

- 6.4 Note that it is likely that some fields will contain characters that some systems use for special purposes, such as quotation marks (""). We do not escape these characters, nor will we remove them, as to do so would be to alter the accuracy of the file.
- 6.5 For firm names, it is valid for the firm name to contain a range of punctuation, including speech marks. For more detail on what characters are permissible in a firm name (according to UK legislation), you may refer to:

<https://www.legislation.gov.uk/uksi/2015/17/regulation/2>
<https://www.legislation.gov.uk/uksi/2015/17/schedule/1/made>

Data validation

- 6.6 We will not correct a record to match data validations you may have put in place in your systems, unless the affected field is not meeting a specified format and/or value range in the **File structure** as defined below.

File structure

Firm authorisation

- 6.7 This file contains the name, address and current status of firms on the FS Register. Dates of first authorisation and of the current status are also included. A sort key, based on the name and with all spaces and punctuation removed, is included to aid name searching.
- 6.8 The file contains entries of firms that have ceased to be authorised. It is important to check the status to confirm authorisation. This file also includes the basic details of all appointed representative firms. Details of their current appointments (if any) will be in the appointed representatives' file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	18	Value 'Firm Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Authorisation Data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Registered firm name	String	255	
Firm legal status type	String	255	Blank or value from Firm legal status type on page 38
Firm type	String	255	Blank or value from Firm types on page 39
Authority to hold client money	String	255	Blank or value from Authority to hold client money on page 39
Principal address line 1	String	80	

Name	Type	Max length	Notes
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Town	String	80	
County	String	80	
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	
Current authorisation status	String	255	Value from Current authorisation status on page 39
Date status last changed	Date	8	YYYYMMDD
Date first authorised by regulator	Date	8	YYYYMMDD
Sort key	String	255	
Last update date	Date	8	YYYYMMDD
Companies House registration number	String	20	
Sub-status (current)	String	255	Blank or value from Sub-status on page 40
Sub-status effective date	Date	8	YYYYMMDD
MLRs status	String	255	Blank or value from MLRs Status on page 41
MLRs status effective date	Date	8	YYYYMMDD
CBTL Status	String	255	Blank or value from CBTL Status on page 41
CBTL effective date	Date	8	YYYYMMDD

Name	Type	Max length	Notes
CBTL end date	Date	8	YYYYMMDD
3MLD Status	String	255	Blank or value from 3MLD Status on page 41
3MLD Status effective date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Firm activities & permissions

- 6.9 This file contains **regulated** activities (e.g. the type of financial services) that authorised firms on the authorisation file are permitted to provide.
- 6.10 This file also contains some activities that are **not** regulated. The FCA is required to display some information related to certain non-regulated activities.
- 6.11 An activity may be restricted in three ways:
- The activity may be approved only for a specific customer type
 - The activity may be limited to specific types of investments/products and/or
 - A specific limitation may be applied. You can find details of these in the **Limitations** file. Similarly, a requirement can be placed on the firm's permission as a whole, which can be found in the **Requirements** file.
- 6.12 Within each activity, firms are authorised to deal with various customer types and various investment types. The customer and investments may vary within any activity. Therefore, the date that an activity became authorised could be different to the authorised date for a particular customer or investment type. Indeed, the status may be different. For this reason, there may be several records for each activity.
- 6.13 There will be one record specifically for the activity, giving its status (if applicable) and effective date. There may be further records for each customer type in relation to that activity, giving the status and status date for that 'channel', as well as further records for each investment type within the activity. There is no correlation between investment type and customer type. All authorised investment types can be handled with all authorised customer types within the same activity. This file should be used in conjunction with the authorisation file, using the firm reference as the key.
- 6.14 These records are removed after they cease to be current.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Permission'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Permission Data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Activity name	String	80	See Firm activity & permissions on page 41
Activity category name	String	80	See Firm activity & permissions on page 41
Investment type	String	80	Blank or value from Investment Types (Firm activity & permissions) on page 54
Customer type	String	80	Blank or value from Customer Type on page 46
Status	String	80	Blank or 'Authorised'
Effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Alternative firm names

- 6.15 This file contains trading names that a firm in the authorisation file is known to use or has used in the past, and historical registered names. Not all historical data may be present.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Alternative Firm Name'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Alternative firm name data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Alternative name	String	255	
Alternative name type	String	255	See Alternative Name Type on page 46
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	String	255	
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Appointed representatives

- 6.16 This file provides the link between an appointed representative record (in the authorisations file) and its principal firm(s) (also in the authorisations file).

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Appointment'

Name	Type	Max length	Notes
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

Appointment Data

Appointed representative firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Principal firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Relationship status	String	255	'Active' or 'Inactive'
Status effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
EMPTY COLUMN	Boolean	10	Legacy column, to be removed in future releases
Tied Agent	Boolean	10	TRUE OR FALSE
EMPTY COLUMN	Boolean	10	Legacy column, to be removed in future releases

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Collective investment schemes

- 6.17 This file contains details of the collective investment schemes that are regulated by the FCA and/or the PRA.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Product Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Product Authorisation Data			
Product reference number	String	150	6- or 7-digit number e.g. 123456, 1234567
Product name	String	80	
Product description	String	255	
Product legal form	String	255	See Product legal form on page 54
Current product status	String	255	See Product status on page 51
Date first authorised by regulator	Date	8	YYYYMMDD
Operator firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Sort key	String	80	
Sub-fund flag	String	1	Y or N
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Firm regulators

6.18 This file shows which regulator a firm is regulated by, be it the FCA, PRA, or both.

<i>Name</i>	<i>Type</i>	<i>Max length</i>	<i>Notes</i>
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Regulators'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Regulators Data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Firm name	String	255	Registered Name of Firm
Regulatory body name	String	255	Full name of regulatory body
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Passports

6.19 This file provides details of any authorised passports the firm may have. The file also contains a list of all active passport activities and passport permission conditions.

<i>Name</i>	<i>Type</i>	<i>Max length</i>	<i>Notes</i>
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Passport'
Date produced	String	8	YYYYMMDD

Name	Type	Max length	Notes
Time produced	String	4	HHMM in 24-hour format

Passport Data

Firm reference number	String	30	6- or 7-digit number e.g. 123456, 1234567
Passport directive	String	255	See Passport activities on page 45
Passport direction	String	255	'Inward' or 'Outward'
Branch or service indicator	String	1	'S' or 'B' for Service or Branch
Country	String	255	See Country on page 51
Status	String	255	'Authorised'
Date approved	Date	8	YYYYMMDD
Date withdrawn	Date	8	YYYYMMDD
Regulated activity name	String	80	See Passport activities on page 48
Instrument name	String	80	See Passport instrument name on page 51
Last modified date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Requirements

- 6.20 This file contains a list of all current Requirements associated with the firms in the Firm authorisation and PSD/EMD firm file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'

Name	Type	Max length	Notes
File title	String	15	Value 'Firm Requirements'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

Requirements Data

Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Short description	String	255	
Full description	String	32768	
Condition status	String	10	'Authorised'
Approved date	Date	8	YYYYMMDD
Standard or non-standard requirement	String	12	'NON-STANDARD' or 'STANDARD'
Financial promotions requirement?	String	TRUE / FALSE	
Investment Type Name	String	255	Financial Promotions requirements only. See Investment types (Financial promotions) on page 46
Last modified time	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Limitations

- 6.21 This file contains a list of all limitations associated with the firms in the Firms and PSD/EMD Firms files. The regulated activity to which the limitation is attached is also included.

Name	Type	Max length	Notes
Header record			

Name	Type	Max length	Notes
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Limitations'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

Limitations Data

Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Regulated activity name	String	80	See Regulated activity permissions on page 41
Regulated activity category	String	80	See Regulated activity permissions on page 41
Short description	String	255	
Full description	String	4000	
Condition status	String	10	Default Value - 'Authorised'
Approved date	Date	8	YYYYMMDD
Withdrawn date	Date	8	YYYYMMDD
Standard or non-standard limitation	String	12	Possible values are 'NON-STANDARD' or 'STANDARD'
Last modified time	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Firm disciplinary history

6.22 This file contains a list of the disciplinary and regulatory actions that appear on the FS Register and taken by the FCA and/or PRA against firms in the Firm authorisation and/or PSD/EMD Firm file.

6.23 These include:

- Supervisory, disciplinary and civil regulatory action (but not criminal action) the FCA and/or PRA has taken, has decided to take, or has proposed to take and considers appropriate to publish.
- Civil penalties, including fines, that the FCA has imposed or has decided to impose.
- Enforcement can take different forms such as fines or removal of authorised status, as laid out in the Financial Services and Markets Act 2000 (FSMA) or the Payment Services Directive (PSD). These will be noted in the column 'Enforcement Type' if relevant.

6.24 These **do not** include:

- Action taken by other enforcement agencies, including the Police, Serious Fraud Office and the Competition and Markets Authority
- Action taken by foreign regulators

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Disciplinary History'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Disciplinary History Data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Final notice	String	32000	
Enforcement Type	String	80	'FSMA', 'PSD' or blank
Type of Action	String	255	See Type of action on page 45
Action Date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			

Name	Type	Max length	Notes
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD firms

- 6.25 This file contains the name, address and current status of firms on the FS Register that fall under the Payment Services Directive (PSD), as well as firms falling under the e-money directive (EMD).

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD Firm Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Firm Data

Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Registered firm name	String	255	
Legal status	String	255	Blank or value from Firm legal status type on page 38
Principal address line 1	String	80	
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Town	String	80	
County	String	80	

Name	Type	Max length	Notes
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	
Status	String	255	See PSD/EMD firm status on page 52
Firm status effective date	Date	8	YYYYMMDD
Last modified date	Date	8	YYYYMMDD
PSD agent status	String	255	Blank or value from PSD agent status on page 52
PSD agent effective date	Date	8	YYYYMMDD
MLRs status	String	255	Blank or value from MLRs Status on page 38
MLRs status effective date	Date	8	YYYYMMDD
Emoney agent status	String	255	Blank or value from EMD agent status on page 52
Emoney agent effective date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD firm names

- 6.26 This file contains trading names that a firm on the PSD/EMD firms file is known to use or has used in the past, and historical registered names. It is not necessarily the case that all historical data is present.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Firm Names'

Name	Type	Max length	Notes
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Firm Names Data

Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Alternative name	String	255	
Alternative name type code	String	255	See Alternative Name Type on page 46
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	String	255	
Last modified time	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD activities

- 6.27 This file contains a list of all current PSD/EMD activities held by firms in the PSD/EMD firms file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Activities'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Activities Data

Name	Type	Max length	Notes
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
PSD activity name	String	80	See PSD/EMD activities on page 50
PSD activity category	String	80	See PSD/EMD activities on page 50
Activity start date	Date	8	YYYYMMDD
Activity end date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD agents

- 6.28 This file contains a list of all PSD and EMD Agents associated with the firms in the PSD/EMD firms file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Agents'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
PSD/EMD Agents Data			
Agent firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Agent granted date	Date	8	YYYYMMDD

<i>Name</i>	<i>Type</i>	<i>Max length</i>	<i>Notes</i>
Agent withdrawn date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Register notices

- 6.29 This file contains a list of the notices that appear on Firm records on the Register. This can include information that we currently hold on the Firm's insolvency status.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Register Notice'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Register Notices Data			
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Register notice title	String	255	
Register notice body	String	32768	
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Individuals

- 6.30 This file provides details of all persons approved to undertake a controlled function for an authorised firm, as well as individuals with any employment links with appointed representative firms through which an individual has undertaken a controlled function. These are mainly individuals; however, in rare cases, they can be corporate persons.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Approved Individual Details'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Approved Individuals Data			
Individual reference number	String	30	e.g. AAA12345
Full name	String	20/40/40/80	Title/forename/ Middle-name/surname
Status	String	255	See Individual status on page 51
Sort key	String	80/40/40	Surname/Middle-name/forename
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Involvements

- 6.31 This file contains details of all controlled functions currently held, or that have been held, by approved persons since 1 December 2001. The file also contains details of any employment links with appointed representative firms through which an individual has undertaken a controlled function. The approved date in this file is the date that the FCA/PRA approved the controlled function for the individual.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Approved Individual Controlled Functions'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Involvements Data			
Individual reference number	String	30	e.g. AAA12345
Firm reference number	String	50	6- or 7-digit number e.g. 123456, 1234567
Approved date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Involvement type	String	80	See Involvement type on page 52
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

7 Lookup values

Overview

- 7.1 Several fields have fixed text, whereby the text that can appear in these fields is one of a limited set of values. The possible values for these fields are defined in the tables below. These values will change from time to time and so these tables should be considered indicative rather than definitive.

Firm legal status type

Firm legal status type

Charitable Incorporated Organisation – (CIO)
Company Limited by Guarantee with No Share Capital
Company Limited by Guarantee with Share Capital
Company Limited by Share Capital
European Public Limited Liability Company (SE)
Incorporated - Industrial & Provident Society Act
Incorporated under Building Societies Act 1986
Incorporated under Friendly Society Act 1992
Limited
Limited Liability Partnership
Limited Partnership
Municipality or State e.g. New South Wales
Not Migrated
Not Supplied
Not Yet Formed
Other
Overseas Firm Incorporated
Overseas Firm Unincorporated
PLC
Partnership
Private Unlimited Company
Registered - Other Company Type by Companies House
Registered as Overseas Company by Companies House
Registered as a Northern Ireland credit union
Registered under Friendly Society Act 1974
Registered under I&PS Act 1965 and CU Act 1979
Sole Trader
Trust
UK branch of a non-EEA firm
UK branch of a third country firm
UK Co incorporated by Special Act/Royal Charter
UK body created by Special Act/Royal Charter
Unincorporated Body

Firm type

Firm type

Appointed Representative
Branch (UK) of an Overseas Firm
CBTL
Claims Management
Credit Rating Agency
Data Reporting Service Provider
Depository
Introducer A.R.
MLD cryptoassets
Operator
Regulated
Securitisation Repository
Services (UK) of an Overseas Firm
Supervised for anti-money laundering purposes only
Trade Repository
Trustee
Trustee/Depository
UK Representative

Authority to hold client money

Authority to hold client money

Control but not hold client money
Hold and control client money
N/A
Not hold and not control client money

Current authorisation status

Current authorisation status

Appointed representative
Appointed representative - introducer
Authorised
Authorised - applied to cancel
Authorised - applied to change business type
Authorised - applied to change legal status
Authorised - Closed to Regulated Business
Authorised - Closed to new business
Authorised Schedule 5
Authorised Schedule 5 - Depository of a recognised overseas scheme and a temporary recognised overseas scheme
Authorised Schedule 5 - Operator of a recognised overseas scheme and a temporary recognised overseas scheme

Current authorisation status

Authorised Schedule 5 - Operator/depositary/trustee of a temporary recognised scheme
Cancelled
Certified
EEA Authorised
EEA Authorised - Applied to Cancel
EEA Authorised - Contractual run-off
EEA Authorised - Supervised run-off
Formerly MLRs Registered
Lapsed
No longer authorised
No longer registered as an Appointed Representative
Registered
Registration Revoked
Revoked
Suspended

Sub-status**Sub-status**

Applied to Cancel
Applied to change business type
Applied to change legal status
Contractual run-off
Depositary of a recognised overseas scheme
Depositary of a recognised overseas scheme and a formerly temporary recognised scheme
Depositary of a recognised overseas scheme and a temporary recognised overseas scheme
Former
Former 3MLD
Former CBTL
Former passporting firm
No longer acting as Depositary of a recognised overseas scheme
No longer acting as Depositary of a temporary recognised or recognised overseas scheme
No longer acting as Depositary of a temporary recognised overseas scheme
No longer acting as Operator of a recognised overseas scheme
No longer acting as Operator of a temporary recognised or recognised overseas scheme
No longer acting as Operator of a temporary recognised overseas scheme
Operator of a recognised overseas scheme
Operator of a recognised overseas scheme and a temporary recognised overseas scheme
Operator of a recognised overseas scheme and formerly a temporary overseas recognised scheme
Operator with no Product Involvements
Operator/depositary/trustee of a temporary recognised scheme
Overseas Funds Regime
Supervised run-off
Temporary Marketing Permission

Sub-status

Temporary Permission

MLRs status**MLRs status**

MLRs registered

Formerly MLRs Registered

Registration Revoked

CBTL status**CBTL Status**

Registered

No Longer Registered

3MLD status**3MLD Status**

3MLD Registered

Formerly 3MLD Registered

Registration Revoked

Firm activities & permissions

Activity category	Activity name
Accepting deposits	Accepting Deposits
Alternative Investment Fund Managers Directive	Investment advice
Alternative Investment Fund Managers Directive	Management of AIFs
Alternative Investment Fund Managers Directive	Management of portfolios of investments
Alternative Investment Fund Managers Directive	Reception and transmission
Alternative Investment Fund Managers Directive	Safekeeping and administration
Appointed Representative	1001
Appointed Representative	1002
Benchmark Activity	Administering a Benchmark
Benchmark Activity	Administering a regulated benchmark
Benchmark Activity	Providing information relating to reg benchmark
CBTL	Acting as a CBTL Administrator
CBTL	Acting as a CBTL Advisor
CBTL	Acting as a CBTL Arranger

Activity category	Activity name
CBTL	Acting as a CBTL Lender
Claims Management	Advice investigate represent claim spec. benefit
Claims Management	Advice investigate represent criminal injury claim
Claims Management	Advice investigate represent employment claim
Claims Management	Advice investigate represent fin serv prod claim
Claims Management	Advice investigate represent house disrepair claim
Claims Management	Advice investigate represent personal injury claim
Claims Management	Agreeing to carry on a regulated activity
Claims Management	Seeking out referrals and identification of claims
Claims Management	Temporary permission to carry out claim's management activities
Consumer Credit	Advising on a regulated credit agreement the purpose of which is to acquire land
Consumer Credit	Agreeing to carry on a regulated activity
Consumer Credit	Credit Broking
Consumer Credit	Debt Adjusting
Consumer Credit	Debt Administration
Consumer Credit	Debt-collecting
Consumer Credit	Debt-counselling
Consumer Credit	Entering into Consumer Hire Agreements as owner
Consumer Credit	Entering into RCA as lender (high-cost short-term)
Consumer Credit	Entering into an RCA as lender (bill of sale)
Consumer Credit	Entering into an RCA as lender (home credit)
Consumer Credit	Entering into an RCA as lender (other)
Consumer Credit	Exercising R&D under an RCA (high-cost short-term)
Consumer Credit	Exercising lenders R&D under an RCA (bill of sale)
Consumer Credit	Exercising lenders R&D under an RCA (home credit)
Consumer Credit	Exercising lenders R&D under an RCA (other)
Consumer Credit	Exercising owners R&D under a cons. hire agreement
Consumer Credit	Operating electronic system in relation to lending
Consumer Credit	Providing Credit Information Services
Consumer Credit	Providing Credit References
Credit Rating Activity	Credit Rating Agency
Credit Rating Activity	Credit Rating Agency Temporary Registration Regime
Data Reporting Service Provider (DRSP)	Operate an Approved Publication Arrangement (APA)
Data Reporting Service Provider (DRSP)	Operate an Approved Reporting Mechanism (ARM)
Data Reporting Service Provider (DRSP)	Temporary Operate an Approved Publication Arrangement (APA)
Data Reporting Service Provider (DRSP)	Temporary Operate an Approved Reporting Mechanism (ARM)
Designated Investment Business	Acting as a depositary or sole director

<i>Activity category</i>	<i>Activity name</i>
Designated Investment Business	Acting as trustee of an auth unit trust scheme
Designated Investment Business	Acting as trustee or depositary of a UCITS
Designated Investment Business	Acting as trustee or depositary of a UK UCITS
Designated Investment Business	Acting as trustee/depositary of authorised AIF
Designated Investment Business	Acting as trustee/depositary of unauthorised AIF
Designated Investment Business	Advising (ex Pension Transfers/Opt Outs)
Designated Investment Business	Advising on P2P agreements
Designated Investment Business	Advising on Pension Transfers/Opt Outs
Designated Investment Business	Agreeing to carry on a regulated activity
Designated Investment Business	Arranging deals in investments
Designated Investment Business	Arranging safeguarding and administration of asset
Designated Investment Business	Bidding in emissions auctions
Designated Investment Business	Causing dematerialised instructions to be sent
Designated Investment Business	Dealing in investments as agent
Designated Investment Business	Dealing in investments as principal
Designated Investment Business	Establish/operating/winding up stakeholder pension
Designated Investment Business	Establishing, operating or winding up a CIS
Designated Investment Business	Establishing/operating/winding up a reg CIS
Designated Investment Business	Establishing/operating/winding up an un-reg CIS
Designated Investment Business	Establishing/operating/winding up personal pension
Designated Investment Business	Making arrangements
Designated Investment Business	Managing a UCITS
Designated Investment Business	Managing a UK UCITS
Designated Investment Business	Managing an authorised AIF
Designated Investment Business	Managing an unauthorised AIF
Designated Investment Business	Managing investments
Designated Investment Business	Operating a Multilateral Trading Facility (MTF)
Designated Investment Business	Operating an Organised Trading Facility (OTF)
Designated Investment Business	Providing basic advice on stakeholder products
Designated Investment Business	Safeguarding and administration of assets
Designated Investment Business	Sending dematerialised instructions
Funeral Plans	Advising on investments
Funeral Plans	Agreeing to carry on a regulated activity
Funeral Plans	Arranging (bringing about) deals in investments
Funeral Plans	Carrying out a funeral plan contract as provider
Funeral Plans	Dealing in investments as agent
Funeral Plans	Entering as provider into a funeral plan contract
Funeral Plans	Making arrangements with a view to transactions in investments
Insurance Business	Carrying out contracts of insurance
Insurance Business	Effecting contracts of insurance
Insurance Business	Risk Transformation

Activity category	Activity name
Insurance Distribution	Advising (ex Pension Transfers/Opt Outs)
Insurance Distribution	Agreeing to carry on a regulated activity
Insurance Distribution	Arranging deals in investments
Insurance Distribution	Assisting in administration of insurance
Insurance Distribution	Dealing in investments as agent
Insurance Distribution	Making arrangements
Issuing Electronic Money	Issuing Electronic Money
Regulated Home Finance	Administering a home purchase plan
Regulated Home Finance	Administering a home reversion plan
Regulated Home Finance	Administering a regulated mortgage contract
Regulated Home Finance	Advising on a home purchase plan
Regulated Home Finance	Advising on a home reversion plan
Regulated Home Finance	Advising on regulated mortgage contracts
Regulated Home Finance	Agreeing to carry on a regulated activity
Regulated Home Finance	Arranging (bringing about) a home purchase plan
Regulated Home Finance	Arranging (bringing about) a home reversion plan
Regulated Home Finance	Arranging regulated mortgage contracts
Regulated Home Finance	Dealing in investments as principal
Regulated Home Finance	Entering into a home purchase plan
Regulated Home Finance	Entering into a home reversion plan
Regulated Home Finance	Entering into a reg mortgage contract as lender
Regulated Home Finance	Making arrangements
Regulated Home Finance	Making arrangements for a home purchase plan
Regulated Home Finance	Making arrangements for a home reversion plan
Repository Activity	Securitisation Repository
Repository Activity	Trade Repository Temporary Registration Regime under the UK European Market Infr
Repository Activity	Trade Repository Temporary Registration Regime under the UK Securities Financing
Repository Activity	Trade Repository under the UK European Market Infrastructure Regulation
Repository Activity	Trade Repository under the UK Securities Financing Transactions Regulation
The Lloyd's Market	Advising on syndicate participation at Lloyd's
The Lloyd's Market	Agreeing to carry on a regulated activity
The Lloyd's Market	Arranging deals in investments
The Lloyd's Market	Making arrangements
The Lloyd's Market	Managing underwriting capacity of Lloyd's syndicate
The Society of Lloyd's	Act carried on in connect with ins con or syn part
The Society of Lloyd's	Arranging deals in insurance contracts at Lloyd's
The Society of Lloyd's	Arranging deals in participation in Lloyd's synds
Third Party Verifier Activity	Third Party Verifier

Investment types (Firm activities & permissions)

Investment types

Accident
Aircraft
Aircraft liability
Alternative Debenture
Assistance
Binary Bet
Capital redemption
Certificates representing certain security
Collective insurance
Commodity Future
Commodity Option
Contract for Differences
Contracts of insurance
Credit
Damage to property
Debenture
Deposit
Electronic Money
Emissions Allowance
Emissions Auction Product
Fire and natural forces
Funeral plan contract
Future (excluding a commodity future)
General liability
Goods in transit
Government and public security
Home purchase plans
Home reversion plans
Land Vehicles
Legal expenses
Liability for ships
Life Policy
Life and annuity
Linked long term
Marriage and birth
Membership of a Lloyd's syndicate
Miscellaneous financial loss
Motor vehicle liability
Non-investment insurance contracts
Option (excluding a commodity option)
Pension fund management
Permanent health
Personal pension scheme
Railway rolling stock

Investment types

Regulated mortgage contract
Rights to or interests in investments
Rights to or interests in investments (Cnt Bsd In)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share
Ships
Sickness
Social insurance
Spread Bet
Stakeholder pension scheme
Stakeholder products
Structured Deposits
Suretyship
Tontines
Underwriting capacity of a Lloyd's syndicate
Unit
Warrant

Customer type**Customer type**

All
Commercial
Customer
Eligible Counterparty
Intermediate Customer
Market Counterparty
Private Customer
Professional
Retail (Emissions)
Retail (Investment)
Retail (Non-Investment Insurance)

Investment types (Financial Promotions)**Investment types (Financial Promotions)**

Alternative debentures
Certificates representing certain securities
Claims management activity
Consumer credit
Consumer hire
Contracts for differences
Crypto assets

Investment types (Financial Promotions)

Debentures
Deposits
Emission allowances
Funeral plans
Futures
Government and public security
Home purchase plans
Home reversion plans
Insurance
Listed shares
Lloyd's syndicate capacity / membership
Mortgages
Options
Peer to Peer
Pensions
Regulated sale and rent back agreement
Rights to or interests in investments
Units
Unlisted shares
Warrants

Alternative name type**Alternative name type**

Common
Registered
Trading

Type of action**Type of action**

Action under the Money Laundering Regulations
Action under the Payment Services Regulations 2009
Administration order
Administrative restitution
Annulment of a firm
Bankruptcy order
Civil restitution
Compulsory winding up order
Decision notice - subject to determination by the Tribunal
Directions (collective investment schemes)
Enforcement Order under the Enterprise Act 2002
Fines
Fines for late returns

Type of action

Injunctions
Intervention against incoming firms
Public censure
Revocation of authorisation (collective investment scheme)
Undertaking
Variation or cancellation of permission
Variation: to restore permission/regulated activities
Withdrawal of approval

Passport activities

Passport directive	Regulated activity name
Alternative Investment Fund Managers Directive	AIF Marketing Passport
Alternative Investment Fund Managers Directive	Investment advice
Alternative Investment Fund Managers Directive	Management of AIFs
Alternative Investment Fund Managers Directive	Management of portfolios of investments
Alternative Investment Fund Managers Directive	Reception and transmission
Alternative Investment Fund Managers Directive	Safekeeping and administration
Banking Consolidation Directive	* - additional MiFID services and activities
Banking Consolidation Directive	1 - Acceptance of deposits
Banking Consolidation Directive	10 - Money broking
Banking Consolidation Directive	11 - Portfolio management and advice
Banking Consolidation Directive	12 - Safekeeping and administration of securities
Banking Consolidation Directive	13 - Credit reference services
Banking Consolidation Directive	14 - Safe custody services
Banking Consolidation Directive	15 - Issuing Electronic Money
Banking Consolidation Directive	2 - Lending
Banking Consolidation Directive	3 - Financial leasing
Banking Consolidation Directive	4 - PSD Payment Services
Banking Consolidation Directive	5 - Issuing & administering other means of payment
Banking Consolidation Directive	6 - Guarantees and commitments
Banking Consolidation Directive	7a - Trading own a/c or cust a/c-money market instruments
Banking Consolidation Directive	7b - Trading own a/c or cust a/c-foreign exchange
Banking Consolidation Directive	7c - Trading own a/c or cust a/c-fin futures/opts
Banking Consolidation Directive	7d - Trading own a/c or cust a/c-exchange/int rate ins
Banking Consolidation Directive	7e - Trading own a/c or cust a/c-trans securities
Banking Consolidation Directive	8 - Participation in securities issues
Banking Consolidation Directive	9 - Advice to undertakings on capital structure

<i>Passport directive</i>	<i>Regulated activity name</i>
Insurance Distribution	1 - Accident
Insurance Distribution	10 - Motor vehicle liability
Insurance Distribution	13 - General liability
Insurance Distribution	16 - Miscellaneous financial loss
Insurance Distribution	18 - Assistance
Insurance Distribution	3 - Land vehicles
Insurance Distribution	8 - Fire and natural forces
Insurance Distribution	9 - Other damage to property
Insurance Distribution	Insurance Distribution or Reinsurance Distribution
Insurance Distribution	Insurance Mediation or Reinsurance Mediation
Markets in Financial Instruments Directive	A1 - Receive/Transmit orders
Markets in Financial Instruments Directive	A2 - Execution of orders
Markets in Financial Instruments Directive	A3 - Dealing on own account
Markets in Financial Instruments Directive	A4 - Portfolio management
Markets in Financial Instruments Directive	A5 - Investment advice
Markets in Financial Instruments Directive	A6 - Underwriting
Markets in Financial Instruments Directive	A7 - Placing of fin instr w/o commitment
Markets in Financial Instruments Directive	A8 - Operation of MTF
Markets in Financial Instruments Directive	A9 - Operation of OTF
Markets in Financial Instruments Directive	B1 - Safekeeping / safe custody
Markets in Financial Instruments Directive	B2 - Granting credits / loans
Markets in Financial Instruments Directive	B3 - Advice to undertakings on cap structure
Markets in Financial Instruments Directive	B4 - Foreign exchange services
Markets in Financial Instruments Directive	B5 - Investment Research
Markets in Financial Instruments Directive	B6 - Services related to underwriting
Markets in Financial Instruments Directive	B7 - Ancillary services
Markets in Financial Instruments Directive	Operating a Multilateral Trading Facility (MTF)
Markets in Financial Instruments Directive	Provision of arrangements to facilitate access to a Multilateral Trading Facility
Mortgage Credit Directive	Assists in preparatory/pre-contractual admin work
Mortgage Credit Directive	Concludes credit agreements
Mortgage Credit Directive	Lending
Mortgage Credit Directive	Offers/presents credit agreements
Mortgage Credit Directive	Provides advisory services
Payment Services Directive	1. Cash placement services on a payment account
Payment Services Directive	2. Cash withdrawal services on a payment account
Payment Services Directive	3. Executing payment transactions (no credit line)
Payment Services Directive	4. Executing payment transactions (credit line)
Payment Services Directive	5. Issuing instruments / acquiring transactions
Payment Services Directive	6. Money remittance
Payment Services Directive	7. Executing payment transactions via telecoms etc
Payment Services Directive	7. Payment initiation services
Payment Services Directive	8. Account information services
Payment Services Directive	c) Execution of payment transactions (not covered

<i>Passport directive</i>	<i>Regulated activity name</i>
	by a credit line)
Payment Services Directive	f) Money remittance
Payment Services Directive	i) Payment initiation services
Payment Services Directive	j) Account information services
Second Electronic Money Directive	1. Cash placement services on a payment account
Second Electronic Money Directive	5 - Issuing & administering other means of payment
Second Electronic Money Directive	6. Money remittance
Second Electronic Money Directive	7. Payment initiation services
Second Electronic Money Directive	8. Account information services
Second Electronic Money Directive	a) Services enabling cash placement on a payment account
Second Electronic Money Directive	b) Services enabling cash withdrawals from a payment account
Second Electronic Money Directive	c) Execution of payment transactions (not covered by a credit line)
Second Electronic Money Directive	d) Execution of payment transactions (covered by a credit line)
Second Electronic Money Directive	e) Issuing payment instruments or acquiring payment transactions
Second Electronic Money Directive	f) Money remittance
Second Electronic Money Directive	g) Execution of payment transactions via telecoms, IT system or network operator
Second Electronic Money Directive	h) Issuing Electronic Money
Second Electronic Money Directive	i) Payment initiation services
Second Electronic Money Directive	j) Account information services
Solvency II Directive	1 - Accident
Solvency II Directive	10 - Motor vehicle liability
Solvency II Directive	11 - Aircraft liability
Solvency II Directive	12 - Liability for ships
Solvency II Directive	13 - General liability
Solvency II Directive	14 - Credit
Solvency II Directive	15 - Suretyship
Solvency II Directive	16 - Miscellaneous financial loss
Solvency II Directive	17 - Legal expenses
Solvency II Directive	18 - Assistance
Solvency II Directive	2 - Sickness
Solvency II Directive	3 - Land vehicles
Solvency II Directive	4 - Railway rolling stock
Solvency II Directive	5 - Aircraft
Solvency II Directive	6 - Ships
Solvency II Directive	7 - Goods in transit
Solvency II Directive	8 - Fire and natural forces
Solvency II Directive	9 - Other damage to property
Solvency II Directive	I - Life and annuity
Solvency II Directive	II - Marriage and birth
Solvency II Directive	III - Linked long term
Solvency II Directive	IV - Permanent health

<i>Passport directive</i>	<i>Regulated activity name</i>
Solvency II Directive	IX - Social
Solvency II Directive	Life
Solvency II Directive	Non-Life
Solvency II Directive	V - Tontines
Solvency II Directive	VI - Capital redemption
Solvency II Directive	VII - Pension fund management
Solvency II Directive	VIII - Collective
UCITS IV Directive	Investment advice
UCITS IV Directive	Management of portfolios of investments
UCITS IV Directive	Management of unit trusts/common funds
UCITS IV Directive	Managing a UCITS
UCITS IV Directive	Safekeeping and administration
UCITS Management Directive	Investment advice
UCITS Management Directive	Management of portfolios of investments
UCITS Management Directive	Management of unit trusts/common funds
UCITS Management Directive	Safekeeping and administration

Passport instrument name

<i>Instrument name</i>
C1 - Transferable securities
C10 - Other contracts
C11 - Emission Allowances [note that this is a long dash]
C2 - Money-market instruments
C3 - Units in collective investment undertakings
C4 - Derivatives in Securities, etc
C5 - Commodities Derivatives - Cash Settled
C6 - Commodities Derivatives - Physically Settled
C7 - Non-Commercial commodity Derivatives
C8 - Credit Derivatives
C9 - Contracts for Differences
Insurance Intermediary
Reinsurance Intermediary

Country

<i>Country</i>
AUSTRIA
BELGIUM
BULGARIA
CROATIA
CYPRUS
CZECH REPUBLIC
DENMARK

Country

ESTONIA
FINLAND
FRANCE
GERMANY
GIBRALTAR
GREECE
HUNGARY
ICELAND
IRELAND
ITALY
LATVIA
LIECHTENSTEIN
LITHUANIA
LUXEMBOURG
MALTA
NETHERLANDS
NORWAY
POLAND
PORTUGAL
ROMANIA
SLOVAKIA
SPAIN
SWEDEN
UNITED KINGDOM

PSD/EMD firm status**PSD/EMD firm status**

Authorised Electronic Money Institution
Authorised Payment Institution
Cancelled - Authorised EMI
Cancelled - Authorised PI
Cancelled - RAISP
Cancelled - Small EMI
Cancelled - Small PI
EEA Authorised
EEA Authorised - Contractual run-off
EEA Authorised - Supervised run-off
EEA Authorised - Temporary Permission
EMD Revoked - Authorised EMI
EMD Revoked - Small EMI
PSD Revoked PI
PSD2 Excluded
Registered Account Information Service Provider

PSD/EMD firm status

Small Electronic Money Institution
Small Payment Institution

EMD agent status**EMD agent status**

EMD Agent
EMD Agent Former

PSD agent status**PSD agent status**

PSD Agent
PSD Agent Former
PSD Agent Revoked

PSD/EMD activities

PSD/EMD activity category	PSD activity name
Payment Services Directive	1. Cash placement services on a payment account
Payment Services Directive	2. Cash withdrawal services on a payment account
Payment Services Directive	3. Executing payment transactions (no credit line)
Payment Services Directive	4. Executing payment transactions (credit line)
Payment Services Directive	5. Issuing instruments / acquiring transactions
Payment Services Directive	6. Money remittance
Payment Services Directive	7. Executing payment transactions via telecoms etc
Payment Services Directive	7. Payment initiation services
Payment Services Directive	8. Account information services
Second Electronic Money Directive	a) Services enabling cash placement on a payment account
Second Electronic Money Directive	b) Services enabling cash withdrawals from a payment account
Second Electronic Money Directive	c) Execution of payment transactions (not covered by a credit line)
Second Electronic Money Directive	d) Execution of payment transactions (covered by a credit line)
Second Electronic Money Directive	e) Issuing payment instruments or acquiring payment transactions
Second Electronic Money Directive	f) Money remittance
Second Electronic Money Directive	g) Execution of payment transactions via telecoms, IT system or network operator
Second Electronic Money Directive	h) Issuing Electronic Money
Second Electronic Money Directive	i) Payment initiation services
Second Electronic Money Directive	j) Account information services

Product legal form

Product legal form

Authorised Unit Trust
FCP
ICVC
Offshore OEIC
Offshore Unit Trust
Other CIS
SICAV

Product status

Product status

Authorised
De-recognised
Recognised

Individual status

Individual status

Approved by regulator
Prohibited
Regulatory approval no longer required

Involvement type

Involvement type

CF1 Director
CF1 Director (AR)
CF10 Compliance Oversight
CF10a CASS Oversight function
CF11 Money Laundering Reporting
CF12 Actuarial
CF12A With-Profits Actuary
CF12B Lloyds Actuary Function
CF13 Finance
CF14 Risk Assessment
CF15 Internal Audit
CF16 Significant Mgt (Designated Investment Business)
CF17 Significant Mgt (Other Business Operations)
CF18 Significant Mgt (Insurance Underwriting)
CF19 Significant Mgt (Financial Resources)
CF2 Non-Executive Director
CF2 Non-Executive Director (AR)

Involvement type

CF20 Significant Mgt (Settlements)
CF21 Investment Adviser
CF22 Investment Adviser (Trainee)
CF23 Corporate Finance Adviser
CF24 Pension Transfer Specialist
CF25 Adviser on Syndicate Participation at Lloyd's
CF26 Customer Trading
CF27 Investment Management
CF28 Systems and controls
CF29 Significant management
CF2a Chair of the Nominations Committee
CF2b Chair of the With-Profits Committee
CF3 Chief Executive
CF3 Chief Executive (AR)
CF30 Customer
CF4 Partner
CF4 Partner (AR)
CF40 Benchmark submission
CF5 Director of Unincorporated Association
CF5 Director of Unincorporated Association (AR)
CF50 Benchmark administration
CF51 Actuarial conduct function holder in a third country branch
CF6 Small Friendly Society
CF7 Sole Trader
CF7 Sole Trader (AR)
CF8 Apportionment and Oversight
CF9 EEA Investment Business Oversight
Employed By
Responsibility for MCD Intermediation
Responsible for Insurance Distribution
Responsible for Insurance Mediation
SIMF1 Chief Executive Function
SIMF10 Chair of the Risk Committee
SIMF11 Chair of the Audit Committee
SIMF12 Chair of the Remuneration Committee
SIMF14 Senior Independent Director
SIMF19 Head of Third Country Branch Function
SIMF2 Chief Finance Function
SIMF20 Chief Actuary Function
SIMF21 With-Profits Actuary
SIMF22 Chief Underwriting Officer Function
SIMF23 Underwriting Risk Oversight Officer (Lloyd's)
SIMF25 Small Insurer Senior Manager
SIMF26 Head of Small Run-Off Firm Function

Involvement type

SIMF4 Chief Risk Function
SIMF5 Head of Internal Audit Function
SIMF7 Group Entity Senior Insurance Manager Function
SIMF9 Chairman
SMF1 (AR) Chief Executive function
SMF1 Chief Executive
SMF10 Chair of the Risk Committee
SMF11 Chair of the Audit Committee
SMF12 Chair of the Remuneration Committee
SMF13 Chair of the Nominations Committee
SMF14 Senior Independent Director
SMF15 Chair of With Profits Committee
SMF16 Compliance Oversight
SMF17 Money Laundering Reporting Officer (MLRO)
SMF18 Other Overall Responsibility
SMF19 Head of Overseas Branch/Head of Overseas
SMF2 Chief Finance
SMF20 Chief Actuary
SMF20a With-Profits Actuary
SMF21 EEA Branch Senior Manager (EBSM)
SMF22 Other Local Responsibility
SMF23 Chief Underwriting Officer
SMF23a Underwriting Risk Oversight (Lloyd's)
SMF23b Conduct Risk Oversight (Lloyd's)
SMF24 Chief Operations
SMF25 Small Insurer Senior Management Function
SMF26 Head of Small Run-Off Firm
SMF27 Partner
SMF29 Limited scope function (limited scope SMCR firms only)
SMF3 (AR) Executive Director function
SMF3 Executive Director
SMF4 (AR) Partner function
SMF4 Chief Risk
SMF5 Head of Internal Audit
SMF6 Head of Key Business Areas
SMF7 Group Entity Senior Manager
SMF8 Credit Union Senior Manager
SMF9 Chair of the Governing Body

8 Frequently asked questions

About the dataset

What type of information is not available via the Register Extract Service (RES)?

- 8.1 Please refer to **Information available through the Register Extract Service** on page 5

Can I use the RES to pull a report on certain types of firm or individual?

- 8.2 Subject to the exclusions mentioned in **1.12**, if the set of firms or individuals appear on the Register, they will be contained within the RES.

Does the extract contain information on historical permissions held by firms?

- 8.3 Only permissions that were current at the time the extract was generated are included.

Is the length of the Firm Reference Number (FRN) likely to change soon?

- 8.4 We began using 7-digit FRNs and PRNs in 2023, and we do not expect to exhaust these in the foreseeable future.

Can I have a tailored version of the extract?

- 8.5 This is not a service we offer.

Can the data extract files be opened in Excel?

- 8.6 Yes, as pipe-delimited text files (with a file extension of **".ext"**), this is possible. It is not recommended, due to the size of the files.

How up to date is the data I receive?

- 8.7 Each Thursday evening, a snapshot of the information on the FS Register is extracted. This forms the basis for the data extract. The extract contains a full dataset, not incremental updates.

Subscriptions & fees

How do I unsubscribe from the service?

- 8.8 If you wish to cancel your subscription, simply email data.extract@fca.org.uk, supplying your subscriber number if possible (a 6-digit number usually starting with 5). **You must provide 2 months' notice of your intention to cancel**

Is there a discount on the data extracts for research purposes/academic activity?

- 8.9 No, we currently do not offer a discount for this purpose.

Problems with the extract

I'm having a problem with the extract, who should I contact?

- 8.10 Contact SDM in the first instance (helpdesk@sdm.co.uk). If they identify that the problem needs to be resolved by the FCA, they will refer the issue on to us accordingly.

The data in the extract is different to what is on the Register

- 8.11 The extract is generated on a Thursday evening, so it is likely the difference is due to timing.
- 8.12 If you believe the data in the extract does not match what is on the Register, and it is not due to a timing difference, contact data.extract@fca.org.uk

The data in the extract is the same as on the Register, but I believe it is incorrect

- 8.13 Let us know about any concerns you have about information on the Register by contacting us: <https://www.fca.org.uk/contact>.



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