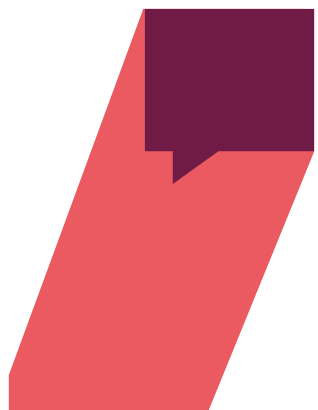


# Financial Services Register Extract Service Subscribers' Handbook

April 2021

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# 1 Introduction

## 1.1 Subscribers' Handbook

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This handbook:

- provides an overview of the Financial Services Register (FS Register) as the context for the Register Extract Service (RES).
- explains the RES as well as the types of information that can be obtained, through what channels, in what format and how frequently.
- tells you how you can subscribe to the RES and explains the fees and charges involved.
- explains the structure and content of the RES files in detail.
- provides a list of frequently asked questions (FAQs).

Subscribers will be notified of updates to this handbook, and the up-to-date handbook will be available on the [FCA website](#).

## 1.2 The Financial Services Register (FS Register)

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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.

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:

1. authorised by us
2. registered with us to conduct regulated activities, or
3. providing certain regulated products or services in the UK.

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.

Access to the [online FS Register](#) is free.

## 1.3 The Register Extract Service (RES)

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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.

The FS Register displays a single record at a time; the RES provides files containing a subset of FS Register data records.

Firms and consumers can subscribe to either 'Firms' data or 'Firms and Individuals' data on a regular or one-off basis. The service can be accessed on a weekly, monthly or ad hoc frequency via download or CD.



## 1.4 Information Available through the Register Extract Service

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Most information that is available within the FS Register is also available within the RES, and there are some additional fields that are only in the RES. For full details of fields please see section File Structure (section 6.3).

The following records are not included within the RES:

- Money Laundering Regulations.
- Exempt Professional Firms.
- Directory for certified persons information.
- any information regarding waivers/discretions or disciplinary histories.

## 1.5 Contact us

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

The Register Extract Service (RES)  
Financial Conduct Authority  
Business Systems Management Team  
Central Support, Supervision  
12 Endeavour Square  
Stratford  
London E20 1JN.

Email: [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk)



## 2 Subscription options

### 2.1 Extract types

The Register Extract Service is made up of 2 data extracts: the Firms extract and the Individuals extract. The standard service includes only the Firms extract.

For an additional fee, the service can be enhanced to include the Individuals extract. The table below details what files you can expect to receive based on the extract type you decide to purchase.

Please note: the Individuals extract is not sold on its own.

Data file	Firms only	Firms and Individuals
Firm authorisation	✓	✓
Regulated activity permissions	✓	✓
Alternative firm names	✓	✓
Appointed representatives	✓	✓
Collective investment schemes	✓	✓
Firm regulators	✓	✓
Passports	✓	✓
Payment Services Directive (PSD) & E-money firms	✓	✓
PSD Firm Names	✓	✓
PSD Activities	✓	✓
PSD Agents	✓	✓
Requirements	✓	✓
Limitations	✓	✓
Individuals	X	✓
Involvements	X	✓



## 2.2 Frequency of data extracts

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

## 2.3 Delivery

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The data is currently provided in 2 ways:

- Data download via Spectrum Data Management Limited (SDM). See section 3 for further details.
- A CD service – however, this is being discontinued in April 2022 and we are, therefore, not onboarding new CD customers. Please note, current CD subscribers will need to transition to the download service by April 2022 if they wish to continue with the service.

## 2.4 Data usage

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The licence fee is calculated according to how the data is used. We categorise this using the following bands:

### 2.4.1 Compliance use

This band will be relevant to subscribers from regulated firms who want to use the data for compliance purposes in terms of their FCA/Prudential Regulation Authority (PRA) regulated activities. This band excludes firms who provide compliance services for other firms.

### 2.4.2 Other own business

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 eg statistical/trend analysis.

### 2.4.3 Re-sale use

This band will be relevant to subscribers who want to use the data for the benefit of the subscriber, and/or clients of the subscriber, including the option to re-sell.

## 2.5 Fees

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The cost of subscribing to the RES will depend on how you will be using the data and how frequently you wish to receive the service.

Please email us at [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk) to request the Register Extract order form and for a list of the current fees.

Please note that the FCA invoices all subscribers in March. Fees should be paid in full and within 30 days of the invoice date.



## 3 Using Spectrum Data Management

Spectrum Data Management (SDM) is a distributor of RES data; they provide an online Register Extract download service and interrogation facilities for the data.

Full details of their service can be obtained via [SDM's website](#) or you can contact SDM at:

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

**Contact:**

Paul Robinson on 07770 430228.

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.

### 3.1 FAQs about SDM

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**What are SDM's fees?**

SDM currently charge £1,600 plus VAT per annum for the firms' weekly download and £995 plus VAT per annum for the firms' monthly download. These fees are applied pro rata, depending on when the order is made.

For the individuals' data, SDM charge an additional £200 plus VAT for weekly and monthly downloads.

For example, for firms' data on a weekly basis, £1,600 is payable to SDM and £2,475 is payable to the FCA, giving a total charge of £4,075 plus VAT per annum.

SDM may charge additional fees for customising the extract to your requirements.

**Is there a way I can download the data automatically?**

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?**

Yes, please contact SDM directly for more information.





## 4 Using 4B4

4B4 is the FCA distributor for the RES CD service.

Please note the CD service is being discontinued in April 2022. We are, therefore, not accepting new CD subscribers. Please note, if you are a CD subscriber and wish to continue the service, you will need to transition to the download service by April 2022.

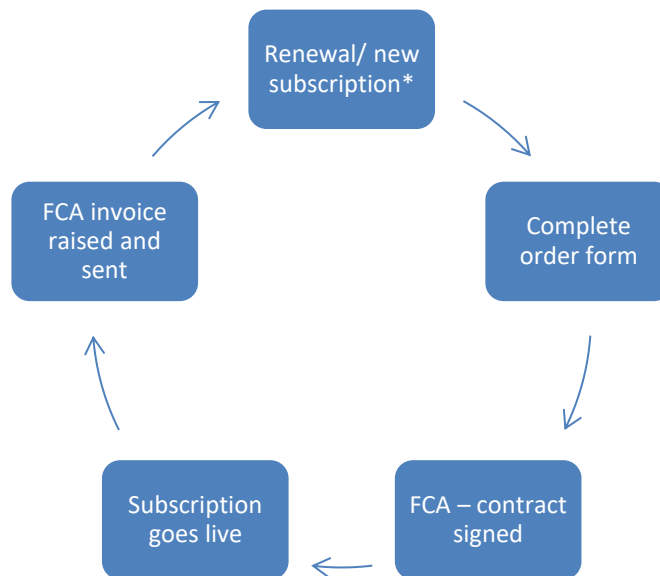
Current CD subscribers can find details of 4B4's service on [4B4's website](#) or can contact 4B4 at:

4B4 Ltd  
Claydon House  
1 Edison Road  
Aylesbury  
Buckinghamshire  
HP19 8TE.

Contact:  
Michael Bridson on 01296 821 677.

## 5 Subscription process

The illustration below highlights the stages of the subscription process.



\*Also speak to SDM (data download services) for the separate contract and invoice.

### 5.1 Subscription period

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For new subscribers the initial subscription period will run until 31 March after which the subscriber will enter the standard subscription year from 1 April to 31 March.

### 5.2 Extract delivery

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On receipt of your subscription payment, 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.

#### Download subscribers

1. Weekly extracts will be available each Friday via SDM's download portal.
2. Monthly extracts will be available on the first Friday of each month via SDM's download portal.

#### CD subscribers

3. Weekly extracts will be distributed each Tuesday via 4B4.
4. Monthly extracts will be distributed on the first Tuesday of each month via 4B4.

Allowances should be made for UK public holidays. No extracts are produced during Christmas week.

### 5.3 Termination and suspension

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Either the FCA or the subscriber may terminate the subscription by providing two months' written notice. This is not applicable to single-use subscribers.

### 5.4 Changes in fees

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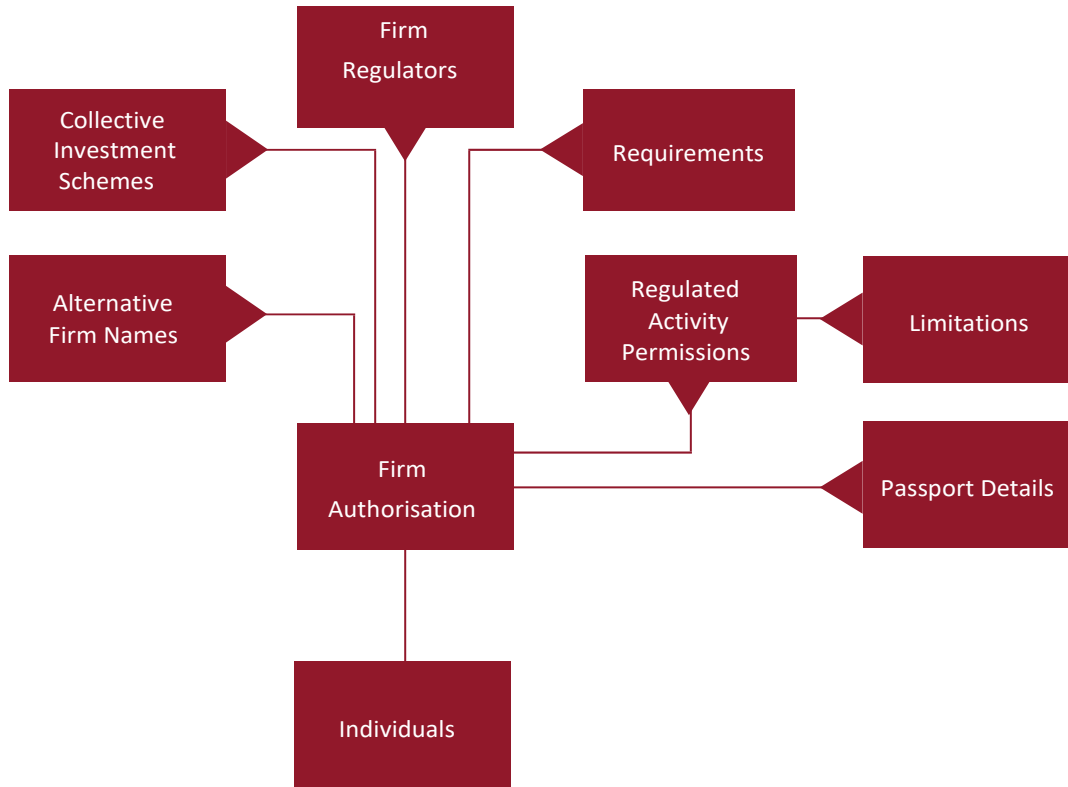
The FCA will inform subscribers of any price changes at least two months in advance of the new subscription year, as set out in the terms of agreement.



## 6 File structure and content

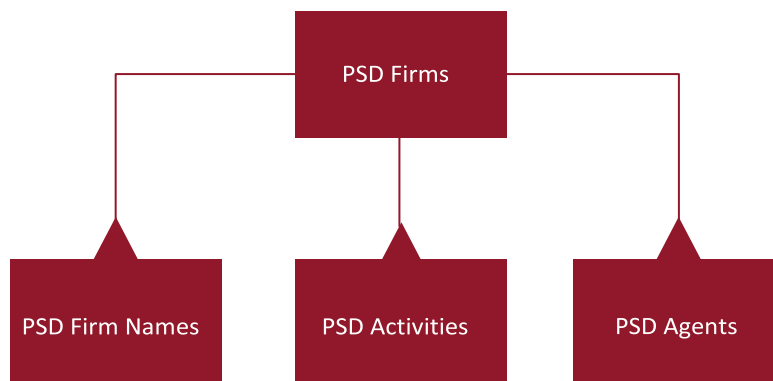
### 6.1 Relationship map – Firms

This map illustrates the relationships between each of the files for firms.



#### 6.1.1 Relationship map – Payment Services Directive (PSD) firms

This map illustrates the relationships between each of the files for firms.





## 6.2 File details

### 6.2.1 Encoding and delimiters

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, the entire field in that record will be enclosed with double quotation marks.

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).

## 6.3 File structure

### 6.3.1 Firm authorisation

This file contains the name, address and current status of firms on the FS Register. Dates of first authorisation and of 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.

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	
Registered firm name	String	255	
Firm legal status type	String	255	
Firm type	String	255	
Authority to hold client money	String	255	
Principal address line 1	String	80	
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Principal address line 5	String	80	
Principal address line 6	String	80	
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	
Current authorisation status	String	255	
Date status last changed	Date	8	YYYYMMDD
Date first authorised by regulator	Date	8	YYYYMMDD



Name	Type	Max. Length	Notes
Sort key	String	255	
Last update date	Date		YYYYMMDD
Companies House registration number	String	20	
Sub-status (current)	String	255	
Sub-status effective date	Date	8	YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.2 Regulated activity permissions

This file contains the regulated activities (eg the type of financial services) that authorised firms on the authorisation file are permitted to provide. Each activity is restricted in 3 ways.

The activity is approved for a specific customer type and for specific types of investments/products.

The third type of restriction allows for any specific limitation to be applied. Similarly, a requirement can be placed on the firm's permission as a whole, which can be found in the Requirements file.

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 will be several records for each activity.

There will be one record specifically for the activity, giving its status and status date. There will 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. Each entry has a status and a status date. These records are removed after they cease to be current.

Name	Type	Max. Length	Notes
<b>Header record</b>			
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
<b>Firm Permission Data</b>			
Firm reference number	String	50	
Regulated activity name	String	80	
Regulated activity category name	String	80	
Investment type	String	80	
Customer type	String	80	



Name	Type	Max. Length	Notes
Status	String	80	Default Value - '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	

### 6.3.3 Alternative firm names

This file contains trading names that a firm on the authorisation 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	21	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	
Alternative name	String	255	
Alternative name type	String	255	
Effective date	Date		YYYYMMDD
End date	Date		YYYYMMDD
Sort key	String	255	
Last update date	Date		YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.4 Appointed representatives

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	24	Value 'Appointment'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Appointment Data			



Appointed representative firm reference number	String	50	
Principal firm reference number	String	50	
Status	String	255	
Status effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
Insurance distribution	Boolean	10	TRUE OR FALSE
Tied Agent	Boolean	10	TRUE OR FALSE
Structured deposits AR	Boolean	10	TRUE OR FALSE
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.5 Collective investment schemes

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

Name	Type	Max. Length	Notes
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	21	Value 'Product Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>Product Authorisation Data</b>			
Product reference number	String	150	
Product name	String	80	
Product description	String	255	
Product legal form	String	255	
Current product status	String	255	
Date first authorised by regulator	Date	8	YYYYMMDD
Operator firm reference number	String	50	
Sort key	String	80	
Sub-fund flag	String	1	Y or N
Last update date	Date	8	YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	



### 6.3.6 Firm regulators

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

Name	Type	Max. Length	Notes
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	
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	

### 6.3.7 Individuals

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	27	Value 'Approved Individual Details'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Approved Individual Details Data			
Individual reference number	String	30	
Full name	String	20/40/40/80	Title/forename/ Middle-name/surname
Status	String	255	
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	





### 6.3.8 Involvements file

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
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	40	Value 'Approved Individual Controlled Functions'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>Approved Individual Control Functions Data</b>			
Individual reference number	String	30	
Firm reference number	String	50	
Approved date	Date		YYYYMMDD
End date	Date		YYYYMMDD
Function name	String	80	
Last update date	Date		YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.9 Passports

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.

Name	Type	Max. Length	Notes
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'Passport'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>Passport Data</b>			
Firm reference number	String	30	
Passport directive	String	255	
Passport direction	String	255	
Branch or service indicator	String	1	'S' or 'B' for Service or Branch
Country	String	255	
Status	String	255	
Date approved	Date	8	YYYYMMDD



Date withdrawn	Date	8	YYYYMMDD
Regulated activity name	String	80	
Instrument name	String	80	
Last modified date	Date		YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.10 PSD/EMD firms

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
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'PSD Firm Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>PSD Firm Authorisation Data</b>			
Firm reference number	String	50	
Registered firm name	String	255	
Legal status	String	255	
Principal address line 1	String	80	
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Principal address line 5	String	80	
Principal address line 6	String	80	
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	
Status	String	255	
Firm status effective date	Date	8	YYYYMMDD
Last modified date	Date	8	YYYYMMDD
PSD agent status	String	255	
PSD agent effective date	Date	8	YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	



### 6.3.11 PSD/EMD firm names

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
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'PSD EMD Firm Names'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>PSD EMD Firm Names Data</b>			
Firm reference number	String	50	
Alternative name	String	255	
Alternative name type code	String	255	
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	String	255	
Last modified time	Date	8	YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

### 6.3.12 PSD/EMD activities

This file contains a list of all current activities held by firms carrying out PSD or EMD activities.

Name	Type	Max. Length	Notes
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'PSD EMD Activities'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>PSD EMD Activities Data</b>			
Firm reference number	String	50	
PSD activity name	String	80	
PSD activity category	String	80	
Activity start date	Date		YYYYMMDD
Activity end date	Date		YYYYMMDD
Last modified time	Date		YYYYMMDD
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	



### 6.3.13 PSD/EMD agents

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	50	Value 'PSD EMD Agents'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
PSD EMD Agents Data			
Firm reference number	String	50	
Agent firm reference number	String	50	
Agent granted date	Date	8	YYYYMMDD
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	

### 6.3.14 Requirements

This file contains a list of all Requirements associated with the firms in the Firms file.

Name	Type	Max. Length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'Requirements'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Requirements Data			
Firm reference number	String	50	
Short description	String	255	
Full description	String	32768	
Condition status	String	10	Default Value - 'Authorised'
Approved date	Date	8	YYYYMMDD
Withdrawn date	Date	8	YYYYMMDD
Standard or non-standard requirement	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	



### 6.3.15 Limitations

This file contains a list of all limitations associated with the firms in the Firms file. The regulated activity to which the limitation is attached is also included.

Name	Type	Max. Length	Notes
<b>Header record</b>			
Header identification	String	6	Value 'Header'
File title	String	50	Value 'Limitations'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
<b>Limitations Data</b>			
Firm reference number	String	50	
Regulated activity name	String	80	
Regulated activity category	String	80	
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
<b>Trailer record</b>			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	



## 7 Fields with fixed text

A number of 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.

### 7.1 Firm authorisation

#### 7.1.1 Firm legal status type

<b>Firm legal status type</b>
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 Co incorporated by Special Act/Royal Charter
UK body created by Special Act/Royal Charter
Unincorporated Body



## 7.1.2 Firm type

<b>Firm type</b>
Appointed Representative
Branch (UK) of an Overseas Firm
CBTL
Claims Management
Credit Rating Agency
Data Reporting Service Provider
Depository
Introducer A.R.
Operator
Regulated
Services (UK) of an Overseas Firm
Trade Repository
Trustee
Trustee/Depository
UK Representative

## 7.2 Authority to hold client money

<b>Authority to hold client money</b>
Control but not hold client money
Hold and control client money
N/A
Not hold and not control client money

## 7.3 Current authorisation status

<b>Current authorisation status</b>
Appointed representative
Appointed representative - introducer
Authorised
Authorised - Closed to Regulated Business
Authorised - Closed to new business
Authorised - applied to cancel
Authorised - applied to change business type
Authorised - applied to change legal status
Authorised - in administration
Authorised - in liquidation
Authorised - in special administration
Authorised Schedule 5 - Operator/depository/trustee of a temporary recognised scheme
Cancelled
Cancelled - In Liquidation
EEA Authorised
EEA Authorised - Applied to Cancel
EEA Authorised - Contractual run-off
EEA Authorised - Former passporting firm
EEA Authorised - Supervised run-off
EEA Authorised - Temporary Marketing Permission
EEA Authorised - Temporary Permission
Lapsed
No longer authorised
No longer registered as an Appointed Representative



Registered
Revoked
Suspended
Temporary Permission
Temporary Registration

## 7.4 Sub-status (current)

<b>Sub-status (current)</b>
Applied to Cancel
Applied to change business type
Applied to change legal status
Closed to Regulated Business
Closed to new business
Contractual run-off
Former
Former CBTL
Former passporting firm
In Administration
In Liquidation
In Special Administration
Operator/depositary/trustee of a temporary recognised scheme
Supervised run-off
Temporary Marketing Permission
Temporary Permission

## 7.5 Regulated activity permissions

### 7.5.1 Regulated activity category name and regulated activity name

Regulated activity category name	Regulated 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	1003
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
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/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 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
Insurance Business	Carrying out contracts of insurance
Insurance Business	Effecting contracts of insurance
Insurance Business	Risk Transformation
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	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 connection with ins con or syndicate 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 syndicates
Third Party Verifier Activity	Third Party Verifier

1001, 1002 and 1003 are pseudo activity records used to indicate an area of business that has been notified to the FCA/PRA.

## 7.6 Investment type

Investment type
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
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

## 7.7 Customer type

<b>Customer type</b>
All
Commercial
Customer
Eligible Counterparty
Intermediate Customer
Market Counterparty
Private Customer
Professional
Retail (Emissions)
Retail (Investment)
Retail (Non-Investment Insurance)



## 7.8 Alternative firm names

### 7.8.1 Alternative name type

Alternative name type
Common
Registered
Trading

## 7.9 Appointed representatives

### 7.9.1 Status

Status
Active
Inactive

## 7.10 Collective investment schemes (CIS)

### 7.10.1 Product legal form

Product legal form
Authorised Unit Trust
FCP
ICVC
Offshore OEIC
Offshore Unit Trust
Other CIS
SICAV

## 7.11 Current product status

Current product status
Authorised
De-recognised
Recognised

## 7.12 Individuals

### 7.12.1 Status

Status
Approved by regulator
Prohibited
Regulatory approval no longer required

## 7.13 Involvements

### 7.13.1 Function name

Function name
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)
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
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



## 7.14 Passport details

### 7.14.1 Passport directive and regulated activity name

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
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



Financial Conduct Authority - Financial Services Register	Extract Service Subscribers' Handbook
Payment Services Directive	8. Account information services
Payment Services Directive	c) Execution of payment transactions (not covered 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
	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
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





### 7.14.2 Passport direction

<b>Passport direction</b>
Inward
Outward

### 7.14.3 Country

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

### 7.14.4 Status

<b>Status</b>
Authorised

### 7.14.5 Instrument name

<b>Instrument name</b>
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



## 7.14.6 Passport activities

Category of activity	Activity description
Alternative Investment Fund Managers Directive	Management of AIFs
Alternative Investment Fund Managers Directive	Management of portfolios of investments
Alternative Investment Fund Managers Directive	Investment advice
Alternative Investment Fund Managers Directive	Safekeeping and administration in relation to shares or units of collective investment undertakings
Alternative Investment Fund Managers Directive	Reception and transmission of orders in relation to financial instruments
Auction Regulation Bidding	Auction Regulation Bidding
Banking Consolidation Directive	1 - Acceptance of deposits and other repayable funds from the public
Banking Consolidation Directive	2 - Lending including consumer credit, mortgage credit, factoring and financing of commercial transactions
Banking Consolidation Directive	3 - Financial leasing
Banking Consolidation Directive	4 - Payment services as defined in Article 4(3) of Directive 2007/64/EC of the European Parliament and of the Council of 13 November 2007 on payment services in the internal market(*)
Banking Consolidation Directive	5 - Issuing and administering other means of payment (e.g. travellers' cheques and bankers' drafts) insofar as this activity is not covered by point 4
Banking Consolidation Directive	6 - Guarantees and commitments
Banking Consolidation Directive	7a - Trading for own account or for account of customers - money market instruments (cheques, bills, CDs etc)
Banking Consolidation Directive	8 - Participation in securities issues and the provision of services related to such issues



## 7.15 PSD\_EMD Firms

### 7.15.1 Firm legal status type

<b>Firm legal status type</b>
Company Limited by Guarantee with No 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 Co incorporated by Special Act/Royal Charter
UK body created by Special Act/Royal Charter
Unincorporated Body

### 7.15.2 Status

<b>Status</b>
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 - 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
Small Electronic Money Institution
Small Payment Institution



### 7.15.3 PSD agent status

<b>PSD agent status</b>
EMD Agent
EMD Agent Former
PSD Agent
PSD Agent Former
PSD Agent Revoked

### 7.15.4 PSD\_EMD firm names

#### 7.15.5 PSD firm name type

<b>PSD firm name type</b>
Common
Registered
Trading

### 7.15.6 PSD\_EMD activities

#### 7.15.7 PSD activity category and PSD activity name

<b>PSD activity category</b>	<b>PSD activity name</b>
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



## 8 Frequently asked questions

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

The RES provides a sub-set of FS Register data. For example, it does not include the following:

- Mutuals public register data
- Directory data
- Asset management firms
- Independent financial advisers
- Exempt professional firms
- UK-registered AIFMs
- Firms covered for Money Laundering Regulations
- Exempt Professional Firms
- Waivers and disciplinary histories.

### 8.2 Does the extract contain information on historical permissions held by firms to undertake regulated activities?

The extracts only contain information on current permissions at a given date ie the date of the extract. If a firm held a particular permission in a given extract but this permission was not present in a future extract, this would indicate the permission was removed, thus providing historical permissions data.

### 8.3 Is the Firm Reference Number (FRN) length likely to be changed in the near future?

Based on our current allocation rate, we do not expect to need to move from 6 to 7-digit FRNs until early 2023. If there is any peak in registrations/authorisations, however, it could accelerate this timeline. Before any such change, we will consult firms to understand industry impact and ensure firms have enough time to consider the implications for their business.

### 8.4 Where can I find information on Data Reporting Services Provider (DRSP) activities?

On the FS Register, the DRSP activities for an organisation will be displayed in the basic details section for a registered firm and in the main permissions section for an authorised firm.

### 8.5 Where do I find information on DRSP activities for Recognised Investment Exchanges (RIEs)?

Further details of authorised or verified DRSPs can be found here: <https://www.fca.org.uk/markets/mifid-ii/data-reporting-services-providers>.

### 8.6 Will 'Disciplinary and Regulatory actions' be available in the near future?

There are no plans at this stage to include disciplinary and regulatory actions in the Register Extract Service.

## 8.7 How do I subscribe to the Register Extract Service?

Email us at [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk) to request an order form. Please sign and complete the order form before returning it to us at [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk).

## 8.8 Will I need to sign a contract to receive the service?

Yes, in order to receive the service, you will need to sign and return the FCA RES contract. A contract will be provided to you when you decide to sign up. A signed copy must be sent to [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk) before we can supply the RES.

## 8.9 Can I sign my contract using a digital signature?

Yes, this is acceptable.

## 8.10 Will the CD Service continue until 31 March 2022?

Yes, the CD service will continue until the end of March 2022 **for current CD subscribers**. It is now closed to new subscribers. If you are currently a CD subscriber and you wish to continue receiving the RES after this point you will need to move across to the SDM download service.

## 8.11 How do I unsubscribe from the service?

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

## 8.12 Can I have an ad-hoc report / subset of all regulated firms and individuals in a particular area?

No, the FCA does not provide tailored lists.

## 8.13 Can the data extract files be opened in Excel?

Yes. The files are normally sent as pipe ("|") delimited text files with a .EXT extension, which can be opened in Excel. Please note Excel may experience challenges with the size of some files.

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

No, a discount is not available.

## 8.15 How up-to-date is the data I receive?

The FS Register is updated daily. Each week, on Thursday evening, a snapshot is taken by the FCA, which forms the basis for the data extract. Note that the extract contains a full dataset, not incremental updates.



#### 8.16 We have not received the data extract CD. What should we do?

Please email [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk). They will be happy to assist you with your query and advise you on the next steps.

#### 8.17 We have still not received our countersigned contract. What should we do?

Please email [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk)

#### 8.18 We have not received the invoice. What should we do?

Please email [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk)

#### 8.19 If we have technical questions or there is an issue, who should we contact?

Please email [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk), providing as much information as possible.

#### 8.20 Where can I get a list of banks and building societies?

<https://www.bankofengland.co.uk/statistics/data-collection/institutions-in-the-uk-banking-sector>

Note that this list is not maintained by the FCA.

#### 8.21 Who do I contact if I have a complaint?

If you have an issue, please contact [data.extract@fca.org.uk](mailto:data.extract@fca.org.uk)

If you wish to make a formal complaint, please write to the Register Extract Service Manager at the following address:

Financial Conduct Authority  
Business Systems Management Team  
12 Endeavour Square  
London  
E20 1JN.

Alternatively, you can read about how to make a complaint here:  
<https://www.fca.org.uk/about/complain-about-regulators>.



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