


Financial Services Register Extract Service Subscribers' Handbook

September 2017

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1 Introduction

1.1 Financial Services and Markets Act 2000

The Financial Services and Market Act 2000 (FSMA) came into force on 1 December 2001. This brought the regulation of most financial services companies into the remit of the Financial Services Authority (FSA) – now the Financial Conduct Authority (FCA).

This included firms that were previously regulated by the Personal Investment Authority (PIA), Securities and Futures Authority (SFA), Investment Management Regulatory Organisation (IMRO), HM Treasury (Insurance Directorate), recognised professional bodies and the Society of Lloyds.

From this date, it has been a criminal offence to provide financial services (other than credit) without authorisation (or exemption) under the FSMA.

1.2 The Financial Services Register

The online Financial Services Register (FS Register) is a public record of financial services firms, individuals and other bodies regulated by the FCA. There is 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

The online FS Register provides an online search for firms that are or have been regulated by the FCA. It also allows users to search for businesses that are or have been registered with the FCA under the 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; it is suitable for ad-hoc searches for authorised and registered firms and individuals.

1.3 Register Extract Service

The Register Extract Service forms part of the FCA's Publication Scheme, which has been compiled in line with our obligations under the Freedom of Information Act 2000.

Please note that the Register Extract Service does not include data that appears on the FS Register for Money Laundering Regulations or Exempt Professional Firms.



The extract also does not contain any information regarding waivers/discretions or disciplinary histories.

The Register Extract Service enables firms and consumers to subscribe to either 'Firms' data or 'Firms and Individuals' data on a frequent or one-off basis.

1.4 Subscribers' Handbook

This handbook provides an overview of the Register Extract Service, including information on what information is available, and how to become a subscriber.

In addition, the structure and content of the files that comprise the Register Extract Service are explained in detail, and we have provided a detailed list of **frequently asked questions** at the end of the document (For SDM FAQ's, see page 6).

Subscribers will be notified of updates to this handbook, and issued with revised versions following substantial changes. Subscribers may also request an up-to-date copy of the handbook at any time from data.extract@fca.org.uk.

1.5 Contact us

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

FS Register

Financial Conduct Authority
Business Systems Management Team
Central Support, Supervision
25 The North Colonnade
Canary Wharf
London E14 5HS

Email: data.extract@fca.org.uk



2 Subscription options

2.1 Extract types

The FS Register Extract Service is made up of two 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.

Data file	Firms only	Firms and Individuals
Firm authorisation	✓	✓
Regulated activity permissions	✓	✓
Alternative firm names	✓	✓
Appointed representatives	✓	✓
Collective investment schemes	✓	✓
Firm sub-status	✓	✓
Firm regulators	✓	✓
Passport Details	✓	✓
Passport Activities	✓	✓
Passport Instruments	✓	✓
Payment Services Directive (PSD) Firms	✓	✓
PSD Firm Names	✓	✓
PSD Activities	✓	✓
PSD Agents	✓	✓
Requirements	✓	✓
Limitations	✓	✓
E-Money Firms	✓	✓
Individuals	X	✓
Controlled functions	X	✓
Individual employment details	X	✓

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



2.2 Frequency of data extracts

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

2.3 Delivery options

The data can be provided in two ways:

- Data download via Spectrum Data Management Limited (SDM).
- CD, via the FCA.

Note that an annual contract and licence fee is payable to the FCA regardless of the delivery option selected.

2.4 Data format (CD subscribers only)

The extract files are saved as American Standard Code for Information Interchange (ASCII) text files onto a CD. Subscribers may opt to receive the files using either fixed-length fields/records or variable length, pipe-delimited (|) fields.

2.5 Data usage

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

2.5.1 Compliance purposes

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.

2.5.2 Other own business

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

2.6 Fees

The cost of subscribing to the Register Extract Service will depend on how you will be using our data and how frequently you wish to receive updates. Please refer to the Register Extract order form for a list of the current fees.



3 Spectrum Data Management

Alternative provision of the FS Register Extract is available from Spectrum Data Management (SDM). SDM provide an online Register Extract download service and interrogation facilities for the data.

Full details of their service are obtainable 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 you. Note that these fees are in addition to the licence fee payable to the FCA for the use of the data.

FAQs for SDM

What are SDM's fees?

SDM charge £1,600 per annum for the weekly downloads and £995 per annum for the monthly downloads.

These fees are applied pro rata, depending on when the order is made. For the individuals' data, there is a further charge of £200.

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.

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

Do I need a separate contract with SDM?

The services provided by SDM are covered by the terms on your purchase order issued by SDM. This covers their download service, and not the licence fee for the Register data.

Is there a way I can download the data automatically?

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

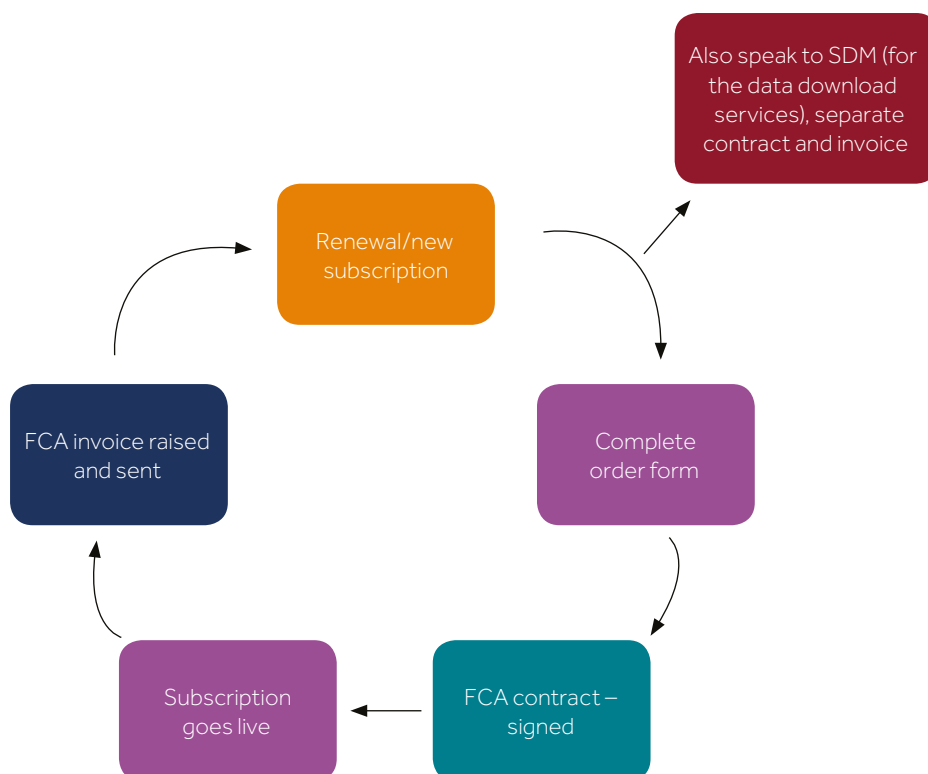
Can the extracts be opened, downloaded or viewed by more than one person in the firm?

Yes, please contact SDM directly for more information.



4 Subscription process

The illustration below highlights the stages of the subscription process.



4.1 Subscription period

For new customers, the subscription period will vary depending on when the subscription was entered into with the FCA. The standard subscription year runs from **1 April to 31 March** each year.

Extract delivery (CD users)

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.

- Weekly extracts should reach you on Tuesday mornings
- Monthly extracts should reach you on the first Tuesday of each month
- Overseas addresses should receive extracts by the corresponding Wednesday



Allowances should be made for public holidays. For Good Friday, data extract will be sent the day before. No extracts are produced during Christmas week.

Extract media is non-returnable.

4.2 Termination and suspension

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

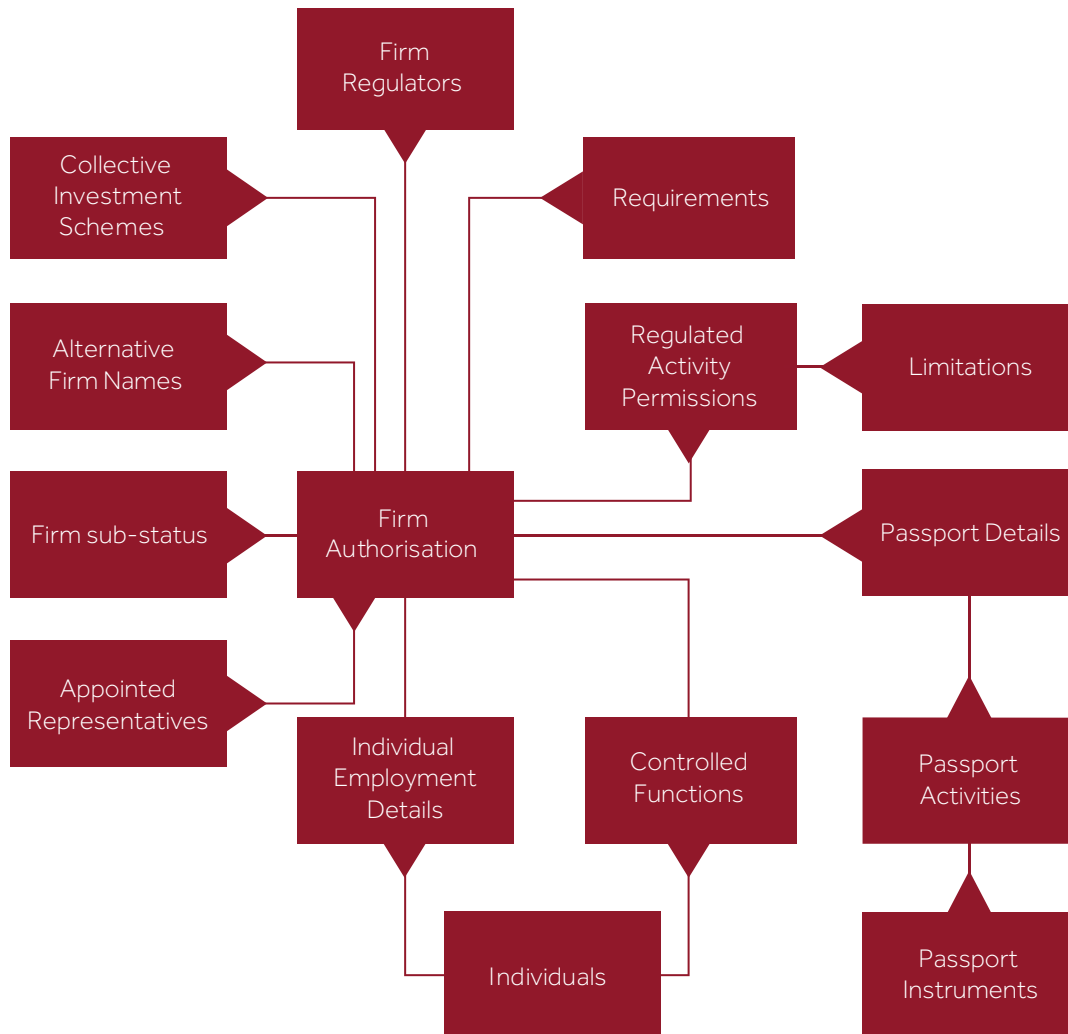
4.3 Changes in fees

The FCA will inform subscribers of any price changes at least two months in advance as set out in the Terms and Conditions of the service.

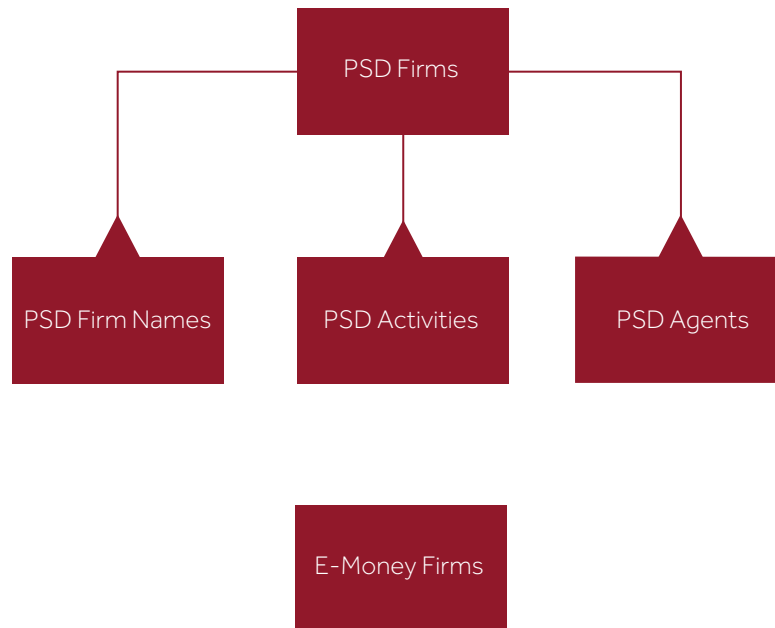


5 File structure and content

5.1 Relationship map – Firms



5.1.1 Relationship map – Payment Services Directive (PSD) firms and E-Money Firms



5.2 Noise words

The following table lists the noise words (a noise word is a word such as 'the' or 'if' that is so common that it is not useful in searches) that are removed from text to create the sort key:

AG	AND	CO	COMPANY	CORPORATION
BV	CITY	GMBH	HON	INC
DR	ESQ	SIR	SOC	MRS
INCORPORATED	NV	SA	THE	WS
MS	NA	SONS	LTD	MR
PARTNERSHIP	PLC	LIMITED	OF	PARTNERS
SOCIETY	SON			

5.3 File structure

5.3.1 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. Values used in the status field are in **5.4 Lookup codes**.

The file will always contain entries of firms that have ceased to be authorised. If media capacity becomes a problem, the records may be removed from the extract any time later than one year after authorisation has ceased. It is important to check the status to confirm authorisation. This file also includes the basic details of all appointed representative firms (status=registered). Details of their current appointments (if any) will be in the appointments file.



Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	18	Value 'Firm Authorisation'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Firm data			
Firm ref.	Numeric	7	
Registered firm name	Alpha numeric	130	
Firm legal status type code	Alpha numeric	3	See section 5.4.1.1
Firm type code	Alpha numeric	3	See section 5.4.1.2
Authority to hold client money	Alpha numeric	1	Y/N/X/Z or blank 'Y'=Yes. 'N'=No. 'X'=n/a. 'Z'= in respect of non-insurance investment contracts
Principal address line 1	Alpha numeric	50	
Principal address line 2	Alpha numeric	50	
Principal address line 3	Alpha numeric	50	
Principal address line 4	Alpha numeric	50	
Principal address line 5	Alpha numeric	50	
Principal address line 6	Alpha numeric	50	
Postcode out	Alpha numeric	4	
Postcode in	Alpha numeric	3	
Telephone no – country prefix	Alpha numeric	5	
Telephone no – area code	Alpha numeric	10	
Telephone no – local number	Alpha numeric	30	
Fax – country prefix	Alpha numeric	5	
Fax – area code	Alpha numeric	10	
Fax – local number	Alpha numeric	30	
Current authorisation status code	Alpha numeric	50	See section 5.4.1.3
Date status last changed	Date	8	YYYYMMDD
Date first authorised by regulator	Date	8	YYYYMMDD
Sort key	Alpha numeric	130	
Last update date	Date	8	YYYYMMDD
Companies House Registration Number	Alpha numeric	50	
Sub-status code (current)	Numeric	2	See section 5.4.6.1
Sub-status effective date	Date	8	YYYYMMDD
Sub-status last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.2 Regulated activity permissions

This file contains the regulated activities (e.g. the type of financial services) that authorised firms on the authorisation file are permitted to provide. Each activity is restricted in three 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 Extract.

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
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	15	Value 'Firm Permission'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Firm Permission Data			
Firm ref.	Numeric	7	
Regulated activity code	Alpha numeric	15	See section 5.4.2.1
Investment type code	Alpha numeric	15	See section 5.4.2.2
Customer type code	Alpha numeric	15	See section 5.4.2.3
Status code	Alpha numeric	4	See section 5.4.2.4 Status
Effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.3 Alternative firm names

This file contains other names that a firm on the authorisation file is known to use or has used in the past. It is not necessarily the case that all historical data is present.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	21	Value 'Alternative Firm Name'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Alternative firm name data			
Firm ref.	Numeric	7	
Alternative name	Alpha numeric	130	
Alternative name type code	Alpha numeric	3	See section 5.4.3.1
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	Alpha numeric	130	
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.4 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	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	24	Value 'Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Appointment Data			
Appointed representative firm ref.	Numeric	7	
Principal firm ref.	Numeric	7	
Status code	Alpha numeric	50	See section 5.4.4.1 Status
Status effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
Insurance Mediation	Boolean	5	True or False
Tied Agent	Boolean	5	True or False
Structured Deposits AR	Boolean	5	True or False
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.5 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
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	21	Value 'Product Authorisation'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Product Authorisation Data			
Product ref.	Numeric	7	
Product name	Alpha numeric	80	
Product description	Alpha numeric	200	
Product legal form	Alpha numeric	50	See section 5.4.5.1
Current product status	Alpha numeric	50	See section 5.4.5.2
Date status last changed	Date	8	YYYYMMDD
Date first authorised by regulator	Date	8	YYYYMMDD
Operator firm ref.	Alpha numeric	7	
Sub-fund flag	Alpha numeric	1	'Y' or 'N'
Sort key	Alpha numeric	80	
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.7 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	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	15	Value 'Firm Regulators'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Firm Regulators Data			
Firm reference number	Numeric	7	
Firm name	Alpha numeric	130	Registered Name of Firm
Regulatory body name	Alpha numeric	80	Full name of regulatory body
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.8 Individuals

This file provides details of all persons approved to undertake a controlled function for an authorised firm. These are mainly individuals; however, in rare cases, they can be corporate persons.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	27	Value 'Approved Individual Details'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Individual Data			
Individual ref.	Alpha+Numeric	8	Format AAA99999
Full name	Alpha	20/80/80	Title/forename/ surname
National Insurance Number	Alpha numeric	9	Blank: data protection
Date of birth	Date	8	Blank: data protection
Status code	Numeric	2	See section 5.4.7.1
Sort key	Alpha	130	Surname/forename
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.9 Controlled functions

This file contains details of all controlled functions currently held, or that have been held, by approved persons since 1 December 2001. 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	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	40	Value 'Approved Individual Controlled Functions'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Control Function Details			
Individual ref.	Alpha numeric	8	Format AAA99999
Firm ref.	Numeric	7	Authorised firm
Function code	Numeric	3	See annex C.8.1
Approved date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD – null for current function
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer Identification	Alpha numeric	6	Value 'Footer'
Number of Data Records	Numeric	8	



5.3.10 Individual Employment Details

This file provides details of any employment links with appointed representative firms through which an individual has undertaken a controlled function.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	40	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Employment Details			
Individual ref.	Alpha numeric	8	Format AAA99999
Firm ref.	Numeric	7	Appointed Rep. Firm
Status code	Numeric	2	See section 5.4.9.1
Start date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD – null for current employment
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.11 Passport Details

This file provides details of any Authorised, Cancelled or Resigned Passports the firm may have.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Passports			
Firm reference number	Numeric	7	FRN
Permission id	Numeric	9	Permission ID
pppd_sid	Numeric	3	Passport Directive ID (see section 5.4.11)
ppdr_sid	Numeric	3	Passport Direction ID (see section 5.4.12)
branch_service_ind	Alpha Numeric	1	'S' or 'B' for Service or Branch
branch_significant_ind		1	Values are NULL, 'Y' or 'N'
country_sid	Numeric	6	Country ID
passport_status	Numeric	3	Status of the Passport (see section 5.4.2.4)
approved_date	Date	8	YYYYMMDD
withdrawn_date	Date	8	YYYYMMDD
last_mod_time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.12 Passport Activities

This will contain a list of all passport activities and will map back to the Passports table using the Permission id as a foreign key.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Passport Activity			
Firm reference number	Numeric	7	FRN
Permission id	Numeric	9	Permission ID
reat_sid	Numeric	6	Regulated Activity ID
activity status	Numeric	3	Status of the Activity
approved_date	Date	8	YYYYMMDD
withdrawn_date	Date	8	YYYYMMDD
last_mod_time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.13 Passport Instruments

This will contain a list of all passport activities and will map back to the Passports table using the Permission id as a foreign key.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Passports Instrument Details			
Firm reference number	Numeric	7	FRN
Permission ID	Numeric	9	Permissions ID
Instrument ID	Numeric	6	Investment Type ID
Instrument Status	Numeric	3	Instrument Status ID
Approved Date	Date	8	YYYYMMDD
Withdrawn Date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.14 PSD Firms

This file contains the name, address and current status of firms on the Register which fall under the Payment Services Directive. Dates of first authorisation and of current status are also included.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
PSD Firm Authorisation			
Firm reference number	Numeric	7	FRN
Firm Name	Alpha Numeric	130	Current Registered Firm name
Legal Status	Numeric	3	Legal Status ID
Address			PPOB Address
Line_1	Alpha Numeric	100	Separated by double pipes
Line_2	Alpha Numeric	100	
Line_3	Alpha Numeric	100	
Line_4	Alpha Numeric	100	
Line_5	Alpha Numeric	100	
Line_6	Alpha Numeric	100	
Postcode_out	Alpha Numeric	3	
Postcode_in	Alpha Numeric	4	
Telephone Number			PPOB Telephone number
Prefix	Alpha Numeric	5	Separated by single pipe characters
Area Code	Alpha Numeric	10	
Local Number	Alpha Numeric	30	
Fax Number			
Prefix	Alpha Numeric	5	Separated by single pipe characters
Area Code	Alpha Numeric	10	
Local Number	Alpha Numeric	30	
Firm Status			
Firm Status Descr	Alpha Numeric	50	Separated by single pipe characters
Firm Status efftv date	Alpha Numeric	8	YYYYMMDD
Firm Status end date	Alpha Numeric	8	YYYYMMDD
Firm Status Last Mod Time	Date	8	YYYYMMDD
Agent Status			



Name	Type	Max. length	Notes
PSD Agent Status Descr	Alpha Numeric	50	Separated by single pipe characters
PSD Agent efftv date	Alpha Numeric	8	YYYYMMDD
PSD Agent end date	Alpha Numeric	8	YYYYMMDD
PSD Agent Last Mod Time	Date	8	YYYYMMDD
PSD Earliest Date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.15 PSD Firm Names

This file contains other names that a firm on the PSD firms file is known to use or has used in the past.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
PSD Firm Name			
Firm reference number	Numeric	7	FRN
PSD Firm Name	Alpha numeric	130	
PSD Firm Name Code	Numeric	3	Firm Name type
PSD Firm Name Start Date	Date	8	YYYYMMDD
PSD Firm Name End Date	Date	8	YYYYMMDD
PSD Firm Name Token	Alpha numeric	130	
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.16 PSD Activities

This file contains a list of all current activities held by firms carrying out PSD activities where the activity status is authorised or withdrawal requested.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
PSD Activities Detail			
Firm reference number	Numeric	7	FRN
PSD activity ID	Numeric	6	Regulated Activity ID
Activity Start Date	Date	8	YYYYMMDD
Activity End Date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.17 PSD Agents

This file contains a list of all PSD Agents associated to the firms in the PSD firms file.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
PSD Agents			
Firm reference number	Numeric	7	FRN
PSD Agent reference number	Numeric	7	FRN
PSD Agent Granted Date	Date	8	YYYYMMDD
PSD Agent Withdrawn Date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.18 Requirements

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

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Requirements Detail			
Firm reference number	Numeric	7	FRN
Short Description	Alpha Numeric	50	Short name of requirement
Full Description	Alpha Numeric	4000	Long name of requirement
Condition Status	Numeric	3	Current status of the requirement
Approved Date	Date	8	YYYYMMDD
Withdrawn Date	Date	8	YYYYMMDD
Standard or Non Standard requirement	Alpha Numeric	12	Possible values are 'NON-STANDARD' or 'STANDARD'
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	



5.3.19 Limitations

This file contains a list of all limitations associated to the firms in the Firms file. The regulated activity ID value will be included to map which activity in the permissions file, the limitation is attached to.

Name	Type	Max. length	Notes
Header record			
Header identification	Alpha numeric	6	Value 'Header'
File title	Alpha numeric	50	Value 'Approved Individual Appointments'
Date produced	Date	8	YYYYMMDD
Time produced	Time	4	HHMM in 24-hour format
Limitations Detail			
Firm reference number	Numeric	7	FRN
Regulated Activity ID	Numeric	6	Regulated Activity ID
Short Description	Alpha Numeric	50	Short name of Limitation
Full Description	Alpha Numeric	4000	Long name of Limitation
Condition Status	Numeric	3	Current status of the limitation
Approved Date	Date	8	YYYYMMDD
Withdrawn Date	Date	8	YYYYMMDD
Standard or Non Standard limitation	Alpha Numeric	12	Possible values are 'NON-STANDARD' or 'STANDARD'
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	Alpha numeric	6	Value 'Footer'
Number of data records	Numeric	8	

5.3.20 E-Money Firms

This Extract lists all E-money firms.

Name	Type	Max. length	Notes
E-Money Firm			
Firm reference number	Alpha numeric	6	FRN
Organisation Name	Alpha numeric	150	Name of firm
Status	Alpha numeric	50	Current status of firm, values of either Authorised Electronic Money Institution or Small Electronic Money Institution
Status Effective Date	Date	10	DD/MM/YYYY



5.4 Lookup codes

Each of the files has a number of 'codes' in each record. The following tables give the possible values of these codes and, where appropriate, an explanation of these values.

5.4.1 Firm authorisation

5.4.1.1 Firm's legal status type

Code	Description
1	Company Limited by Share Capital
2	UK Co Incorporated by Special Act/Royal Charter
3	Sole Trader
4	PLC
5	Limited
6	Incorporated – Industrial & Provident Society Act
7	Not Migrated
8	Not Supplied
11	Company Limited by Guarantee with Share Capital
12	Company Limited by Guarantee with No Share Capital
14	UK Body created by Special Act/Royal Charter
21	Unincorporated Body
22	Trust
23	Partnership
24	Limited Partnership
29	Not Yet Formed
34	Municipality or State, e.g. New South Wales
30	Private Unlimited Company
42	Limited Liability Partnership
43	Registered under I&PS Act 1965 and CU Act 1979
44	Incorporated under Building Societies Act 1986
45	Incorporated under Friendly Society Act 1992
46	Registered under Friendly Society Act 1974
47	Registered as overseas company by Companies House
48	European Public Limited Liability Company (SE)
49	Registered – Other Company Type by Companies House
50	Overseas Firm incorporated
51	Overseas Firm unincorporated
52	Registered as a Northern Ireland Credit Union



5.4.1.2 Firm type

Code	Description
1	Regulated
2	Branch (UK) of an Overseas Firm
5	Services (UK) of an Overseas Firm
6	Appointed Representative
11	Operator
12	Trustee/Depositary
13	UK Representative
27	Introducer AR
29	EEA Tied Agent
34	CBTL

5.4.1.3 Current authorisation status

Code	Description
Authorised	Firm with an authorised Part IV permission.
Registered	Firm that we hold details about, but do not have a Part IV permission – mainly appointed reps or former appointed reps.
EEA Authorised	Firm authorised by an EEA regulator and passporting into the UK under one of the following directives: BCD, ISD, 3LD, 3NLD, IMD, UCITSMD.
Suspended	Firm that has a permission that has not been cancelled, but that needs to suspend certain or all activities for a period of time (N.B. this status is being phased out).
Resigned	Replaced by cancelled – see 'Cancelled' for definition.
Cancelled	Firm that has had its Part IV permission cancelled through the normal resignation process.
Revoked	Firm that has had its Part IV permission cancelled through disciplinary action by the FCA /PRA.
Authorised (Schedule 5)	Any scheme where investments are managed by an operator for investors who share in any profits or income. Examples include a unit trust and an open-ended investment company. A 'regulated' collective investment scheme is a unit trust, open-ended investment company or similar scheme that has applied to the FCA to be authorised or recognised. These schemes meet various conditions, such as affording adequate protection to participants in the scheme. A collective investment scheme that is not a regulated scheme is, by definition, an 'unregulated scheme'.
Expelled	



5.4.2 Regulated activity permissions

5.4.2.1 Regulated activity

Code	Category of activity	Activity description
1	Accepting deposits	Accepting deposits
2	Insurance Business	Effecting contracts of insurance
3	Insurance Business	Carrying out contracts of insurance
4	Designated Investment Business	Establishing/operating/winding up a registered CIS
5	Designated Investment Business	Establishing/operating/winding up an unregistered CIS
6	Designated Investment Business	Acting as trustee of an authorised unit trust scheme
8	Designated Investment Business	Acting as a depository or sole director
9	Designated Investment Business	Establish/operating/winding up stakeholder pension
10	Designated Investment Business	Providing basic advice on stakeholder products
12	Designated Investment Business	Dealing in investments as principal
13	Designated Investment Business	Dealing in investments as agent
14	Designated Investment Business	Arranging deals in investments
15	Designated Investment Business	Making arrangements
16	Designated Investment Business	Safeguarding and administration of assets
17	Designated Investment Business	Arranging safeguarding and administration of assets
18	Designated Investment Business	Sending dematerialised instructions
19	Designated Investment Business	Causing dematerialised instructions to be sent
20	Designated Investment Business	Managing investments
21	Designated Investment Business	Advising (excl. pension transfers/opt-outs)
22	Designated Investment Business	Advising on pension transfers/opt-outs
23	The Lloyd's Market	Advising on syndicate participation at Lloyd's
24	The Lloyd's Market	Managing underwriting capacity of Lloyd's syndicate
25	The Society of Lloyd's	Arranging deals in insurance contracts at Lloyd's
26	The Society of Lloyd's	Arranging deals in participation in Lloyd's synds
27	The Society of Lloyd's	Act carried on in connect with ins con or syn part
28	Funeral Plan Providers	Entering as provider into a funeral plan contract
29	Investment Services Directive	Core 1(a) – Receive/transmit orders
30	Investment Services Directive	Core 1(b) – Execution of orders
31	Investment Services Directive	Core 2 – Dealing in ISD instruments
32	Investment Services Directive	Core 3 – Managing portfolios
33	Investment Services Directive	Core 4 – Underwriting
34	Investment Services Directive	Non-Core 1 – Safekeeping
35	Investment Services Directive	Non-Core 2 – Safe custody services
36	Investment Services Directive	Non-Core 3 – Granting credits or loans
37	Investment Services Directive	Non-Core 4 – Advice to undertakings on cap structure
38	Investment Services Directive	Non-Core 5 – Services related to underwriting
39	Investment Services Directive	Non-Core 6 – Investment advice



Code	Category of activity	Activity description
40	Investment Services Directive	Non-Core 7 – Foreign-exchange services
41	Banking Consolidation Directive	1 – Acceptance of deposits
42	Banking Consolidation Directive	2 – Lending
43	Banking Consolidation Directive	3 – Financial leasing
44	Banking Consolidation Directive	4 – PSD Payment Services
45	Banking Consolidation Directive	5 – Issuing and administering other means of payment
46	Banking Consolidation Directive	6 – Guarantees and commitments
47	Banking Consolidation Directive	7a – Trading own account or customer account money market insts
48	Banking Consolidation Directive	8 – Participation in securities issues
49	Banking Consolidation Directive	9 – Advice to undertakings on capital structure
50	Banking Consolidation Directive	10 – Money broking
51	Banking Consolidation Directive	11 – Portfolio management and advice
52	Banking Consolidation Directive	12 – Safekeeping and administration of securities
53	Banking Consolidation Directive	13 – Credit reference services
54	Banking Consolidation Directive	14 – Safe custody services
55	Solvency II Directive	I – Life and annuity
56	Solvency II Directive	II – Marriage and birth
57	Solvency II Directive	III – Linked long term
58	Solvency II Directive	IV – Permanent health
59	Solvency II Directive	V – Tontines
60	Solvency II Directive	VI – Capital redemption
61	Solvency II Directive	VII – Pension fund management
62	Solvency II Directive	VIII – Collective
63	Solvency II Directive	IX – Social
64	Solvency II Directive	1 – Accident
65	Solvency II Directive	2 – Sickness
66	Solvency II Directive	3 – Land vehicles
67	Solvency II Directive	4 – Railway rolling stock
68	Solvency II Directive	5 – Aircraft
69	Solvency II Directive	6 – Ships
70	Solvency II Directive	7 – Goods in transit
71	Solvency II Directive	8 – Fire and natural forces
72	Solvency II Directive	9 – Other damage to property
73	Solvency II Directive	10 – Motor vehicle liability
74	Solvency II Directive	11 – Aircraft liability
75	Solvency II Directive	12 – Liability for ships
76	Solvency II Directive	13 – General liability
77	Solvency II Directive	14 – Credit



Code	Category of activity	Activity description
78	Solvency II Directive	15 – Suretyship
79	Solvency II Directive	16 – Miscellaneous financial loss
80	Solvency II Directive	17 – Legal expenses
81	Solvency II Directive	18 – Assistance
90	Designated Investment Business	Agreeing to carry on a regulated activity
91	The Lloyd's Market	Agreeing to carry on a regulated activity
92	Funeral Plan Providers	Agreeing to carry on a regulated activity
93	Regulated Home Finance	Entering into a reg mortgage contract as lender
94	Regulated Home Finance	Administering a regulated mortgage contract
95	The Lloyd's Market	Arranging deals in investments
96	The Lloyd's Market	Making arrangements
97	Banking Consolidation Directive	7b – Trading own a/c or cust a/c-foreign exchange
98	Banking Consolidation Directive	7c – Trading own account or customer account financial futures/opt
99	Banking Consolidation Directive	7d – Trading own account or customer account exchange/interest rate ins
100	Banking Consolidation Directive	7e – Trading own account or customer account transaction securities
101	Issuing Electronic Money	Issuing electronic money
102	Insurance Mediation	Advising (ex Pension Transfers/Opt Outs)
103	Insurance Mediation	Arranging deals in investments
104	Insurance Mediation	Assisting in administration of insurance
105	Insurance Mediation	Dealing in investments as agent
106	Insurance Mediation	Making arrangements
107	Regulated Home Finance	Advising on regulated mortgage contracts
108	Regulated Home Finance	Arranging regulated mortgage contracts
109	Regulated Home Finance	Making arrangements
110	UCITS Management Directive	Management of unit trusts/common funds
111	UCITS Management Directive	Management of portfolios of investments
112	UCITS Management Directive	Investment advice
113	UCITS Management Directive	Safekeeping and administration
114	Insurance Mediation or Reinsurance Mediation	Insurance mediation or reinsurance mediation
115	Regulated Home Finance	Agreeing to carry on a regulated activity
116	Insurance Mediation	Agreeing to carry on a regulated activity
117	Regulated Home Finance	Dealing in investments as principal
118	Designated Investment Business	Operating a multilateral trading facility (MTF)
119	Designated Investment Business	Establishing/operating/winding up personal pension
120	Regulated Home Finance	Advising on a home reversion plan
121	Regulated Home Finance	Arranging (bringing about) a home reversion plan
122	Regulated Home Finance	Making arrangements for a home reversion plan



Code	Category of activity	Activity description
123	Regulated Home Finance	Entering into a home reversion plan
124	Regulated Home Finance	Administering a home reversion plan
125	Regulated Home Finance	Advising on a home purchase plan
126	Regulated Home Finance	Arranging (bringing about) a home purchase plan
127	Regulated Home Finance	Making arrangements for a home purchase plan
128	Regulated Home Finance	Entering into a home purchase plan
129	Regulated Home Finance	Administering a home purchase plan
130	Markets in Financial Instruments Directive	A1 – Receive/transmit orders
131	Markets in Financial Instruments Directive	A2 – Execution of orders
132	Markets in Financial Instruments Directive	A3 – Dealing on own account
133	Markets in Financial Instruments Directive	A4 – Portfolio management
134	Markets in Financial Instruments Directive	A5 – Investment advice
135	Markets in Financial Instruments Directive	A6 – Underwriting
136	Markets in Financial Instruments Directive	A7 – Placing of financial instrument without commitment
137	Markets in Financial Instruments Directive	A8 – Operation of MTF
138	Markets in Financial Instruments Directive	B1 – Safekeeping/safe custody
139	Markets in Financial Instruments Directive	B2 – Granting credits/loans
140	Markets in Financial Instruments Directive	B3 – Advice to undertakings on cap structure
141	Markets in Financial Instruments Directive	B4 – Foreign exchange services
142	Markets in Financial Instruments Directive	B5 – Investment Research
143	Markets in Financial Instruments Directive	B6 – Services related to underwriting
144	Markets in Financial Instruments Directive	B7 – Ancillary services
145	Banking Consolidation Directive	* – additional MiFID services and activities
146	Solvency II Directive	Life
147	Solvency II Directive	Non-Life
148	Payment Services Directive	1. Cash placement services on a payment account
149	Payment Services Directive	2. Cash withdrawal services on a payment account
150	Payment Services Directive	3. Executing payment transactions (no credit line)



Code	Category of activity	Activity description
151	Payment Services Directive	4. Executing payment transactions (credit line)
152	Payment Services Directive	5. Issuing instruments / acquiring transactions
153	Payment Services Directive	6. Money remittance
154	Payment Services Directive	7. Executing payment transactions via telecoms etc
155	Operating a Dormant Account Fund	The meeting of repayment claims by a reclaim fund
156	Operating a Dormant Account Fund	Management of Dormant Account funds
157	Designated Investment Business	Bidding in emissions auctions
159	Auction Regulation Bidding	Auction Regulation Bidding
160	UCITS IV Directive	Management of unit trusts/common funds
161	UCITS IV Directive	Management of portfolios of investments
162	UCITS IV Directive	Investment advice
163	UCITS IV Directive	Safekeeping and administration
165	Benchmark Activity	Providing information relating to regulated benchmark
166	Benchmark Activity	Administering a regulated benchmark
167	Banking Consolidation Directive	15 – Issuing electronic money
168	Designated Investment Business	Managing an authorised AIF
169	Designated Investment Business	Managing an unauthorised AIF
170	Designated Investment Business	Managing a UCITS
171	Designated Investment Business	Acting as trustee/depositary of authorised AIF
172	Designated Investment Business	Acting as trustee/depositary of unauthorised AIF
173	Designated Investment Business	Acting as trustee or depositary of a UCITS
174	Designated Investment Business	Establishing, operating or winding up a CIS
175	Alternative Investment Fund Managers Directive	Management of AIFs
176	Alternative Investment Fund Managers Directive	Management of portfolios of investments
177	Alternative Investment Fund Managers Directive	Investment advice
178	Alternative Investment Fund Managers Directive	Safekeeping and administration
179	Alternative Investment Fund Managers Directive	Reception and transmission
180	Consumer Credit	Credit broking
181	Consumer Credit	Operating electronic system in relation to lending
182	Consumer Credit	Debt adjusting
183	Consumer Credit	Debt counselling
184	Consumer Credit	Debt collecting
185	Consumer Credit	Debt administration
186	Consumer Credit	Entering into an RCA as lender (other)
187	Consumer Credit	Exercising lenders R&D under an RCA (other)



Code	Category of activity	Activity description
188	Consumer Credit	Entering into an RCA as lender (home credit)
189	Consumer Credit	Exercising lenders R&D under an RCA (home credit)
190	Consumer Credit	Entering into RCA as lender (high-cost, short-term)
191	Consumer Credit	Exercising R&D under an RCA (high-cost, short-term)
192	Consumer Credit	Entering into an RCA as lender (bill of sale)
193	Consumer Credit	Exercising lenders R&D under an RCA (bill of sale)
194	Consumer Credit	Entering into consumer hire agreements as owner
195	Consumer Credit	Exercising owners R&D under a consumer hire agreement
196	Consumer Credit	Providing credit information services
197	Consumer Credit	Providing credit references
198	Consumer Credit	Agreeing to carry on a regulated activity
199	Consumer Credit	Advising on Article 3(1)(b)
200	Mortgage Credit Directive	Offers/presents credit agreements
201	Mortgage Credit Directive	Assists in preparatory/pre-contractual admin work
202	Mortgage Credit Directive	Concludes credit agreements
203	Mortgage Credit Directive	Provides advisory services
204	Designated Investment Business	Operating an Organised Trading Facility (OTF)
205	Data Reporting Services Provider (DRSP)	Operate an Approved Publication Arrangement (APA)
206	Data Reporting Services Provider (DRSP)	Operate an Approved Reporting Mechanism (ARM)
207	Data Reporting Services Provider (DRSP)	Operate a Consolidated Tape Provider (CTP)
208	Markets in Financial Instruments Directive	A9 – Operation of OTF
209	Designated Investment Business	Entering into a reg annuity assignment agreement
210	Designated Investment Business	Entering into a reg annuity buy back agreement
211	Designated Investment Business	Regulated annuity broking
212	Designated Investment Business	Advising on P2P agreements
213	Insurance Business	Risk Transformation
1001	Appointed representative	Indicates an appointed representative, whose principal has informed the FCA /PRA, that undertakes insurance mediation business
1002	Tied agent	Where an appointed representative is carrying out MiFID business in the UK
1003	Consumer buy-to-let	Consumer buy-to-let registered (available July 2016)

NOTE: 102–106 will be used for purely GI firms. Where a firm does GI in addition to investment business, they will be replaced by activities 13, 14, 15 and 21, as appropriate.

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



5.4.2.2 Investment type

Code	Category of investment	Investment description
1	Accepting Deposits	Deposit
2	Rights under General Insurance Contracts	Accident
3	Rights under General Insurance Contracts	Sickness
4	Rights under General Insurance Contracts	Land vehicles
5	Rights under General Insurance Contracts	Railway rolling stock
6	Rights under General Insurance Contracts	Aircraft
7	Rights under General Insurance Contracts	Ships
8	Rights under General Insurance Contracts	Goods in transit
9	Rights under General Insurance Contracts	Fire and natural forces
10	Rights under General Insurance Contracts	Damage to property
11	Rights under General Insurance Contracts	Motor vehicle liability
12	Rights under General Insurance Contracts	Aircraft liability
13	Rights under General Insurance Contracts	Liability for ships
14	Rights under General Insurance Contracts	General liability
15	Rights under General Insurance Contracts	Credit
16	Rights under General Insurance Contracts	Suretyship
17	Rights under General Insurance Contracts	Miscellaneous financial loss
18	Rights under General Insurance Contracts	Legal expenses
19	Rights under General Insurance Contracts	Assistance
20	Rights under Long-Term Insurance Contracts	Life and annuity
21	Rights under Long-Term Insurance Contracts	Marriage and birth
22	Rights under Long-Term Insurance Contracts	Linked long term
23	Rights under Long-Term Insurance Contracts	Permanent health
24	Rights under Long-Term Insurance Contracts	Tontines
25	Rights under Long-Term Insurance Contracts	Capital redemption
26	Rights under Long-Term Insurance Contracts	Pension fund management
27	Rights under Long-Term Insurance Contracts	Collective insurance
28	Rights under Long-Term Insurance Contracts	Social insurance
31	Security	Share
32	Security	Debenture
33	Security	Government and public security
34	Security	Warrant
35	Security	Certificates representing certain security
36	Security	Unit
37	Contractually Based Investments	Option (excluding a commodity option)
38	Contractually Based Investments	Commodity option
39	Contractually Based Investments	Future (excluding a commodity future)
40	Contractually Based Investments	Commodity future



Code	Category of investment	Investment description
41	Contractually Based Investments	Contract for differences
42	Contractually Based Investments	Spread bet
43	Contractually Based Investments	Rolling spot forex contract
44	Contractually Based Investments	Life policy
45	The Lloyd's market	Underwriting capacity of a Lloyd's syndicate
46	The Lloyd's market	Membership of a Lloyd's syndicate
47	Investment Services Directive	1(a) – Transferrable securities
48	Investment Services Directive	1(b) – Units in collective investment undertakings
49	Investment Services Directive	2 – Money-market instruments
50	Investment Services Directive	3 – Financial futures contracts
51	Investment Services Directive	4 – Forward interest-rate agreements
52	Investment Services Directive	5 – Interest rate, currency and equity swaps
53	Investment Services Directive	6 – Options to acquire or dispose of instruments
63	Security	Stakeholder pension scheme
64	Security	Rights to or interests in investments (Security)
65	Contractually Based Investments	Funeral plan contract
66	Regulated Home Finance Products	Regulated mortgage contract
67	Contractually Based Investments	Rights to, or interests in, investments (contractually based investments)
68	The Lloyd's market	Rights to or interests in investments
69	Funeral Plan	Funeral plan contract
70	The Society of Lloyd's	Contracts of insurance
71	The Society of Lloyd's	Lloyd's syndicate capacity and syndicate membership
72	Electronic Money	Electronic money
73	Contractually Based Investments	Non-investment insurance contracts
74	Stakeholder products	Stakeholder products
75	Security	Personal pension scheme
76	Regulated Home Finance Products	Home reversion plans
77	Regulated Home Finance Products	Home purchase plans
78	Markets in Financial Instruments Directive	C1 – Transferable securities
79	Markets in Financial Instruments Directive	C2 – Money-market instruments
80	Markets in Financial Instruments Directive	C3 – Units in collective investment undertakings
81	Markets in Financial Instruments Directive	C4 – Derivatives in securities, etc
82	Markets in Financial Instruments Directive	C5 – Commodities derivatives: cash settled
83	Markets in Financial Instruments Directive	C6 – Commodities derivatives: physically settled
84	Markets in Financial Instruments Directive	C7 – Non-commercial commodity derivatives
85	Markets in Financial Instruments Directive	C8 – Credit derivatives
86	Markets in Financial Instruments Directive	C9 – Contracts for differences



Code	Category of investment	Investment description
87	Markets in Financial Instruments Directive	C10 – Other contracts
88	Security	Alternative debenture
89	Commission Auction Regulation	Emissions auction product
90	Security	Emission Allowances
91	Structured Deposits	Structured Deposits
92	Contractually Based Investments	Binary Bet
93	Markets in Financial Instruments Directive	C11 – Emission Allowances

5.4.2.3 Customer type

Code	Description	Comment
1	Private Customer	
2	Intermediate Customer	
3	Market Counterparty	
4	All	
5	Retail (Non-Investment Insurance)	Non-investment insurance only
6	Commercial	Non-investment insurance only
7	Customer	Mortgage contracts only
8	Retail (Investment)	
9	Professional	
10	Eligible Counterparty	
11	Retail (Emissions)	

5.4.2.4 Status

Code	Description	Comment
4	Authorised	
5	Withdrawn	
6	Resignation applied for	Transitory – while a firm is being processed
7	Resigned	
11	Cancelled	

5.4.2.5 Passport status

Code	Description	Comment
4	Authorised	
7	Resigned	

5.4.3 Alternative firm names

5.4.3.1 Alternative name type

Code	Description
1	Registered name
2	Trading name
3	Common name



5.4.4 Appointed representatives

5.4.4.1 Status

Status	Description
Registered	Current appointment
Withdrawn	Previous appointment

5.4.5 Collective investment schemes

5.4.5.1 Product legal form

Legal form
Authorised unit trust
FCP
ICVC
Offshore OEIC
Offshore unit trust
SICAV

5.4.5.2 Current product status

Product status
Authorised
De-recognised
Recognised

5.4.6 Firm sub-status

5.4.6.1 Status

Code	Description
1	Applied to cancel
2	In liquidation
4	Closed to new business
5	Closed to regulated business
6	Former
7	In administration
8	Former 3MLD
9	Applied to change legal status
10	Applied to change business type
11	In special administration

5.4.7 Individuals

5.4.7.1 Status

Code	Description
1	Banned
2	Applied
3	Inactive
4	Active
5	Deceased



5.4.8 Controlled functions

5.4.8.1 Function

Code	Controlled function
22	CF1 Director
23	CF2 Non Executive Director
24	CF3 Chief Executive
25	CF4 Partner
26	CF5 Director of Unincorporated Association
27	CF6 Small Friendly Society
28	CF7 Sole Trader
29	CF8 Apportionment and Oversight
30	CF10 Compliance Oversight
31	CF11 Money Laundering Reporting
32	CF12 Actuarial
33	CF13 Finance
34	CF14 Risk Assessment
35	CF15 Internal Audit
36	CF16 Significant Mgt (Desgntd Investment Business)
37	CF17 Significant Mgt (Other Business Operations)
38	CF18 Significant Mgt (Insurance Underwriting)
39	CF19 Significant Mgt (Financial Resources)
40	CF20 Significant Mgt (Settlements)
43	CF24 Pension Transfer Specialist
44	CF21 Investment Adviser
45	CF22 Investment Adviser (Trainee)
46	CF23 Corporate Finance Adviser
47	CF25 Adviser on Syndicate Participation at Lloyd's
48	CF26 Customer Trading
49	CF27 Investment Management
50	CF99 Unallocated
51	CF9 EEA Investment Business Oversight
52	CF1 Director (AR)
53	CF4 Partner (AR)
54	CF7 Sole Trader (AR)
55	CF2 Non Executive Director (AR)
56	CF12A With-Profits Actuary
57	CF3 Chief Executive (AR)
58	CF5 Director of Unincorporated Association (AR)
59	CF12B Lloyds Actuary Function
60	Responsible for Insurance Mediation



Code	Controlled function
61	CF28 Systems and Controls
62	CF29 Significant Management
63	CF30 Customer
70	CF10a CASS Oversight Function
73	CF40 Benchmark Submission
74	CF50 Benchmark Administration
75	Responsibility for MCD Intermediation
501	SMF1 Chief Executive
502	SMF2 Chief Finance Function
503	SMF3 Executive Director
504	SMF4 Chief Risk Function
505	SMF5 Head of Internal Audit
506	SMF6 Head of Key Business Areas
507	SMF7 Group Entity Senior Manager
508	SMF8 Credit Union Senior Manager
509	SMF9 Chairman
510	SMF10 Chair of the Risk Committee
511	SMF11 Chair of the Audit Committee
512	SMF12 Chair of the Remuneration Committee
513	SMF13 Chair of the Nominations Committee
514	SMF14 Senior Independent Director
516	SMF16 Compliance Oversight Function
517	SMF17 Money Laundering Reporting Function
518	SMF18 Other Overall Responsibility Function
519	SMF19 Head of Overseas Branch
521	SMF21 EEA Branch Senior Manager
522	SMF22 Other Local Responsibility Function
601	SIMF1 Chief Executive Function
602	SIMF2 Chief Finance Function
603	SIMF4 Chief Risk Function
604	SIMF5 Head of Internal Audit Function
605	SIMF7 Group Entity SIMF
606	SIMF9 Chairman
607	SIMF10 Chair of the Risk Committee
608	SIMF11 Chair of the Audit Committee
609	SIMF12 Chair of the Remuneration Committee
610	SIMF14 Senior Independent Director
611	SIMF19 Head of Third Country Branch Function
612	SIMF20 Chief Actuary Function



Code	Controlled function
613	SIMF21 With-Profits Actuary
614	SIMF22 Chief Underwriting Officer Function
615	SIMF23 Underwriting Risk Oversight Officer Lloyd's
616	SIMF25 Small Insurer Senior Manager
617	CF2a Chair of the Nominations Committee
622	CF7e Chair of the Audit Committee
623	CF51 Actuarial Conduct Function (Third Country)
624	CF2b Chair of the With-Profits Committee
625	SIMF26 Head of Small Run-Off Firm function
626	SIMF6 Head of Key Business Area Function
627	SIMF24 Chief Operations Function
523	SMF24 Chief

5.4.9 Individual employment details

5.4.9.1 Status

Code	Description
21	Employed by

5.4.10 Passport Details

5.4.10.1 Countries

Code	Country
1	Not Migrated
2	Not Known
3	AFGHANISTAN
4	ALBANIA
5	ALBERTA
6	ALGERIA
7	AMERICAN SAMOA
8	ANDORRA
9	ANGOLA
10	ANGUILLA
11	ANTARTICA
12	ANTIGUA AND BARBUDA
13	ARGENTINA
14	ARMENIA
15	ARUBA
16	AUSTRALIA
17	AUSTRIA
18	AZERBAIJAN
19	BAHAMAS



Code	Country
20	BAHRAIN
21	BANGLADESH
22	BARBADOS
23	BELARUS
24	BELGIUM
25	BELIZE
26	BENIN
27	BERMUDA
28	BHUTAN
29	BOLIVIA
30	BOSNIA AND HERZEGOVINA
31	BOTSWANA
32	BOUVET ISLAND
33	BRAZIL
34	BRITISH INDIAN OCEAN TERRITORY
35	BRUNEI DARUSSALAM
36	BULGARIA
37	BURKINA FASO
38	BURUNDI
39	CAMBODIA
40	CAMEROON
41	CANADA
42	CAPE VERDE
43	CAYMAN ISLANDS
44	CENTRAL AFRICAN REPUBLIC
45	CHAD
46	CHANNEL ISLANDS
47	CHILE
48	CHINA
49	CHRISTMAS ISLAND
50	COCOS (KEELING) ISLANDS
51	COLOMBIA
52	COMOROS
53	CONGO
54	COOK ISLANDS
55	COSTA RICA
56	CROATIA
57	CUBA
58	CYPRUS



Code	Country
59	CZECH REPUBLIC
60	DENMARK
61	DJIBOUTI
62	DOMINICA
63	DOMINICAN REPUBLIC
64	TIMOR-LESTE
65	ECUADOR
66	EGYPT
67	EIRE
68	EL SALVADOR
69	ENGLAND AND WALES
70	EQUATORIAL GUINEA
71	ESTONIA
72	ETHIOPIA
73	FAROE ISLANDS
74	FALKLAND ISLANDS
75	FIJI
76	FINLAND
77	FRANCE
78	FRANCE, METROPOLITAN
79	FRENCH GUIANA
80	FRENCH POLYNESIA
81	FRENCH SOUTHERN TERRITORIES
82	GABON
83	GAMBIA
84	GEORGIA
85	GERMANY
86	GHANA
87	GIBRALTAR
88	GREECE
89	GREENLAND
90	GRENADA
91	GUADELOUPE
92	GUAM
93	GUATEMALA
94	GUINEA
95	GUINEA-BISSAU
96	GUYANA
97	HAITI



Code	Country
98	HEARD AND MCDONALD ISLANDS
99	HONDURAS
100	HONG KONG
101	HUNGARY
102	ICELAND
103	INDIA
104	INDONESIA
105	IRAN
106	IRAQ
107	ISLE OF MAN
108	ISRAEL
109	ITALY
110	IVORY COAST
111	JAMAICA
112	JAPAN
113	JORDAN
114	KAZAKHSTAN
115	KENYA
116	KIRIBATI
117	KUWAIT
118	KYRGYZSTAN
119	LAOS
120	LATVIA
121	LEBANON
122	LESOTHO
123	LIBERIA
124	LIBYA
125	LIECHTENSTEIN
126	LITHUANIA
127	LUXEMBOURG
128	MACAU
129	MADAGASCAR
130	MALAWI
131	MALAYSIA
132	MALDIVES
133	MALI
134	MALTA
135	MARSHALLS ISLAND
136	MARTINIQUE



Code	Country
137	MAURITANIA
138	MAURITIUS
139	MEXICO
140	MICRONESIA (FEDERATED STATE OF)
141	MOLDOVA
142	MONACO
143	MONGOLIA
144	MONTSERRAT
145	MOROCCO
146	MOZAMBIQUE
147	MYANMAR
148	NAMIBIA
149	NAURU
150	NEPAL
151	NETHERLAND ANTILLES
152	NETHERLANDS
153	NEW CALEDONIA
154	NEW ZEALAND
155	NICARAGUA
156	NIGER
157	NIGERIA
158	NIUE
159	NORFOLK ISLAND
160	NORTH KOREA
161	NORTHERN IRELAND
162	NORTHERN MARIANA ISLANDS
163	NORWAY
164	OMAN
165	PAKISTAN
166	PALAU
167	PANAMA
168	PAPUA NEW GUINEA
169	PARAGUAY
170	PERU
171	PHILIPPINES
172	PITCAIRN
173	POLAND
174	PORTUGAL
175	PUERTO RICO



Code	Country
176	QATAR
177	REUNION
178	ROMANIA
179	RUSSIA
180	RWANDA
181	SAMOA
182	SAN MARINO
183	SAO TAOME AND PRINCIPE
184	SAUDI ARABIA
185	SCOTLAND
186	SENEGAL
187	SEYCHELLES
188	SIERRA LEONE
189	SINGAPORE
190	SLOVAKIA
191	SLOVENIA
192	SOLOMON ISLANDS
193	SOMALIA
194	SOUTH AFRICA
195	SOUTH KOREA
196	SPAIN
197	WESTERN SAHARA
198	SRI LANKA
199	ST. HELENA
200	ST. KITTS AND NEVIS
201	ST. LUCIA
202	ST. PIERRE AND MIQUELON
203	ST. VINCENT AND THE GRENADINES
204	SUDAN
205	SURINAME
206	SVALBARD AND JAN MAYEN ISLANDS
207	SWAZILAND
208	SWEDEN
209	SWITZERLAND
210	SYRIA
211	TAJIKISTAN
212	TAIWAN
213	TANZANIA
214	THAILAND



Code	Country
215	TOGO
216	TOKELAU
217	TONGA
218	TRINIDAD AND TOBAGO
219	TUNISIA
220	TURKEY
221	TURKMENISTAN
222	TURKS AND CAICOS
223	TUVALU
224	UGANDA
225	UKRAINE
226	UNITED ARAB EMIRATES
227	UNITED KINGDOM
228	UNITED STATES MINOR OUTLYING ISLANDS
229	UNITED STATES OF AMERICA
230	URUGUAY
231	UZBEKISTAN
232	VANUATA
233	VATICAN CITY (HOLY SEE)
234	VENEZUELA
235	VIETNAM
236	VIRGIN ISLANDS (BRITISH)
237	VIRGIN ISLANDS (US)
238	WALLIS AND FUTUNA ISLANDS
239	YEMEN
240	YUGOSLAVIA
241	CONGO, DEMOCRATIC REPUBLIC
242	ZAMBIA
243	ZIMBABWE
244	IRELAND
245	ENGLAND
246	WALES
247	SERBIA AND MONTENEGRO
248	ALDERNEY
249	GUERNSEY
250	JERSEY
251	SOUTH SUDAN
252	MACEDONIA
253	ERITREA



Code	Country
254	ÅLAND ISLANDS
255	BONAIRE, SINT EUSTATIUS AND SABA
256	CURAÇAO
257	MAYOTTE
258	MONTENEGRO
259	PALESTINE, STATE OF
260	SAINT BARTHÉLEMY
261	SERBIA
262	SINT MAARTEN (DUTCH PART)
263	SOUTH GEORGIA AND SOUTH SANDWICH ISLANDS
264	KOSOVO

5.4.11 Passport Directives

Code	Directive Name
2	Investment Services Directive
3	Banking Consolidation Directive
4	3rd Life Directive
5	3rd Non-Life Directive
6	Insurance Mediation
7	UCITS Management Directive
8	Markets in Financial Instruments Directive
9	ReInsurance Directive
10	Payment Services Directive
11	Auction Regulation
12	UCITS IV Directive
13	Alternative Investment Fund Managers Directive
14	Mortgage Credit Directive
15	Solvency II Directive

5.4.12 Passport Direction

Code	Direction Description
1	Inward
2	Outward



6 Frequently asked questions

Note – for FAQs in relation to SDM's processes, please see section 3 on page 6.

6.1 What is included in the data extracts?

- **Do the data extracts contain the following?**

FRN and organisation name – Yes
Address with postcodes – Yes
Current Status (e.g. authorised/cancelled) – Yes
Effective Date of Status – Yes
Contact name/s – No
Email addresses – No
Phone numbers – Yes (if they have been provided by the firm)
National insurance numbers – No

- **What type of information is available via the Register Extract Service (RES)?**

You will be able to obtain extracts on the following information:

Firm Details, Firm Names, Firms Statuses, Regulated Activities, Appointed Representatives, Firm Regulators, Individuals and their Controlled Functions.

As part of an enhancement to the RES, from June 2017, we have been able to provide information on the following firm types as well:

Payments service firms
Small Payment Institutions (SPI)
E-Money Firms
PSD Agents

In addition to the above, we have also added extracts to give you information on Passporting details, Requirements and Limitations data.

As part of the RES we are unable to provide information on the following:

Mutuals public register
Asset management firms
Independent financial advisers
Exempt professional firms
UK-registered AIFMs



- **Is there currently an Application Program Interface (API) or are there any plans to introduce one?**

Currently the only mechanism available to access Register data at scale is via the current Register Extract Service - there is no API service available at present. The FCA continues to explore alternative methods of publishing this data set and one of the options being looked at includes types of API services. There is no planned delivery of alternatives based on our current prioritised portfolio but this continues to be reviewed and will analyse demand, cost to deliver and value for money. If there are any updates to this service, existing subscribers will be informed.

- **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 i.e. 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.

- **Where can I find information on DRSP Activities?**

On the FCA 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.

- **Where do I find information on DRSP activities for RIE's?**

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

SDM will have a file of authorised/verified DRSPs available on their website, which will be updated when there is a change to this information.

- **Where do I find information on PSD Exclusions?**

A current subscriber can email into the Data Extract mailbox and obtain a copy of the report when it is required.

6.2 Subscription

- **How do I subscribe to the Register Extract Service?**

Sign and complete the order form and return it to data.extract@fca.org.uk.

- **Can we switch between CD and SDM during the subscription period?**

Yes, we will require two months' notice that you wish to terminate your current subscription and transfer.

A credit note or invoice will be issued as applicable for the difference in payments between the services. A new contract will be required for the change in service.

6.3 General data extract queries

- **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, but this facility is available via SDM. We are also unable to give out any summary data or any other information that constitutes analysis of the Register Extract.

- **Can the data extract files be opened in Excel?**

Yes. The files are normally sent as text files with a .EXT extension, which can be opened in Excel.

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

No.

- **Where can I find the list of fields and code definitions for the data extracts?**

The codes and formats for the data extracts can be found in **5.4 Lookupcodes**

- **What data usage band applies to me?**

- **Compliance purposes:**

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.

- **Other own business:**

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

- **How up to date is the data I receive?**

The FS Register is being updated constantly on a daily basis. 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.

- **We have not received the data extract CD. What should we do?**

Please email data.extract@fca.org.uk and let them know. They will advise you on the next steps.



- **When do I receive the data?**

- **SDM subscribers:** Weekly subscribers can access this data each Friday. Monthly subscribers access the data on the first Friday of each month.
- **CD subscribers:** For weekly subscribers, the CD will be delivered on each Tuesday. For monthly subscribers, the CD will be delivered on the first Tuesday of each month.

- **We have still not received our countersigned contract. What should we do?**

Please email data.extract@fca.org.uk and let them know, they resend you the contract.

- **We have not received the invoice. What should we do?**

Please email data.extract@fca.org.uk and let them know. They will arrange for another invoice to be sent out to the invoice recipient.

- **If there is an error with the data, who should we contact?**

Please email data.extract@fca.org.uk and let them know; also provide clear examples.

- **How much does the Register Extract Service cost?**

The order form shows the fees for weekly and monthly updates, as well as single copies of the data.

- **Where can I get information related to the Consumer Credit Interim Permissions Register?**

Details can be found here:
www.fca.org.uk/firms/systems-reporting/consumer-credit-register.

- **Where can I get a list of banks and building societies?**

www.bankofengland.co.uk/pr/Pages/authorisations/banksbuildingsocietieslist.aspx

Note that this list is not maintained by the FCA.



- **Who do I contact if I have a complaint?**

If you are unhappy about the level of service we are providing under the Terms and Conditions of this service, please contact a member of the FS Register Team via data.extract@fca.org.uk.

However, if you wish to make a formal complaint, please write to the FS Register Manager at the following address:

Financial Conduct Authority
Business Systems Management Team
Central Support, Supervision
25 The North Colonnade
Canary Wharf
London E14 5HS

Alternatively, you can email your complaint to data.extract@fca.org.uk.

