

# **Retail investment adviser –Professional Standards Data submission form file specification**

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# **1. Retail investment adviser – Professional Standards Data submission form**

This document provides the file specification for the csv file for the retail investment adviser – Professional Standards Data submission form.

If you intend to submit the report in a csv format, the data will be checked to ensure that it is in the correct format. To assist with this, please ensure that you provide information in the same order as in the file specification described in section 2.

Please ensure that the file you submit has the file extension csv e.g. 'Firm Name FRN PSData.csv'.

Please note csv files have data items separated by commas, therefore if a field contains a comma, the whole field must be enclosed within double quotes e.g. "Fully Qualified,".

Please ensure that the file you submit:

- has a header row as shown in the sample layout; and
- does not contain any blank or empty rows.

For every csv file that is submitted, the submitter details in the following list must be the same throughout the file:

- Firm\_Name
- Firm\_FRN
- Firm\_Submitter\_Forename
- Firm\_Submitter\_Surname
- Firm\_Submitter\_Position
- Firm\_Submitter\_Email
- Firm\_Submitter\_Telephone

A sample file to illustrate the file specification is shown in section 3. If these instructions and the defined format are not followed, this will delay your submission.

## 2. Professional Standards csv file specification

Data Item	Description	Format	Maximum length	Required field
<b>Firm_Name</b>	Name of the firm submitting the professional standards data.	Alphanumeric	100	Y
<b>Firm_FRN</b>	Your firm reference number e.g. 123456.	Numeric	6	Y
<b>Firm_Submitter_Forename</b>	Forename of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
<b>Firm_Submitter_Surname</b>	Surname of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
<b>Firm_Submitter_IRN</b>	Individual reference number of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	8	Optional
<b>Firm_Submitter_Position</b>	Job title of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
<b>Firm_Submitter_Email</b>	Email address of the person submitting information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
<b>Firm_Submitter_Telephone</b>	Telephone number of a person that we can contact if we have a query about the submission. Please note that this must be the same throughout any one submission.	Alphanumeric	30	Y
<b>RIA_Forename</b>	The first name of the retail investment adviser whom you are reporting on.	Alphanumeric	100	Y
<b>RIA_Surname</b>	The surname of the retail investment adviser whom you	Alphanumeric	100	Y

Data Item	Description	Format	Maximum length	Required field
	are reporting on.			
<b>RIA_IRN</b>	The individual reference number (IRN) of the retail investment adviser whom you are reporting on e.g. AAA12345.	Alphanumeric	8	Y
<b>RIA_Qualification_Status</b>	The qualification status of the retail investment adviser whom you are reporting on. This must be either: <ul style="list-style-type: none"> <li>• part qualified or</li> <li>• fully qualified.</li> </ul>	Alphanumeric	15	Y
<b>RIA_Accredited_Body</b>	The name of the accredited body used to provide independent verification. It must be one of the following: <ul style="list-style-type: none"> <li>• CFA</li> <li>• CISI</li> <li>• CIOBS</li> <li>• CII</li> <li>• ICAEW</li> <li>• IFP</li> <li>• IFS</li> <li>• PMI</li> </ul> <i>Note – this information must be provided where the retail investment adviser is fully qualified.</i>	Alphanumeric	10	Y if fully qualified
<b>RIA_Activity_Start_Date</b>	The date on which the retail investment adviser began the activity of advice. <i>Note – this must be provided where the retail investment adviser is part qualified and cannot be greater than the present date.</i>	DD/MM/YYYY	10	Y if part qualified

### 3. Sample layout of Professional Standards Data submission form

The table below illustrates what the csv file will look like in a spreadsheet:

Firm_Name	Firm_FRN	Firm_Submitter_Forename	Firm_Submitter_Surname	Firm_Submitter_IRN	Firm_Submitter_Position	Firm_Submitter_Email	Firm_Submitter_Telephone	RIA_forename	RIA_Surname	RIA_IRN	RIA_Qualification_Status	RIA_Accredited_Body	Activity_Start_Date
Azkonomo Ltd	111113	Fred	James		Compliance Officer	<a href="mailto:fred.james@azkonomo.co.uk">fred.james@azkonomo.co.uk</a>	02070664589	Charles	Harry	XYZ01091	Fully Qualified	CFA	
Azkonomo Ltd	111113	Fred	James		Compliance Officer	<a href="mailto:fred.james@azkonomo.co.uk">fred.james@azkonomo.co.uk</a>	02070664589	Emma	Gowri	MMM00006	Part Qualified		01/01/2012
Azkonomo Ltd	111113	Fred	James		Compliance Officer	<a href="mailto:fred.james@azkonomo.co.uk">fred.james@azkonomo.co.uk</a>	02070664589	Shankar	Tisco	KKK00015	Part Qualified		01/01/2012
Azkonomo Ltd	111113	Fred	James		Compliance Officer	<a href="mailto:fred.james@azkonomo.co.uk">fred.james@azkonomo.co.uk</a>	02070664589	Gordon	Blue	ZZZ01098	Fully Qualified	CISI	

The figure below shows a sample csv in a text editor. Please note that the Firm\_Submitter\_IRN field is optional and has been left blank to illustrate how an empty field is indicated in a csv file.

```

RDR_PSDData_Sample.csv
File Edit Format View Help
Firm Name,Firm FRN,Submitter Forename,Submitter Surname,Submitter IRN,Submitter Position,Submitter Email,Telephone Number,RIA Forename,RIA Surname,RIA IRN,Qualification Status,Accredited Body,Activity Start Date
Azkonomo Ltd,111113,Fred,James,,Compliance Officer,fred.james@azkonomo.co.uk,2070664589,Charles,Harry,XYZ01091,Fully Qualified,CFA,
Azkonomo Ltd,111113,Fred,James,,Compliance Officer,fred.james@azkonomo.co.uk,2070664589,Emma,Gowri,MMM00006,Part Qualified,,01/01/2012
Azkonomo Ltd,111113,Fred,James,,Compliance Officer,fred.james@azkonomo.co.uk,2070664589,Shankar,Tisco,KKK00015,Part Qualified,,01/01/2012
Azkonomo Ltd,111113,Fred,James,,Compliance Officer,fred.james@azkonomo.co.uk,2070664589,Gordon,Blue,ZZZ01098,Fully Qualified,CISI,

```