

Retail investment adviser –Professional Standards Data submission form file specification

Table of Contents

1. Retail investment adviser – Professional Standards Data submission form	3
2. Professional Standards csv file specification	4
3. Sample layout of Professional Standards Data submission form.....	6

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
Firm_Name	Name of the firm submitting the professional standards data.	Alphanumeric	100	Y
Firm_FRN	Your firm reference number e.g. 123456.	Numeric	6	Y
Firm_Submitter_Forename	Forename of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
Firm_Submitter_Surname	Surname of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
Firm_Submitter_IRN	Individual reference number of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	8	Optional
Firm_Submitter_Position	Job title of the person submitting the information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
Firm_Submitter_Email	Email address of the person submitting information – please note that this must be the same throughout any one submission.	Alphanumeric	100	Y
Firm_Submitter_Telephone	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
RIA_Forename	The first name of the retail investment adviser whom you are reporting on.	Alphanumeric	100	Y
RIA_Surname	The surname of the retail investment adviser whom you	Alphanumeric	100	Y

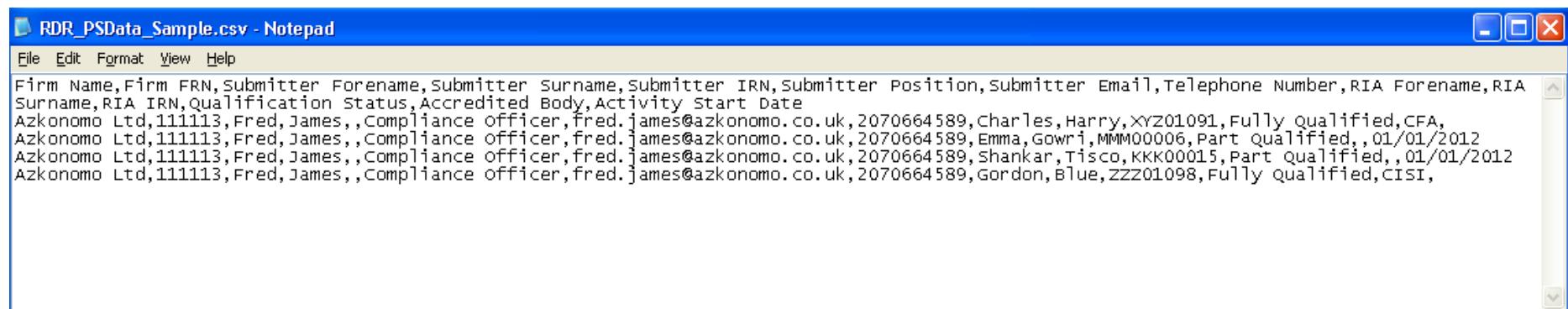
Data Item	Description	Format	Maximum length	Required field
	are reporting on.			
RIA_IRN	The individual reference number (IRN) of the retail investment adviser whom you are reporting on e.g. AAA12345.	Alphanumeric	8	Y
RIA_Qualification_Status	The qualification status of the retail investment adviser whom you are reporting on. This must be either: <ul style="list-style-type: none"> • part qualified or • fully qualified. 	Alphanumeric	15	Y
RIA_Accredited_Body	The name of the accredited body used to provide independent verification. It must be one of the following: <ul style="list-style-type: none"> • CFA • CISI • CIOBS • CII • ICAEW • IFP • IFS • PMI <p><i>Note – this information must be provided where the retail investment adviser is fully qualified.</i></p>	Alphanumeric	10	Y if fully qualified
RIA_Activity_Start_Date	The date on which the retail investment adviser began the activity of advice. <p><i>Note – this must be provided where the retail investment adviser is part qualified and cannot be greater than the present date.</i></p>	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	fred.james@azkonomo.co.uk	02070664589	Charles	Harry	XYZ01091	Fully Qualified	CFA	
Azkonomo Ltd	111113	Fred	James		Compliance Officer	fred.james@azkonomo.co.uk	02070664589	Emma	Gowri	MMM0006	Part Qualified		01/01/2012
Azkonomo Ltd	111113	Fred	James		Compliance Officer	fred.james@azkonomo.co.uk	02070664589	Shankar	Tisco	KKK00015	Part Qualified		01/01/2012
Azkonomo Ltd	111113	Fred	James		Compliance Officer	fred.james@azkonomo.co.uk	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.



The screenshot shows a Windows Notepad window with the title 'RDR_PSData_Sample.csv - Notepad'. The window contains the following CSV data:

Firm Name	Firm FRN	Submitter Forename	Submitter Surname	Submitter IRN	Submitter Position	Submitter Email	Telephone Number	RIA Forename	RIA Surname	RIA IRN	RIA 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	MMM0006	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	