

# **Electronic Submission System User Guide for SSR**

**V1.1  
February 2020**

## **What's new?**

This user guide was updated in February 2020 to include recent changes to the Electronic Submission System.

These changes predominantly relate to the extension of the Electronic Submission System to allow users to create and submit short selling notifications under the Short Selling Regulation (SSR).

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# 1. Accessing the system

Under the **Short Selling Regulation**, holders of short positions in shares, sovereign debt and sovereign contracts for difference are required to notify their positions to the FCA.

If you wish to submit documents to us on behalf of your firm, you will have to first register with the **Electronic Submission System** for access. The system allows companies' authorised reporting persons to send notifications to us via this platform.

## Registering for system access

Your registration is subject to approval. You can send documents to us via this system only once you have been accepted as an approved user of the system.



All individuals from your organisation who need to use the system must register individually for access. **Sharing your username and password with other users is strictly prohibited.**

To registration for system access, follow these three steps.

**Step 1:** Go to the [ESS login page](#) and click on **Register for System Access**



Electronic Submission System

**Electronic Submission System Login**

**Important Notices**  
Any important notices will be displayed here.

**Short Selling Regime**  
If you are already a user of the Short Selling Regime and you have been submitting notifications by emailing the FCA, then you will have to register to use the Electronic Submission System (ESS) by clicking on this [link](#).  
If you are an existing ESS user or if you have already completed registration, please login to ESS by providing your credentials below.  
For issues relating to registering for an ESS user account please contact our general administrative line on 020 7066 8348 or email [itaadmin@fca.org.uk](mailto:itaadmin@fca.org.uk)  
For issues relating to SSR submissions please email the Position Monitoring Unit [pmu@fca.org.uk](mailto:pmu@fca.org.uk).

**Login**  
Login to Electronic Submission System. [Need help?](#)  
Username   
Password   
[Forgot Your Password?](#) [Register for System Access](#) [Login](#)

**Data Protection:**  
When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.

**EU Withdrawal**  
"The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and the EU. The FCA's [Interpretative Guide on completing our forms after the UK's withdrawal from the EU](#) Interpretative Guide on completing our forms after the UK's withdrawal from the EU does not apply during the implementation period and we have not amended our forms. Please complete forms as previously until further notice."

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## Step 2: Enter your registration details, then **Submit**

### Electronic Submission System - User Registration Request

*Please supply your Personal and Company Information* *Mandatory fields are denoted by an \**

#### My Personal Information

Title \*

First Name \*

Last Name \*

Email Address \*   
Your email address will be your username. Please enter an individual work email address and not a group or consolidated email address.

Confirm Email Address \*

#### Company Information

Company Name \*

Mailing Street \*

Mailing City \*

Mailing State/Province

Mailing Zip/Postal Code \*

Mailing Country \*

Contact Number \*   
This must be your direct line telephone number, not a switchboard number

Fax Number

When providing your registration details, please note:

- Your email address must to be your **work email address**. We do not accept registrations from public domains such as Gmail or Yahoo.
- Your email address will be used as your ESS username. Once submitted, your email address cannot be changed.
- Your contact telephone number must be your direct line, not a switchboard number.
- Your company information (company address, contact number and fax) will be used on all cases where you are the named as the Primary Contact.

**Step 3:** Click on **I Accept** to accept the terms and conditions



#### Electronic Submission System - User Registration Request

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited. Please refer to the FCA Privacy Statement [here](#).



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When you click **I Accept**, you will see the **Registration confirmation** message and an email will be sent to your registered email address. At this point, your request is now with us for approval. Click on **OK** to complete the registration process.



#### Registration Confirmation

Thank you for registering for access to our Electronic Submission System. Your registration request has been submitted successfully. An email confirming your registration request has been sent out to your registered email address. If you have not received an email within 24 hours, please contact the UKLA Operational Support team on 02070668348.



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You will be sent an email once the decision is taken.

If you choose **Cancel** in Step 3, the registration request you have created will be void and no further action will be taken.

## Activating your registration

Once we have approved your registration, an email will be sent to your registered email address. This email will confirm your username and provide a link to activate your account.

Click on the link in the email and you will be prompted to set a password when you first log in.

### Change Your Password

Enter a new password for **david@bigcompanyplc.com**. Your password must have at least:

- 8 characters
- 1 uppercase letter
- 1 lowercase letter
- 1 number
- 1 special character ⓘ

\* New Password

\* Confirm New Password

Password was last changed on 18.04.2018 16:37.

Your password must be at least 8 characters long, with a mix of uppercase, lowercase and at least one special character: !#\$%\_-\_+=<>

## If your registration request is rejected

If your registration has been rejected, an email will be sent to your registered email address. If you have any queries you can call our **General administrative help desk** on the number provided in the email.

## Logging in

When you log into ESS in future, you will need to enter your username and password and click on **Login**. Enter the username in lowercase.



### Electronic Submission System Login

**Important Notices**

**Login**

Login to Electronic Submission System. [Need help?](#)

Username  ?

Password  ?

[Forgot Your Password?](#) | [Register for System Access](#)

**Data Protection:**

*When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.*

After 5 unsuccessful login attempts, your account will be locked for 30 minutes.

Whenever you log in, you will be asked to accept the **FCA Terms and Conditions** for system usage. Tick the box marked **I Accept** and click **Next** to continue.

david@bigcompanyplc.com [Log Out](#)

## Electronic Submission System Login

This website is the property of the FCA and must only be used for official FCA purposes. Under no circumstances should you give any other person your user identifier or password. Any unauthorised access to this website is strictly prohibited.

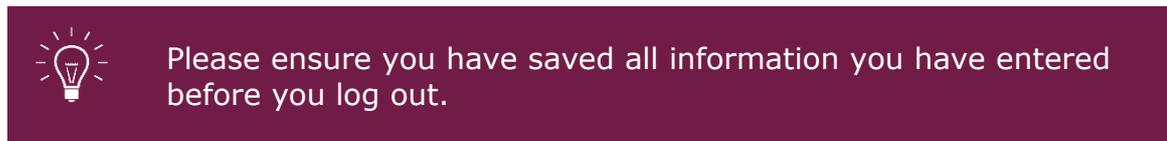
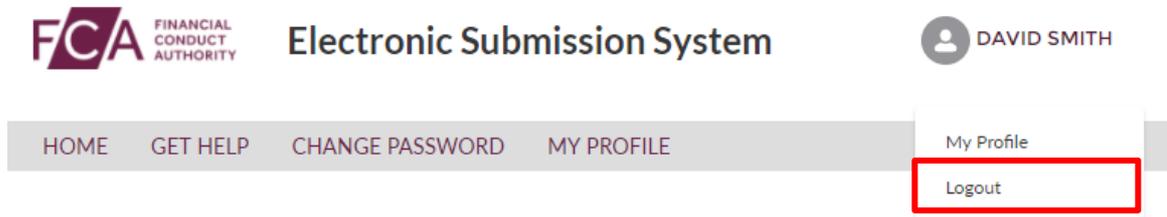
Please refer to the [FCA Privacy Statement](#) here.

**I Accept**

You can view the FCA Privacy Statement using the on-screen link, or at <https://www.fca.org.uk/privacy>

## Logging out

You can log out of the system at any time by clicking on your user name in the top right corner of the page and selecting **Logout** from the dropdown.



## Monthly Re-Authentication

On the **first login of every month**, the system will automatically re-authenticate your account. When you try to login, the system will send a verification code to your registered email address and direct you to the page below.

**Enter your Verification code**

A new verification code was sent via email to david@bigcompanyplc.com . When you receive the code, enter it below.

Verification Code

**Didn't receive the email?**

Sometimes automated messages get categorized as spam. Check your spam folder.

[Next](#)

Enter the verification code and click **Next**. On entering a correct verification code, you will be granted access to the system.

The code is one time and will expire once used. If you enter an incorrect code, a new email will be sent to your email address.

## 2. Managing your profile and password

### If you forget your password

If you forget your password, click on the **Forgot Your Password?** link on the login page.

A screenshot of the 'Electronic Submission System Login' page. The page has a light grey header with the title 'Electronic Submission System Login'. Below the header is a white box containing a login form. The form has a section for 'Important Notices' at the top, followed by a 'Login' section. The login section includes a heading 'Login to Electronic Submission System. [Need help?](#)', two input fields for 'Username' and 'Password' (each with a question mark icon), and three buttons: 'Forgot Your Password?' (highlighted with a red box), 'Register for System Access', and 'Login'. To the right of the login form is a 'Data Protection:' section with a paragraph of text: 'When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.'

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You'll be asked to provide your email address. This is your registered email address which is also your ESS username.

An email will be sent to your registered email address. The email will contain a link which can be used only once – if you forget your password again, you will have to request a new link.

When you click on the link within the email, you'll be asked to provide a new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#\$%-\_+=<>
- The new password you choose cannot be one of the last 12 passwords you have used before.

## Changing your password

Once you have registered and successfully logged in, you can change your password anytime by choosing **Change Password** on the home page.

The screenshot shows the 'Electronic Submission System' home page. At the top right, there is a user profile icon. Below it is a navigation bar with the following items: HOME, CREATE NEW CASE, MY ORGANISATIONS, CHANGE PASSWORD (highlighted with a red box), GET HELP, and MY PROFILE. Below the navigation bar is a 'My Cases' section with a search bar and a 'Go' button. There are two radio buttons: 'Case Number' (selected) and 'Organisation Name'. Below this is a table with three columns: 'Drafts (8)', 'Submitted (1)', and 'Closed (0)'.

You'll then be asked to enter your current password and your new password. When choosing a new password, remember:

- Passwords must be at least 8 characters, a mix of uppercase, lowercase, and at least one special character: !#\$%-\_ =+ <>
- The new password you choose cannot be one of the last 12 passwords you have used before.

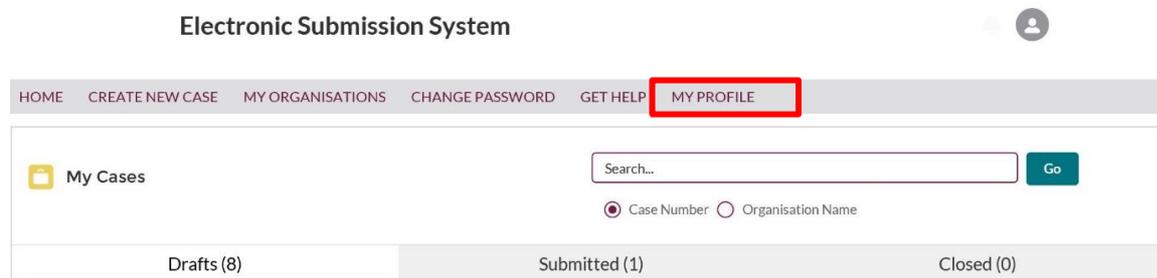
When done, click on the **Save** button.

The screenshot shows the 'Change Password' form. At the top, it says 'Electronic Submission System' and 'Change Password'. Below this is a navigation bar with the same items as the home page. The form has a title 'Change Password' and a note 'Mandatory fields are denoted by an \*'. It is divided into two sections: '1. Enter Current Password' and '2. Enter New Password'. The first section has a single text input field labeled '\* Current Password'. The second section has two text input fields: '\* New Password' and '\* Confirm New Password'. Below the input fields are two buttons: 'Save' (highlighted with a red box) and 'Cancel'. At the bottom of the form, there is a 'Username:' label and a 'Last Logged In: 13/02/2020 07:42' timestamp.

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## Updating your profile

Once your registration is approved and you have logged in, you can view and update your profile details at any time by clicking on the **My Profile** link on the home page.



Electronic Submission System

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP **MY PROFILE**

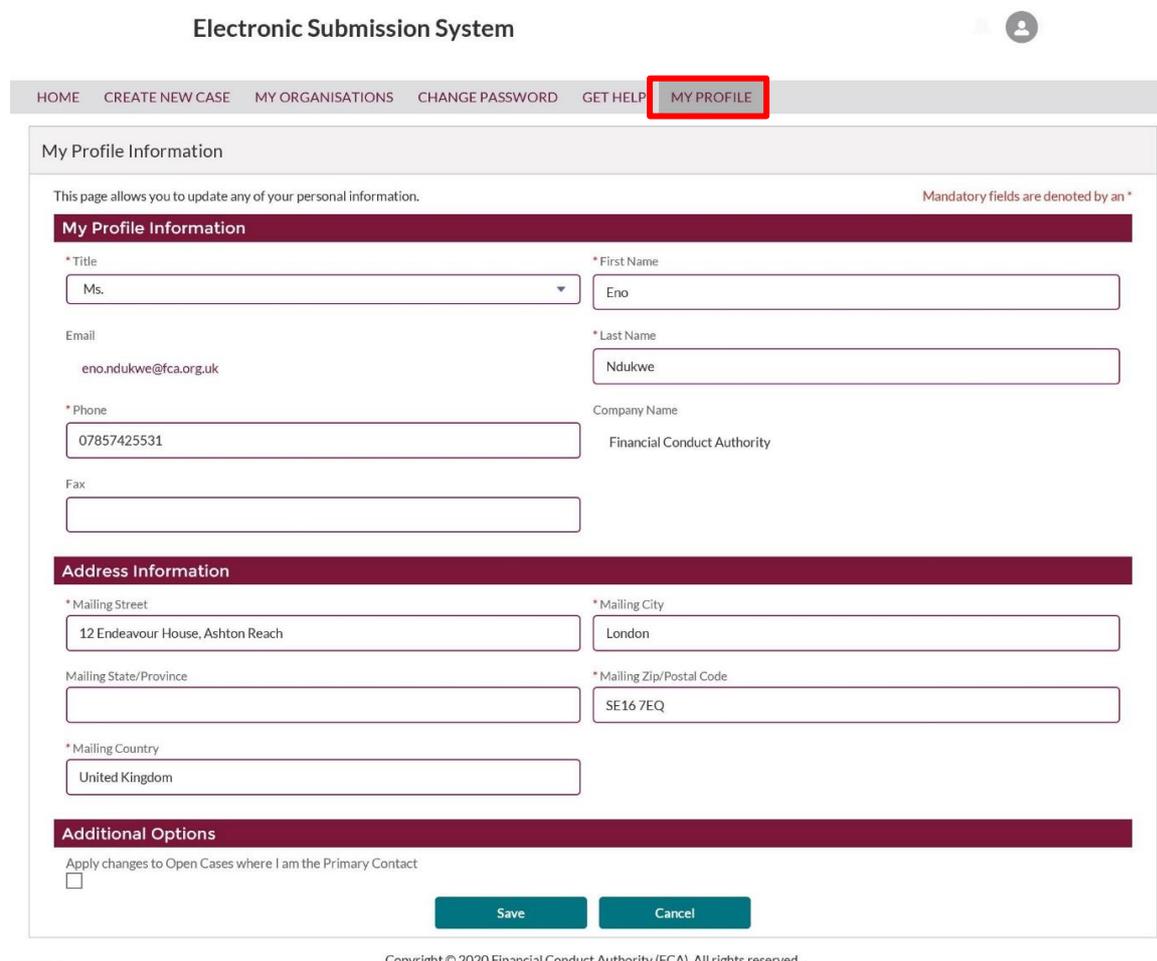
My Cases

Search... Go

Case Number  Organisation Name

Drafts (8) Submitted (1) Closed (0)

You'll now be able to view and update your profile details.



Electronic Submission System

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP **MY PROFILE**

My Profile Information

This page allows you to update any of your personal information. Mandatory fields are denoted by an \*

**My Profile Information**

\* Title: Ms. \* First Name: Eno

Email: eno.ndukwe@fca.org.uk \* Last Name: Ndukwe

\* Phone: 07857425531 Company Name: Financial Conduct Authority

Fax:

**Address Information**

\* Mailing Street: 12 Endeavour House, Ashton Reach \* Mailing City: London

Mailing State/Province: Mailing Zip/Postal Code: SE16 7EQ

\* Mailing Country: United Kingdom

**Additional Options**

Apply changes to Open Cases where I am the Primary Contact

Save Cancel

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For security reasons, you cannot change your email address and company name. These fields are displayed but cannot be edited.

Should your email address change while you are working with the same organisation, you must contact our general administrative help desk who will update your profile with your new email address.



Please keep your contact details up to date at all times. These details will be used in our correspondence for all cases where you have been indicated as the Primary Contact.

Once you made all the changes required, you can choose to update the contact details on all the cases where you are the named Primary Contact. This can be done by selecting the option to **Apply changes to Open Cases where I am the Primary Contact** in the **Additional Options** section.

Your address on closed (Approved, Withdrawn or Lapsed) cases will not be updated.

## 3. Understanding the user interface

### Important notices

On the login page, you will see a section for **Important Notices**. We update this section regularly to keep you informed about news such as system unavailability or recent changes.



Electronic Submission System

#### Electronic Submission System Login

##### Important Notices

18-20 MAY - PLANNED SYSTEM OUTAGE: From 20:00 hrs on 18 May until 18:00 20 May ESS will be unavailable to all users due to essential upgrade work which will deliver enhancements to the look and feel of the ESS portal.

March 2018 - BROWSERS: to access the Electronic Submission System from 10 March 2018 you will need a current or recent version of web browsers such as Internet Explorer 11.

Further information will shortly be available at <https://www.fca.org.uk/markets/ukla/contact/submit-documents-electronically>

We apologise for any inconvenience caused.

##### Login

Login to Electronic Submission System. [Need help?](#)

Username

Password

[Forgot Your Password?](#) | [Register for System Access](#)

##### Data Protection:

*When completing a form in ESS you may be asked to provide personal information about yourself or others. With that in mind, before you login to ESS, please read our [privacy notice](#) which tells you what to expect when the FCA collects personal information, including how and why we use personal information and who to contact if you have any queries or wish to exercise your rights.*

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## My Cases page

On successful login, you will be directed to the My Cases home page.

This page displays a list of all cases you have created or where you are a member of the case team. You will see all **Draft** cases by default, however if you want to see a list of all **Submitted** or **Closed** cases, click on the **Submitted** or **Closed** tab respectively.

Electronic Submission System

HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search... Go

Case Number  Organisation Name

Drafts (9) Submitted (1) Closed (1)

Show 10 Search in 9 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00221077	NSM	NSM Authorisation		13/02/2020 08:05
00220957	NSM	NSM Authorisation		10/02/2020 14:37
00220956	NSM	NSM Authorisation		10/02/2020 14:36
00220774	NSM	NSM Authorisation		06/02/2020 14:19
00220662	NSM	NSM Authorisation		04/02/2020 13:09
00220660	NSM	NSM File Upload		04/02/2020 13:07
00220581	NSM	NSM Authorisation		03/02/2020 16:25
00219942	PMU	Registration for Existing Position Holder		20/01/2020 10:57
00219125	PMU	Registration for Existing Position Holder		17/12/2019 15:13

Prev 1 Next

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The **Get Help** option in the top navigation bar takes you to the relevant FCA website where you will find more help on information on documents you need to submit and how to use the system.

The **Home** option will return you to the **My Cases** home page.

## Mandatory fields

Mandatory fields are marked with a red asterisk (\*). You must enter a value in these fields before you proceed to Save or Submit.

### My Profile Information

This page allows you to update any of your personal information. Mandatory fields are denoted by an \*

#### My Profile Information

* Title	* First Name
<input type="text" value="Mr."/> ▼	<input type="text" value="David"/>
Email	* Last Name
<input type="text" value="david@bigcompanyplc.com"/>	<input type="text" value="Smith"/>

## Error messages

When you click Save or Submit, an error message will be displayed if you have not entered mandatory values or if the data you have entered is invalid.

Error messages are displayed at the top of the screen. They will disappear automatically after a few seconds, or you can close them manually by clicking on the cross.

### My Profile Information

⊖ Please enter phone number⊗

This page allows you to update any of your personal information. Mandatory fields are denoted by an \*

#### My Profile Information

* Title	* First Name
<input type="text" value="Mr."/> ▼	<input type="text" value="David"/>
Email	* Last Name
<input type="text" value="david@bigcompanyplc.com"/>	<input type="text" value="Smith"/>
* Phone	Company Name
<input type="text"/>	Big Issuer PLC

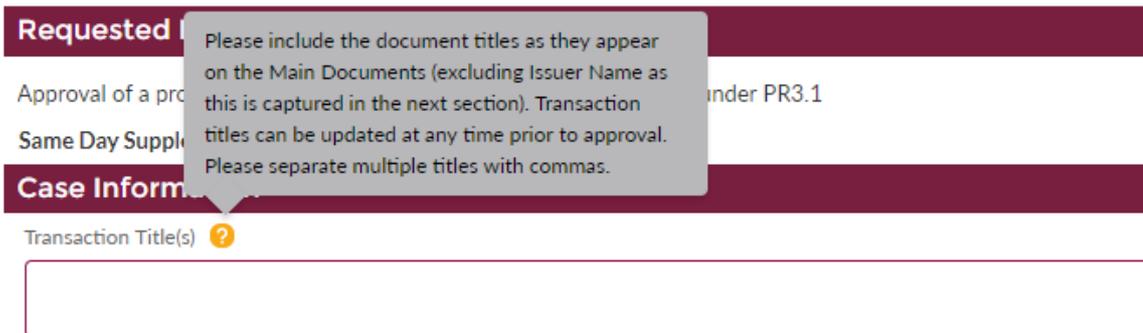
## Help text

Help text is provided for all important fields on all pages. Help text may be displayed on the screen:

NSM Email Address

*Please provide the email address of the contact uploading the approved document(s) onto the National Storage Mechanism. This email address is required for approval and needs to be reconfirmed upon final submission of document(s).*

Help text can also be viewed by clicking on the  icon next to a field.



**Requested**

Approval of a pro... under PR3.1

Same Day Suppl...

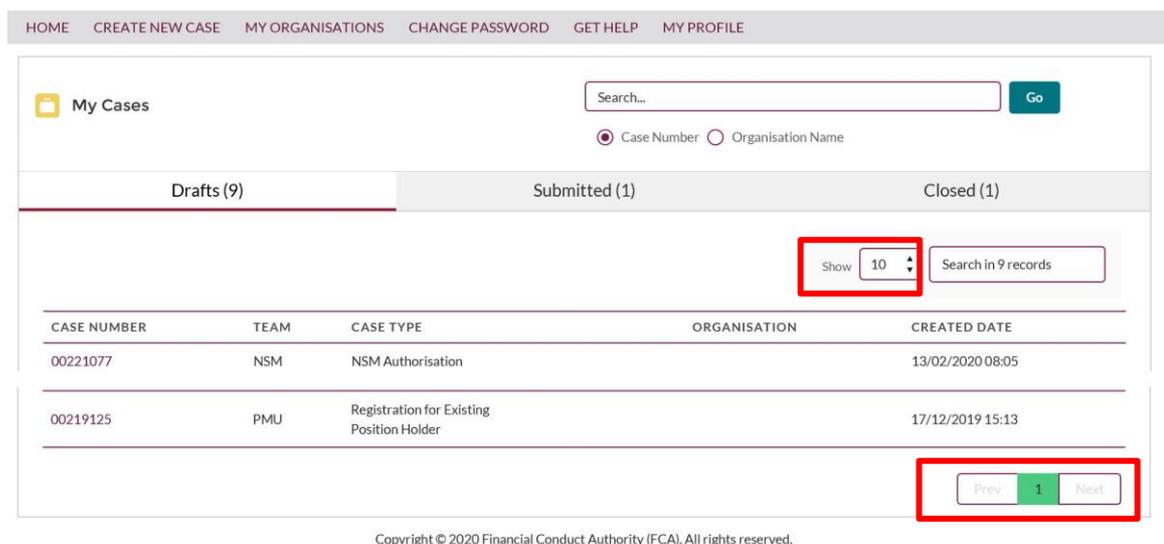
**Case Inform**

Transaction Title(s) 

## Case pagination

By default, the system will display 10 cases at a time, but you increase the number of cases shown on each page to 25, 50 or 100 using the dropdown list next to the **Show** button.

To see more cases, use the **Next** or **Previous** buttons – these will only become active when there are more cases than will fit on one page.



HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Case Number  Organisation Name

Drafts (9) Submitted (1) Closed (1)

Show 10 Search in 9 records

CASE NUMBER	TEAM	CASE TYPE	ORGANISATION	CREATED DATE
00221077	NSM	NSM Authorisation		13/02/2020 08:05
00219125	PMU	Registration for Existing Position Holder		17/12/2019 15:13

Prev 1 Next

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## Search

You can search for cases by entering a case number or issuer name in the search box and clicking **Go**.



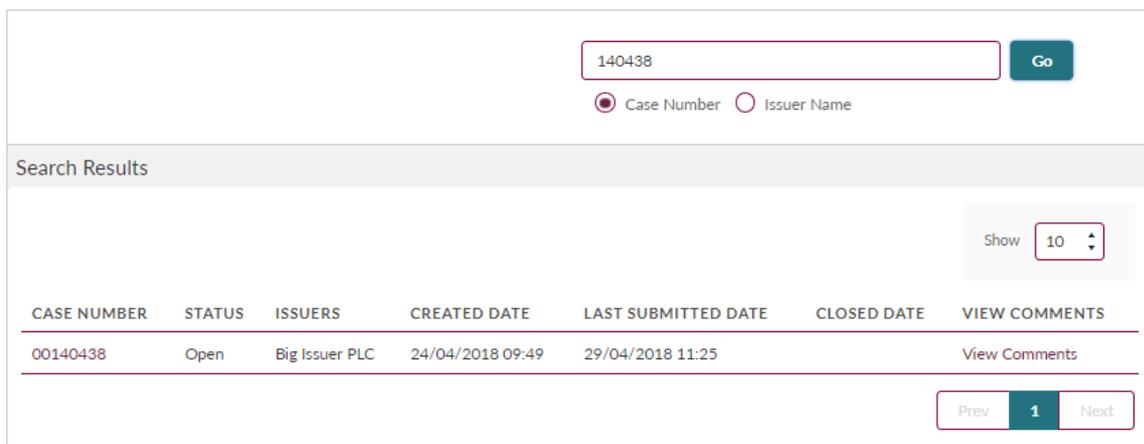
HOME CREATE NEW CASE MY ORGANISATIONS CHANGE PASSWORD GET HELP MY PROFILE

My Cases

Search... Go

Case Number  Organisation Name

You can enter a part of the Issuer Name or the Case Number. The search results will only list relevant cases you have access to.



140438 Go

Case Number  Issuer Name

Search Results

Show 10

CASE NUMBER	STATUS	ISSUERS	CREATED DATE	LAST SUBMITTED DATE	CLOSED DATE	VIEW COMMENTS
00140438	Open	Big Issuer PLC	24/04/2018 09:49	29/04/2018 11:25		View Comments

Prev 1 Next

## 4. SSR registration request or SSR notification case

You can submit the following types of SSR case types through the Electronic Submission System:

### SSR Registration requests:

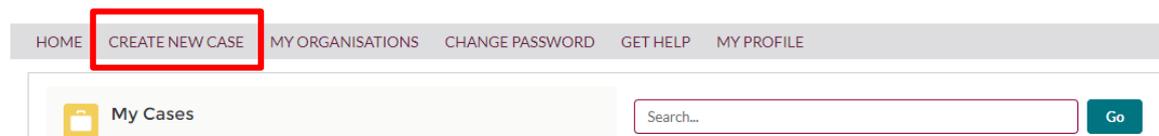
- Registration for Existing Position Holder
- Registration for New Position Holder Firm
- Registration for New Position Holder Individual

### SSR Notifications:

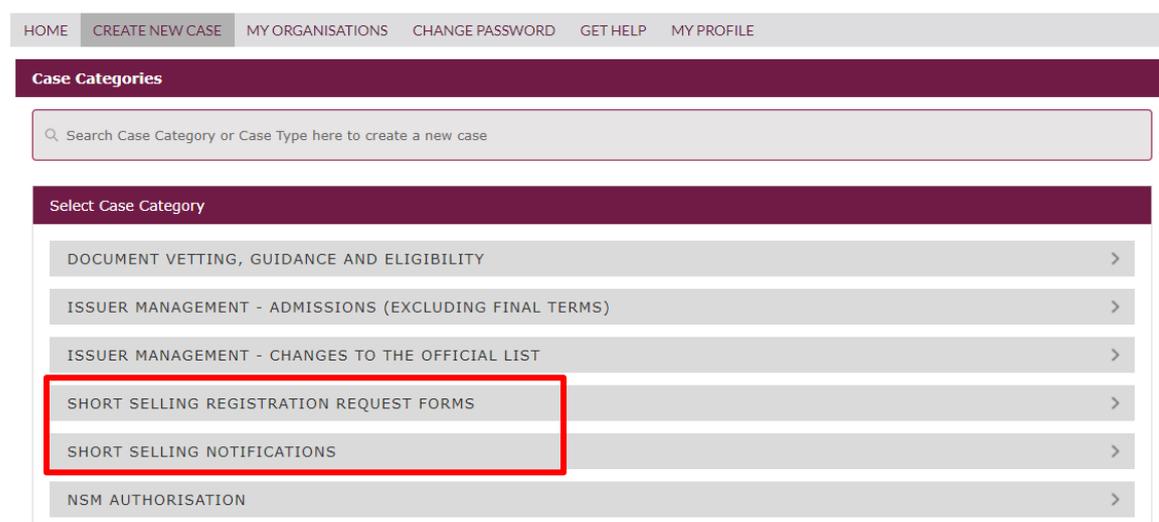
- NSP Share Notification – New
- NSP Share Notification – Correct
- NSP Share Notification – Delete
- NSP Sovereign Debt Notification – New
- NSP Sovereign Debt Notification – Correct
- NSP Sovereign Debt Notification – Delete

### Step 1: Create a new SSR case

Click on **Create New Case** on the My Cases home page.



You will be redirected to the following screen:



If you are not already authorised to submit SSR notifications, you will not see the option titled 'Short Selling Notifications.'

## Select the correct SSR case type

Click on the SSR case category heading arrows to view the case types you can choose from in each section. A case description is provided for you.

SHORT SELLING REGISTRATION REQUEST FORMS 

**Registration for Existing Position Holder**  
Use this option to register as a reporting person for an already registered Position Holder.

[Help](#) [Create Case](#)

**Registration for New Position Holder Firm**  
Use this option to register a new Position Holder that is a firm, not an individual.

[Help](#) [Create Case](#)

**Registration for New Position Holder Individual**  
Use this option to register a new Position Holder Individual.

[Help](#) [Create Case](#)

SHORT SELLING NOTIFICATIONS 

**NSP Share Notification - New**  
Use this option to submit a new net short position in a share.

[Help](#) [Create Case](#)

**NSP Share Notification - Correct**  
Use this option to submit a correction to an already submitted net short position notification.

[Help](#) [Create Case](#)

**NSP Share Notification - Delete**  
Use this option to submit a deletion request for a previously submitted net short position notification.

[Help](#) [Create Case](#)

**NSP Sovereign Debt Notification - New**  
Use this option to submit a new net short Sovereign Debt notification.

[Help](#) [Create Case](#)

**NSP Sovereign Debt Notification - Correct**  
Use this option to submit a correction to an already submitted Sovereign Debt notification.

[Help](#) [Create Case](#)

**NSP Sovereign Debt Notification - Delete**  
Use this option to submit a deletion request for a previously submitted Sovereign Debt notification.

[Help](#) [Create Case](#)

Once you have identified which case type you need to submit, select the related '**Create Case**' button.

You will then be redirected to the related case form.

### Step 2: Complete the necessary Case form



Please ensure you select the '**Save**' button to save all data entered in the case form. You can return to complete and submit the form at another time.

## 5. Short selling registration request forms

Each of the three available SSR registration forms are split into 2 sections:

- **'Registration Details'** – complete Position Holder, Contact Person and Reporting Person data fields in this section.
- **'Document upload'** – upload supporting documents in this section.

### Complete the Registration Details section:

Select the **'Start'** button in the **'Registration Details'** row.

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	<a href="#">Start</a>
Document Upload	<input type="radio"/> Not Started	(Yes)	<a href="#">Start</a>

**Position Holder Details** - complete all data fields to ensure we have comprehensive details.

**Position Holder Details**

\* Full company name

Firm Reference Number (FRN)

Legal Entity Identifier (LEI)

BIC

\* Mailing Street

\* Mailing City

\* Mailing State/Province

\* Mailing ZIP/Postcode

\* Country

### Contact Person:

- If you are the primary contact for the Position Holder then in the '**Is contact person different from reporting person?**' data field, select '**No**'.
- If the primary contact is not yourself then you should select '**Yes**.' You must then complete the primary contact person details section (as shown below)

REPORTING PERSON & CONTACT PERSON DETAILS

 **Contact Person**

\* Is contact person different from reporting person?

\* First Name

\* Last Name

\* Phone Number

Fax Number

\* Email Address

\* Confirm Email Address

Once you have completed all mandatory data fields correctly, the status of the case will now change to '**Ready to Submit.**'

### Complete the Document Upload section:

Select the '**Start**' button in the '**Document Upload**' row.

Registration for New Position Holder Firm

[? Help](#) [✓ Checklist](#)

Case Reference Number	00220487	Date/Time Opened	Friday, 31 Jan 20, 13:53
Case Status	Draft	Opened By	Scott Walker (Portal)
Closed On		Last Submitted By	
Closed By		Last Submitted On	

FORM	STATUS	REQUIRED	
Registration Details	<input type="radio"/> Not Started	(Yes)	<input type="button" value="Start"/>
Document Upload	<input type="radio"/> Not Started	(Yes)	<input type="button" value="Start"/>

Upload all necessary documents to the case.

Home > Create a Case > 00220726

### Document Upload

**Current Status** In-Progress | **Last Modified By** Louisa Rayner

[Back to Case](#) [Save](#)

**Attach Document(s) for Registration**  
 Please select at least one Document to add to your case. Valid file types are: \*.doc;\*.docx;\*.pdf;\*.jpeg;\*.jpg;  
 A file name cannot contain any of the following characters > : " / \ | ? \*

1. Select Document Type  
 Certificate of Incorporation for new PH Firm  Or drop files

*If you have attached any documents in error, you can remove them from the submission by clicking the "Remove" button below.*

**Document(s) ready for submission**

DOCUMENT TYPE	FILE NAME	VERSION	REMOVE FROM SUBMISSION	DOWNLOAD
<b>Submitted Document(s)</b>				
DOCUMENT TYPE	FILE NAME	VERSION	SUBMITTED DATE AND TIME	DOWNLOAD

[Back to Case](#) [Save](#)

Select the relevant value from the drop-down list titled '**Select Document Type.**' Document types vary depending on the type of registration case you are working on. The available values across the 3 case types are:

Document types to upload to a case	SSR registration case type	Mandatory or optional to upload
<b>Certificate of Incorporation</b> - This is a document that proves the incorporation of the Position Holder and their address	Registration for New Position Holder	Mandatory
<b>Authorisation Letter</b> - This document must be on signed company letterhead and confirms that the individual reporting person is authorised to submit notifications on behalf of the Position Holder	Registration for Existing Position Holder	Mandatory
	Registration for New Position Holder	Mandatory
<b>Proof of Identity</b> -	Registration for New Position Holder Individual	Mandatory
<b>Supporting Document</b> - Any supporting document. These are typically proof of name changes from the original registration document.	All SSR Registration Case Types	Optional

Select the '**Upload Files**' button to browse and select the document/s you wish to upload. Alternatively, drag and drop file/s into the '**Or Drop files**' text area.

Once the files have been uploaded to the case successfully, they will appear in the **'Document(s) ready for submission'** section and the status of the **'Document Upload'** section will change to **'Ready to Submit'**.

Select the **'Save'** button.

### Step 3: Submit the Case

Click into the hyperlinked **'I agree terms & conditions'** text to read the submission terms and conditions. Click into the checkbox to confirm your agreement with the terms and conditions.

FORM	STATUS	REQUIRED	
Registration Details	✓ Ready to Submit	(Yes)	<a href="#">Edit</a>
Document Upload	✓ Ready to Submit	(Yes)	<a href="#">Edit</a>
<input checked="" type="checkbox"/> I agree terms & conditions			<a href="#">Submit Case</a>

Once you have completed all necessary information in the case and agreed to the terms and conditions, the **'Submit Case'** button will be enabled (no longer greyed out). Select the **'Submit Case'** button to submit the case to us for review.

The case will now appear in the **'Submitted'** cases section of your **'My Cases'** screen.

You will be redirected to the following page which provides you with a Case Reference Number and a Case Status (shown below).

Registration for New Position Holder Firm

[? Help](#) [✓ Checklist](#)

---

<b>Case Reference Number</b> 00220487	<b>Date/Time Opened</b> Friday, 31 Jan 20, 13:53
<b>Case Status</b> Open	<b>Opened By</b> Scott Walker (Portal)
<b>Closed On</b>	<b>Last Submitted By</b> Scott Walker (Portal)
<b>Closed By</b>	<b>Last Submitted On</b> Friday, 31 Jan 20, 17:31

FORM	STATUS	REQUIRED	
Registration Details	✓ Submitted	(Yes)	<a href="#">View</a>
Document Upload	✓ Submitted	(Yes)	<a href="#">View</a>

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### Once a SSR registration case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change from **Draft** to **Open**, and the case will now be listed on the **Submitted** tab of the **My Cases** page.

The case status will remain open until a member of the Position Monitoring Unit has reviewed the registration form. Upon review, it will either be approved or rejected and the case will be closed. You will receive an email detailing the case outcome.



If you have submitted a registration case but some details are incorrect or you need to withdraw the case, please notify PMU immediately by emailing [pmu@fca.org.uk](mailto:pmu@fca.org.uk)

## 6. Short selling notification forms

Once you have been registered as a reporting person on behalf of a Position Holder, you will then be able to submit short selling notifications. The option of '**Short Selling Notifications**' will now be available for selection from the '**Select Case Category**' screen.

Firstly, complete [Step 1: Create a new SSR case](#)

### 6.1 NSP Share Notification - New

To notify us of a new share position, you must complete the necessary fields within the '**NSP Share Notification – New**' online form (shown below).

Firstly, complete [Step 1: Create a new SSR case](#) and select the '**NSP Share Notification – New**' case type.

**NSP Share Notification - New**

\* Type Of Notification

**POSITION HOLDER DETAILS**

\* Select Position Holder

Position Holder ID

**NET SHORT POSITION DETAILS**

\* Position Date

\* Issuer ISIN Code

\* Issuer Full Name

\* Number of equivalent shares

\* % of issued share capital

[Back to Case](#)
**Save**

You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

If any of the pre-populated values are incorrect, please notify us at: [pmu@fca.org.uk](mailto:pmu@fca.org.uk)

The system fields contain data validation combinations that will not allow you to submit a notification for an invalid scenario based on your last position. For example, if your last position disclosed for an ISIN was below the notifiable threshold of 0.2%, the system will not allow you to submit a notification below 0.2%.

You can save the record at any time by clicking the **'Save'** button.

Once you have entered valid values in all mandatory fields, ensure you click on the **'Save'** button. This will allow you to submit the notification.

The status of the case will now change to **'Ready to Submit'**.

FORM	STATUS	REQUIRED	
NSP Share Notification - New	<span style="color: green;">✔</span> Ready to Submit	(Yes)	<a href="#">Edit</a>

Next complete [Step 3: Submit the Case](#) to send us your notification.

### Once an SSR notification case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change once submitted. Please see the table below to understand what happens next.

Case Status		Next Steps
Closed	The case will now be listed on the <b>Closed</b> tab of the <b>My Cases</b> page.	No further action from you is required. Your submitted notification has passed all validations.
Open	The case will now be listed on the <b>Open</b> tab of the <b>My Cases</b> page.	Your submitted notification has not passed all the required checks and requires a review by PMU.
Draft	The case will now be listed on the <b>Draft</b> tab of the <b>My Cases</b> page.	Your notification has not yet been submitted.



Once a notification case is submitted, you can still view the notification details.  
You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

### 6.2 NSP share notification – correct

If you have submitted an NSP share notification to us but some of the details were incorrect, you must notify us by completing and submitting a **'NSP Share Notification – Correct'** case type.

Firstly complete [Step 1: Create a new SSR case](#) and select the **'NSP Share Notification – Correct'** case type.

You will be redirected to an online case form. Select the **'Start'** button to continue.

FORM	STATUS	REQUIRED
NSP Share Notification - Correct	<input type="radio"/> Not Started	(Optional) <span style="float: right; border: 2px solid red; padding: 2px 5px; font-weight: bold; color: white;">Start</span>

You will be redirected to the following screen:

**NSP Share Notification - Correct**

**POSITION DETAILS**

\* Position ID

Enter the '**Position ID**' related to the notification you would like to correct.

You will be redirected to the following online case form (shown below):

**NSP Share Notification - Correct**

**POSITION DETAILS**

\* Position ID  
PID00020769

Position Holder Name  
Rahul Position Holder - PH000121

Position Holder ID  
PH000121

Type Of Notification  
NSP Share Notification - Correct

**NET SHORT POSITION DETAILS**

\* Position Date  
29-Jan-2020

Issuer ISIN Code  
GB00B126KH97

Issuer Full Name  
DEBENHAMS PLC

\* Number of equivalent shares  
1,000,000

\* % of issued share capital  
0.62

\* Comments

Previous Comments

Complete the remainder of the form and then complete **[Step 3: Submit the Case](#)**.

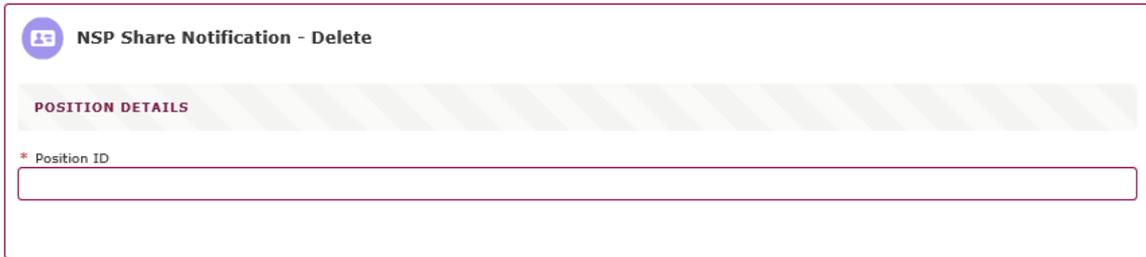
All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**.

## 6.2 NSP share notification - delete

If you have submitted an SSR notification to us in error and you wish to withdraw the notification, you must notify us by completing and submitting a **'NSP Share Notification – Delete'** case type.

Firstly complete [Step 1: Create a new SSR case](#) and select the **'NSP Share Notification - Delete'** case type.

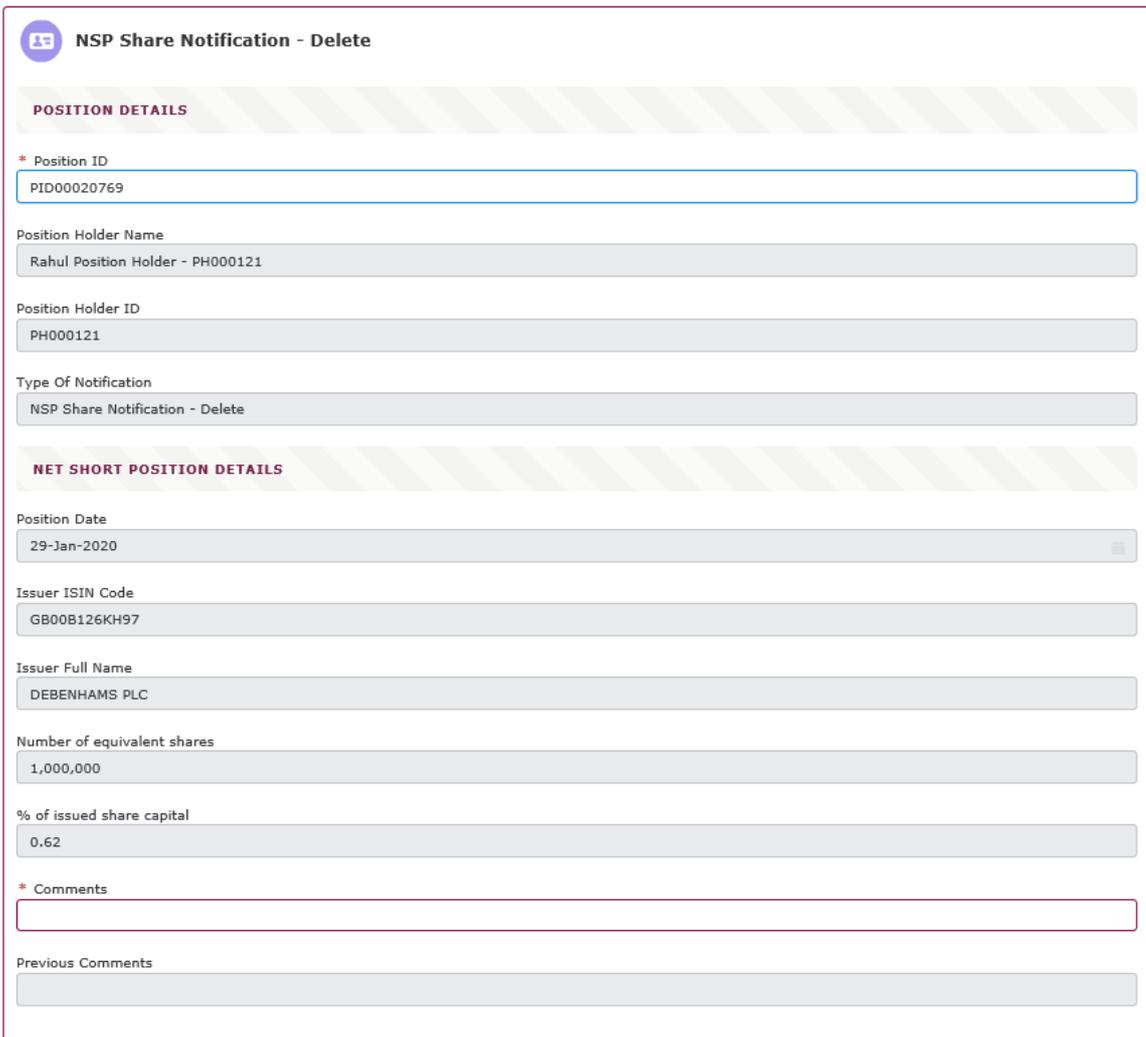
You will be redirected to the following screen:



The screenshot shows the top part of the 'NSP Share Notification - Delete' form. It features a header with a purple icon and the title 'NSP Share Notification - Delete'. Below this is a section titled 'POSITION DETAILS' with a diagonal striped background. A single input field is present, labeled '\* Position ID', which is currently empty.

Enter the **'Position ID'** related to the notification you would like to delete.

You will be redirected to the following online case form (shown below).



The screenshot shows the full 'NSP Share Notification - Delete' form. It includes the same header as the previous screenshot. The 'POSITION DETAILS' section contains several pre-filled fields: '\* Position ID' (PID00020769), 'Position Holder Name' (Rahul Position Holder - PH000121), 'Position Holder ID' (PH000121), and 'Type Of Notification' (NSP Share Notification - Delete). Below this is a section titled 'NET SHORT POSITION DETAILS' with a diagonal striped background, containing pre-filled fields for 'Position Date' (29-Jan-2020), 'Issuer ISIN Code' (GB00B126KH97), 'Issuer Full Name' (DEBENHAMS PLC), 'Number of equivalent shares' (1,000,000), and '% of issued share capital' (0.62). At the bottom, there is an empty input field for '\* Comments' and a 'Previous Comments' section which is also empty.

Complete the remainder of the form and then complete [Step 3: Submit the Case](#).

All notification **delete cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**.

## 6.4 NSP sovereign debt notification – new

To notify us of a new sovereign debt position, you must complete the necessary fields within the '**NSP Sovereign Debt Notification – New**' online form (shown below).

Firstly complete [Step 1: Create a new SSR case](#) and select the '**NSP Sovereign Debt Notification – New**' case type.

The screenshot displays the 'NSP Sovereign Debt Notification - New' form. At the top, the title bar reads 'NSP Sovereign Debt Notification - New'. Below this, the 'Current Status' is 'In-Progress' and 'Last Modified By' is 'Carrie Brunt'. The form includes a 'Back to Case' button on the left and a 'Save' button on the right. The main form area is divided into sections: 'Type Of Notification' (NSP Sovereign Debt Notification - New), 'POSITION HOLDER DETAILS' (Select Position Holder dropdown, Position Holder ID), and 'NET SHORT POSITION DETAILS' (Instrument Type dropdown, Issuer Code and Full Name (GB - United Kingdom of Great Britain and Northern Ireland), Position Date, and Equivalent Nominal Amount (in C)). There are 'Back to Case' and 'Save' buttons at the bottom of the form.

You will be able to select from a defined list of Position Holder firm/s for which you are associated with on our system. If the Position Holder you wish to submit on behalf of does not appear on the list, you must first complete the appropriate SSR registration form.

The Position Holder ID will be auto-populated and non-editable once you complete the **'Select Position Holder'** field.

If any of the pre-populated values are incorrect, please notify us at [pmu@fca.org.uk](mailto:pmu@fca.org.uk).

You can save the record at any time by clicking the **'Save'** button.

Once you have entered valid values in all mandatory fields, ensure you click on the **'Save'** button. This will allow you to submit the notification.

The status of the case will now change to **'Ready to Submit'**.

FORM	STATUS	REQUIRED
NSP Share Notification - New	 Ready to Submit	(Yes)  Edit

Next complete [Step 3: Submit the Case](#) to send us your notification.

### Once a NSP sovereign debt notification case is submitted

You will receive an email confirming that your case has been submitted. We will contact you directly if we need any more information or clarification.

The status of the case will change once submitted. Please see the table below to understand what happens next.

Case Status		Next Steps
Closed	The case will now be listed on the <b>Closed</b> tab of the <b>My Cases</b> page.	No further action from you is required. Your submitted notification has passed all validations.
Open	The case will now be listed on the <b>Open</b> tab of the <b>My Cases</b> page.	Your submitted notification has not passed all the required checks and requires a review by PMU.
Draft	The case will now be listed on the <b>Draft</b> tab of the <b>My Cases</b> page.	Your notification has not yet been submitted.



Once a notification case is submitted, you can still view the notification details. You can only amend or withdraw a notification by completing the correct or delete case type, as appropriate.

## 6.5 NSP sovereign debt notification - correct

If you have submitted a 'NSP Sovereign Debt – New' notification to us but some of the details were incorrect, you must notify us by completing and submitting a 'NSP Sovereign Debt Notification – Correct' case type.

Firstly complete [Step 1: Create a new SSR case](#) and select the 'NSP Sovereign Debt Notification – Correct' case type.

You will be redirected to the following screen. Select the 'Start' button to continue.

FORM	STATUS	REQUIRED	
NSP Sovereign Debt Notification - Correct	<input type="radio"/> Not Started	(Yes)	<input type="button" value="Start"/>

You will be redirected to the following screen:

 NSP Sovereign Debt Notification - Correct

**POSITION HOLDER DETAILS**

\* Position ID

Enter the 'Position ID' related to the notification you would like to correct.

You will be redirected to the following online case form (shown below).

**NSP Sovereign Debt Notification - Correct**

**POSITION HOLDER DETAILS**

\* Position ID

Position Holder Name

Position Holder ID

Type Of Notification

**NET SHORT POSITION DETAILS**

Instrument Type

Issuer Code and Full Name

\* Position Date

\* Equivalent Nominal Amount ( in €)

\* Comments

Complete the remainder of the form and then complete [Step 3: Submit the Case](#).

All notification **correction cases** will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted correction case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the **Closed** section of **My Cases**

### 6.6 NSP sovereign debt notification – delete

If you have submitted a Sovereign Debt notification to us in error and you wish to withdraw the notification, you must notify us by completing and submitting a '**NSP Sovereign Debt Notification – Delete**' case type.

Firstly complete [Step 1: Create a new SSR case](#) and select the '**NSP Sovereign Debt Notification – Delete**' case type.

You will be redirected to the following screen:

**NSP Sovereign Debt Notification - Delete**

**POSITION HOLDER DETAILS**

\* Position ID

Enter a valid '**Position ID**' related to the notification you would like to delete.

You will be redirected to an online case form (shown below).

**NSP Sovereign Debt Notification - Delete**

**POSITION HOLDER DETAILS**

\* Position ID

Position Holder Name

Position Holder ID

Type Of Notification

**NET SHORT POSITION DETAILS**

Instrument Type

Issuer Code and Full Name

Position Date

Equivalent Nominal Amount ( in €)

\* Comments

Complete the remainder of the form and then complete [\*\*Step 3: Submit the Case .\*\*](#)

All notification delete cases will be reviewed by the Position Monitoring Unit (PMU) team. Once they have reviewed your submitted delete case, it is either approved or rejected. Once approved/rejected you will receive an email detailing the outcome and your notification will now move to the Closed section of My Cases.

## 7. SSR technical and process support

### Technical system support

If you have any technical system questions or issues e.g. you cannot reset your password, you are unable to upload a document or you cannot log in, please contact our Operational Support team on:

**020 7066 8348**

[Ltadmin@fca.org.uk](mailto:Ltadmin@fca.org.uk)

### SSR registration or notification specific process support

If you have any SSR registration or notification specific process questions or issues e.g. you want to know the deadlines for submitting notifications or where you can view the daily published notifications, please either:

Review our [SSR webpages](#) or contact the Position Monitoring Unit (PMU) on:

[pmu@fca.org.uk](mailto:pmu@fca.org.uk)