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

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

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.

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**

![Password Change Form]

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.

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.

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.

Please ensure you have saved all information you have entered before you log out.

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 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.

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.

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.
**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.

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

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.
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.

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.

**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.
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.

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.
Search

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

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.
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.

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.

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

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.

Upload all necessary documents to the case.
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:

<table>
<thead>
<tr>
<th>Document types to upload to a case</th>
<th>SSR registration case type</th>
<th>Mandatory or optional to upload</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Certificate of Incorporation</strong> - This is a document that proves the incorporation of the Position Holder and their address</td>
<td>Registration for New Position Holder</td>
<td>Mandatory</td>
</tr>
<tr>
<td><strong>Authorisation Letter</strong> - 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</td>
<td>Registration for Existing Position Holder</td>
<td>Mandatory</td>
</tr>
<tr>
<td></td>
<td>Registration for New Position Holder</td>
<td>Mandatory</td>
</tr>
<tr>
<td><strong>Proof of Identity</strong> – Any supporting document. These are typically proof of name changes from the original registration document.</td>
<td>Registration for New Position Holder Individual</td>
<td>Mandatory</td>
</tr>
<tr>
<td><strong>Supporting Document</strong> – Any supporting document. These are typically proof of name changes from the original registration document.</td>
<td>All SSR Registration Case Types</td>
<td>Optional</td>
</tr>
</tbody>
</table>

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.

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).

**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

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.
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

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’.
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.

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

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.

You will be redirected to the following screen:
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](image)

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:

![Image of NSP Share Notification - Delete](image)

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).

![Image of online case form](image)
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.

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.

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’.

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.

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

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.

![Start button](image)

You will be redirected to the following screen:

![Position ID input](image)

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).
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:
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).

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
Ltradmin@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](mailto:ssrwebpages) or contact the Position Monitoring Unit (PMU) on:

pmu@fca.org.uk