User guide: Data Attestation for Directory persons

This user guide helps firms to complete annual data attestations to confirm that the data maintained in the FS Register for their firm is complete and correct. This Attestation needs to be completed every 12 months.

From end of 2020, directory persons information will start being published on the Financial Services Register (FS Register), a public register showing details of key people working in financial services.

Directory persons consist of:

- all Certified staff (those holding a certification function under the Senior Managers and Certification Regime (SM&CR)
- directors who are not performing Senior Manager Functions (SMFs) – both executive and non-executive
- other individuals who are sole traders or ARs (including those within ARs) where they are undertaking business with clients and require a qualification to do so

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1. Overview

Under the <u>Senior Managers and Certification Regime (SM&CR)</u>, the FCA will publish and maintain a <u>directory</u> of certified and assessed persons on the <u>Financial Services</u> <u>Register</u>, so consumers and professionals can check the details of key individuals working in financial services.

This data will be owned and maintained by firms, and firms who do not maintain an upto-date record of Directory Persons could be in breach of our reporting rules in SUP 16.26 and supervisory or enforcement action may be taken. It will also mean that the data on your Register record may not be accurate and this could be misleading to consumers.

Firms are required to maintain their directory persons data, including:

- adding new directory persons
- adding new roles
- adding new activities
- adding new accreditations
- adding new workplace locations
- adding new customer engagement methods
- updating activities, accreditations, workplace location or customer engagement method
- updating start dates and end dates for a role

Firms are required to submit an attestation form if their Directory Persons data has not changed in the last 12 months as per SUP 16.26.18-20. This guide will take you through the steps needed to do this.

<u>Hints & Tips:</u>

Before you start, confirm your firm's Directory Persons data is upto-date and accurate.

2. Connect log in

Access the Attestation section by logging into Connect.

1. Go to <u>FCA's Connect system</u> and log in using your username and password details.

FINANCIAL CONDUCT AUTHORITY	ATION	
Login to Connect		Important Notices
Email	Need Help?	Advance Notice of Connect Maintenance
Password	6	Due to essential maintenance, Directory Person Forms will be unavailable from Friday 4th September 12:30 pm and Connect will be unavailable 18:00 Friday 4th September to 18:30 Sunday 6th September. Apologies for any inconvenience this may cause.
Login		Changes to Connect When you log in, you'll notice a new and improved look and feel to Connect. We're keen for your feedback on these changes, so please use the feedback function within Connect to let us know what you think.
Forgot Your Password? Regist	er to be a Connect User	As part of the FCA's commitment to data protection, our continuous improvement programme is currently implementing some security upgrades for our Connect Users. Over the next 6 months you may be requested to create a PIN as part of your login process. When prompted please follow the onscreen instructions.

2. Agree to the cautionary notice to proceed

FCA	FINANCIAL CONDUCT BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY
	Connect Login
	Warning - This system is the property of the FCA and PRA. It is provided to you for official FCA/PRA business and must be used in accordance with FCA and PRA Policy. Under no circumstances must you give any other person your User ID and password. Any unauthorised access to this system is strictly prohibited.
	I Agree
	Cancel
	Data Protection: When completing a form in Connect you may be asked to provide personal information about yourself or others. Connect is used jointly by the Financial Conduct Authority ("FCA") and the Bank of England and contains forms which relate to both of our organisations. With that in mind, before you log in to Connect, please read our privacy notices: FCA's privacy notice www.fca.org.uk/data-protection
	Bank of England's privacy notice www.bankofengland.co.uk/prudential-regulation/authorisations
	These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we both use personal information and who to contact if you have any queries or wish to exercise your rights. Please also note that we are currently in the process of replacing all references made to the Data Protection Act 1998 ("DPA") in our forms with "The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018" ("the new data protection legislation"), where appropriate. For compliance purposes, where we still refer to the DPA in our forms, please read this as reference to the new data protection legislation. Information about how we (the FCA and the Bank of England) process personal data in line with the new data protection legislation can be found in both of our privacy notices (see links above).
	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

3. Enter required digits from your passcode and click Next.

salesforce	
Please enter digits: 4, 2 and 1 from your passcode (excluding commas).	
	Next

3. Attestation of Accuracy application

Connect	
🔒 Home	
+ Start an Application	Latest Updates
🖬 Latest Updates	
Anage Users	
📅 Pre-Application Meetings	
Financial Services Register	My Applications
FCA Handbook	
±	Export List Show 10 🗘 Search in 3 records
E→ Logout	Filter by Application Filter by Status All All Control All
	To view the individual applicant's name, click the Application Filter above and select Approved Person
	Application Number \$\(\phi\) Application \$\(\phi\) Type \$\(\phi\) Submitted Date \$\(\phi\) Status \$\(\phi\)
	0002520508 Directory Person Amend Directory Person 23/09/2020 Closed

1. Select **Start an Application** on the left-hand panel

2. Select the Directory Persons drop down arrow and click on Show more

User Guide: Data Attestation for Directory Persons

🗴 Manage Users	Applications for: R4A_SIT Testing_Passporting out_Test Firm25
# Pre-Application Meetings	APPOINTED REPRESENTATIVES >
	APPROVED PERSONS
Financial Services Register	DIRECTORY PERSONS V
FCA Handbook	Directory Persons Notification
	The following firms are subject to the Directory persons notification forms:
	insurers and reinsurers and reinsurers and reinsurers and reinsurers all other firms authorised to provide financial services under the FSMA
[→ Logout	appointed representatives (AR) acting as agent for FCA authorised firms
	The Directory Person notification forms are to be completed to add individuals to the Directory or amend the details of already reported Directory persons. For information on the categories of individuals classified as Directory persons please see SYSC 27.4
	Firms are responsible for the timely and accurate reporting of this information on an ongoing basis. SUP16 Annex 47BG contains all of the relevant rules.
	Show more

3. Select **Start Application** button for Attestation of Accuracy.

Directory Persons Notification
The following firms are subject to the Directory persons notification forms:
banks, building societies, credit unions and PRA designated investment firms
insurers and reinsurers
 all other firms authorised to provide financial services under the FSMA
 appointed representatives (AR) acting as agent for FCA authorised firms
Please note this form will be available to solo-regulated firms from 9 December 2019.
The Directory Person notification forms are to be completed to add individuals to the Directory or amend the details of already reported Directory persons. For information on the categories of individuals classified as Directory persons please see SYSC 27.4
Firms are responsible for the timely and accurate reporting of this information on an ongoing basis. SUP16 Annex 47BG contains all of the relevant rules.
Attestation of accuracy
Attestation of accuracy for Directory Persons data as per SUP 16-26-18-20
Start Application

4. Click Start Application on the pop up box.

The Directory Person notification forms are to be completed to add individuals to the Directory or amend the details reported Directory persons. For information on the categories of individuals classified as Directory persons please set
Firms are responsible for the timely and accurate reporting of this information on an ongoing basis. SUP16 Annex 47 all of the relevant rules.
Attestation of accuracy X
Before you start
Please ensure your firm's Directory Persons details are up to date before submitting the attestation of accuracy notification.
Start Application Start A
Amend and/or End Date Directory Person(s) - update the personal information held for Directory Person's

5. Click on **Start** and complete the Applicant's (the person submitting the Attestation) details and then click **Save and Next**.

FINANCIAL CONDUCT AUTHORITY	BANE OF ENGLAND PRUDENTIAL REGULATION AUTHORITY					
Directory Person - Attest	ation					
R4A_SIT Testing_Pa Firm25(999001)	R4A_SIT Testing_Passporting out_Test Checklist Firm25(999001) 					
Application Reference Number	0002520693	Last Modified By				
FORM	STATUS	;				
Applicant Details	O Not :	Started	Start			
Declaration	O Not s	Started	Start			
			Submit Applica	tion		

6. Click on Start to complete Declaration.

	ENNE OF ENCLAND PRUDENTIAL REGULATION AUTHORITY			
Directory Person - Attesta	tion			
R4A_SIT Testing_Pas Firm25(999001)	sporting out_Test			✓ Checklist
Application Reference Number	0002520693	Last Modified By		
FORM	STATUS			
Applicant Details	🕜 Complete		🛃 Edit	
Declaration	Not Started		Start	
			Subm	it Application

 Review the Declaration statement; tick the box to for Review and Confirmation; complete Authorised signatory details and then click Save and Next.

,	
ter	
	Each firm is responsible for ensuring that any information reported about a Directory person is accurate and complete.
	Even if the firm believes or knows that information has been provided to the FCA before (whether as part of another notification or otherwise) or is in the public domain, it should be disclosed clearly and fully as part of this report.
	It is a criminal offence, knowingly or recklessly, to give the FCA and/or PRA information that is materially false, misleading or deceptive (see sections 398 and 400 Financial Services and Markets Act).
	The FCA will not verify the information about Directory persons which is reported by the firm. If a firm becomes aware of any inaccuracies or errors in the information reported about a Directory person it must rectify that information as soon as possible in accordance with applicable data protection legislation.
	The firm should be aware that, while advice may be sought from a third party (e.g. legal advice), the firm has responsibility for the accuracy of information, as well as the disclosure of relevant information in the report. For certification employees, the Senior Manager with responsibility for certification (PRb) is accountable for the accuracy of the information submitted in this report.
	Review & Confirmation
	* I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA's request.
	Authorised Signatory

8. Select **Submit Application** to complete your application.

Directory Person - Attestation				
R4A_SIT Testing_Passpo Firm25(999001)	orting out_Test			V Che
Application Reference 00 Number	002520693	Last Modified By		
FORM	STATUS	1		
Applicant Details	🕢 Com	plete	🛃 Edit	
Declaration	🕢 Com	plete	🛃 Edit	

9. Select **Submit** on the pop up screen.

	DF ENGLAND DENTIAL REGULATION HORITY		
Directory Person - Attestation			
R4A_SIT Testing_Passpor Firm 25 (200000) Once the submission of your appl Home Page. Here you will be able the hard copies. The application/r records. Please use the Application	R4A_SIT Testing_Passporting out_Test Firm 25/20000000 Confirm Submit Application Once the submission of your application/notification has completed, you will remain on the Application Home Page. Here you will be able to select each section of the submitted application/notification and print the hard copies. The application/notification is to be signed by designated signatories and kept for your records. Please use the Application Reference Number in any correspondence.		
Ap,	Ca	ncel Submit	
Declaration Application is ready for submis		😰 Edit	

10. View the status of your application.

FINANCIAL CONDUCT BANK OF ENCLAND PRUDENTIAL REGULATION AUTHORITY					
Directory Person - Attestation					
R4A_SIT Testing_Passporting out_Test Firm25(999001)			✓ Checklist 🛃 Download PDF		
Application Reference Number	0002520693	Last Modified By			
FORM	STATUS				
Applicant Details	Complete		• View		
Declaration	🕢 Complete	[



Please Note:

When firms make an Attestation of Accuracy submission, the attestation date for directory person data will be updated on the Register



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