

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

Version: 1.0
October 2020

Table of Contents

1.	Overview	3
2.	Connect log in.....	4
3.	Attestation of Accuracy application.....	5

1. Overview

Under the [Senior Managers and Certification Regime \(SM&CR\)](#), the FCA will publish and maintain a [directory](#) of certified and assessed persons on the [Financial Services Register](#), 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 up-to-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.



Hints & Tips:

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

2. Connect log in

Access the Attestation section by logging into Connect.

1. Go to [FCA's Connect system](#) and log in using your username and password details.

FINANCIAL CONDUCT AUTHORITY **BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY**

Login to Connect

Email [Need Help?](#)

Password

Login

[Forgot Your Password?](#) | [Register to be a Connect User](#)

Important Notices

Advance Notice of Connect Maintenance

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.

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.

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

FINANCIAL CONDUCT AUTHORITY **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

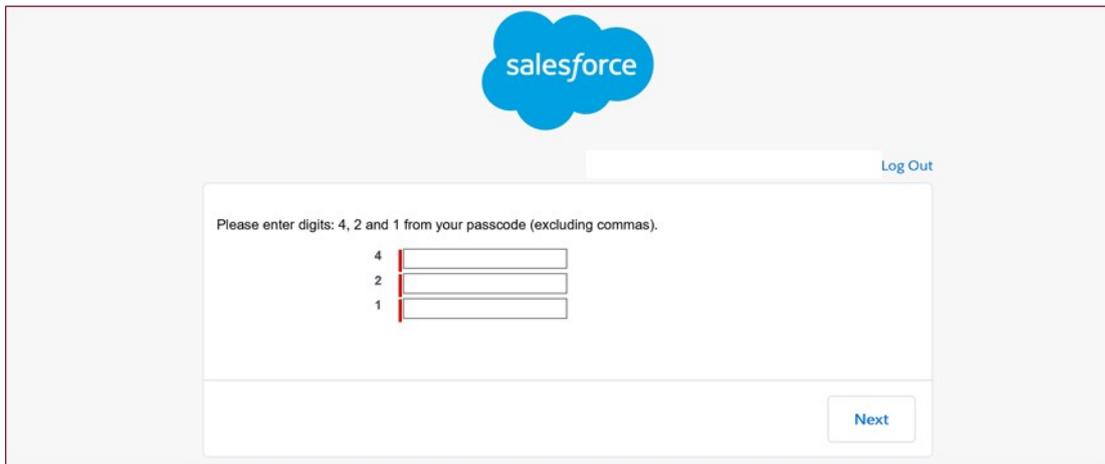
These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we both use personal information and who to contact if you have any queries or wish to exercise your rights.

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

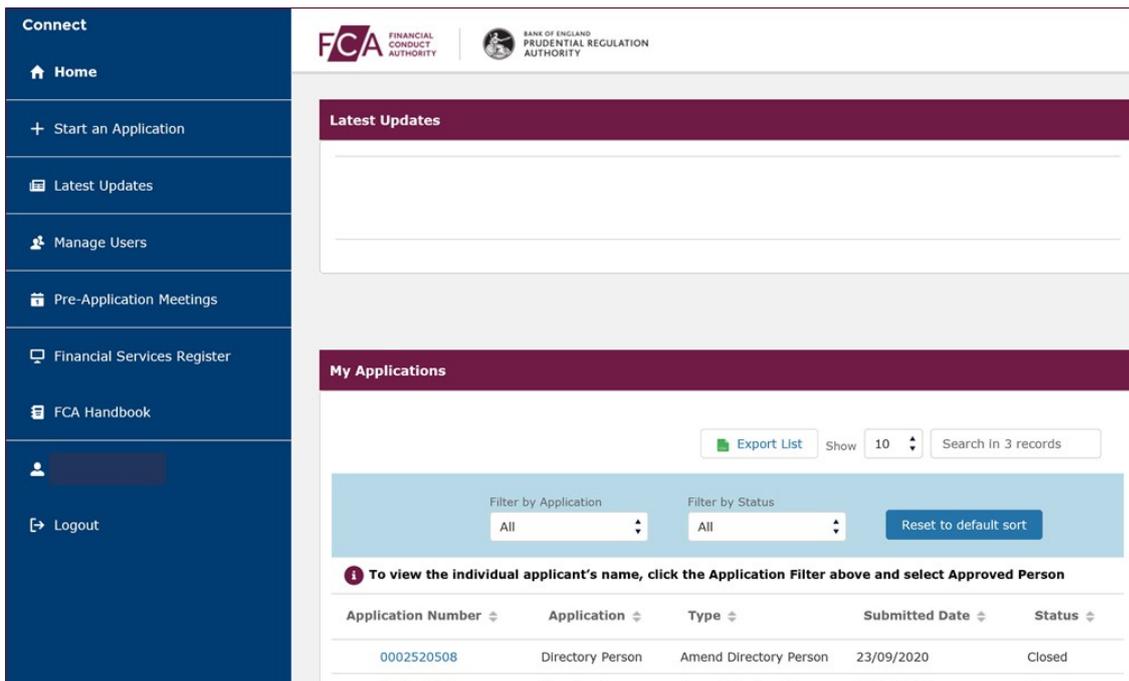
The UK has left the EU, but EU law continues to apply until the end of the implementation period agreed under the Withdrawal Agreement between the UK and

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

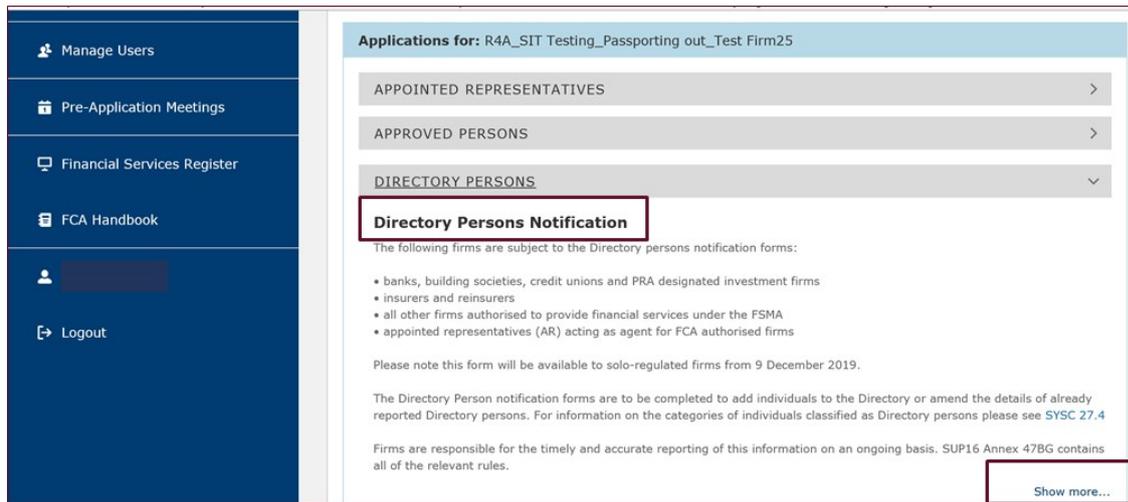


3. Attestation of Accuracy application

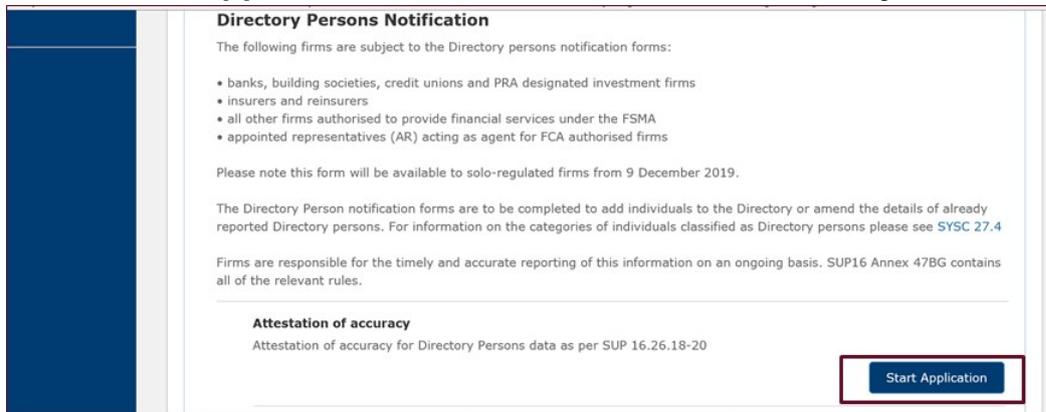
1. Select **Start an Application** on the left-hand panel



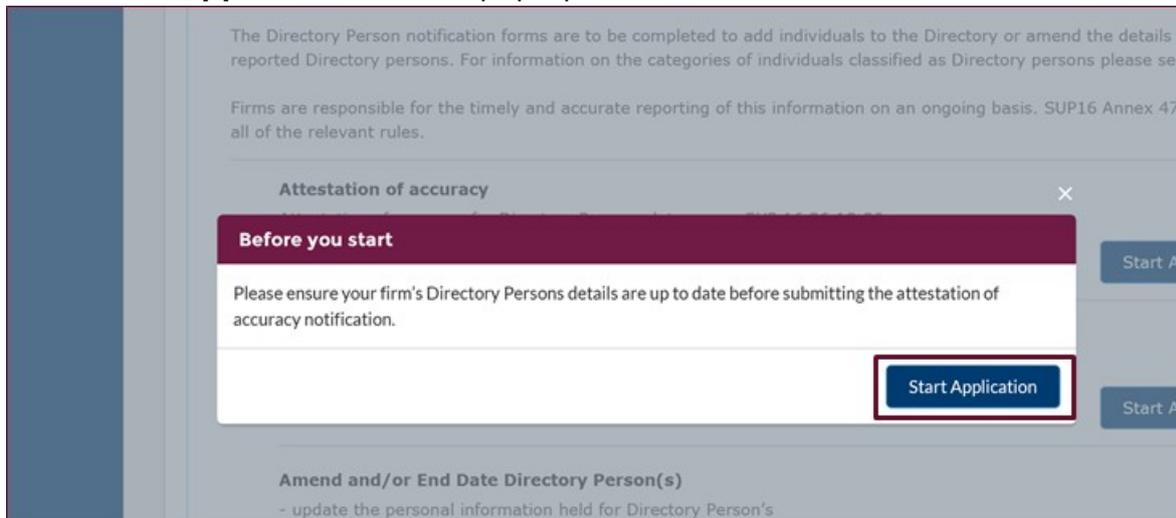
2. Select the **Directory Persons** drop down arrow and click on **Show more**



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



4. Click **Start Application** on the pop up box.



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

The screenshot shows the 'Directory Person - Attestation' page for 'R4A_SIT Testing_Passporting out_Test Firm25(999001)'. The page includes the FCA and Bank of England logos, a checklist icon, and an application reference number of 0002520693. A table lists the forms and their status:

FORM	STATUS	Actions
Applicant Details	<input type="radio"/> Not Started	Start
Declaration	<input type="radio"/> Not Started	Start

A 'Submit Application' button is located at the bottom right. The 'Start' button for the Declaration form is highlighted with a red box.

6. Click on **Start** to complete **Declaration**.

The screenshot shows the 'Directory Person - Attestation' page after the 'Applicant Details' form has been completed. The status for 'Applicant Details' is now 'Complete' with a green checkmark. The 'Declaration' form remains 'Not Started'. The 'Start' button for the Declaration form is highlighted with a red box.

FORM	STATUS	Actions
Applicant Details	<input checked="" type="radio"/> Complete	Edit
Declaration	<input type="radio"/> Not Started	Start

A 'Submit Application' button is located at the bottom right.

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

gs
ister

Back to Application Previous Save Save and Next

Declaration

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

Authorised Signatory 1

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

FCA FINANCIAL CONDUCT AUTHORITY | BANK OF ENGLAND PRUDENTIAL REGULATION AUTHORITY

Directory Person - Attestation

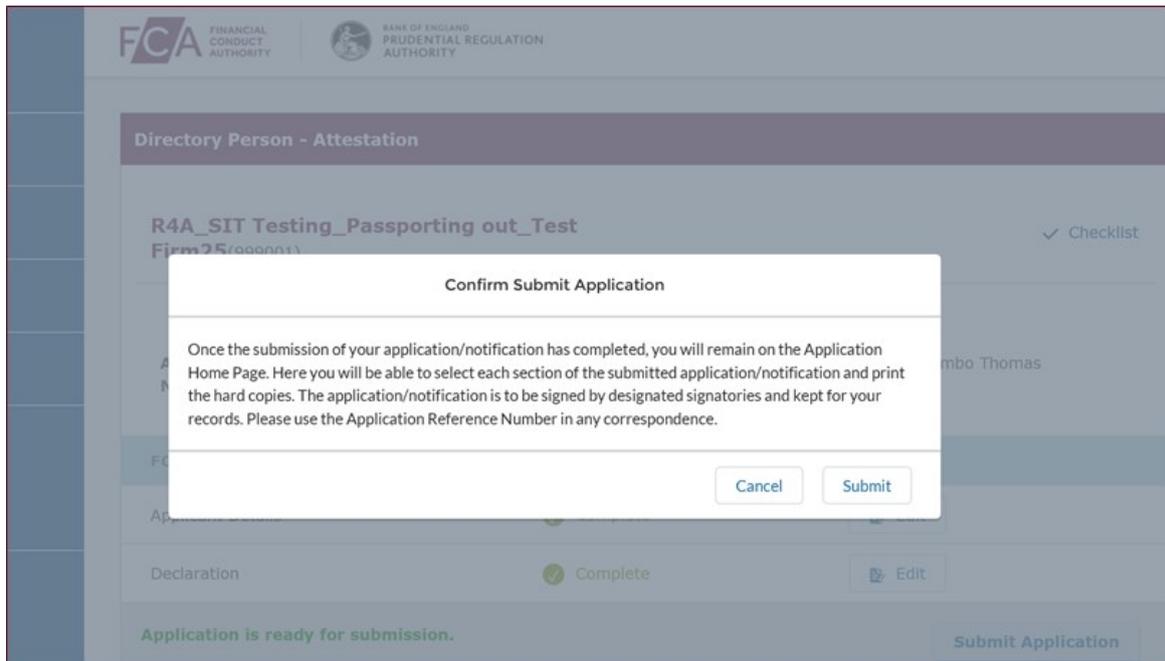
R4A_SIT Testing_Passporting out_Test Firm25(999001) ✓ Checklist

Application Reference Number: 0002520693 | Last Modified By:

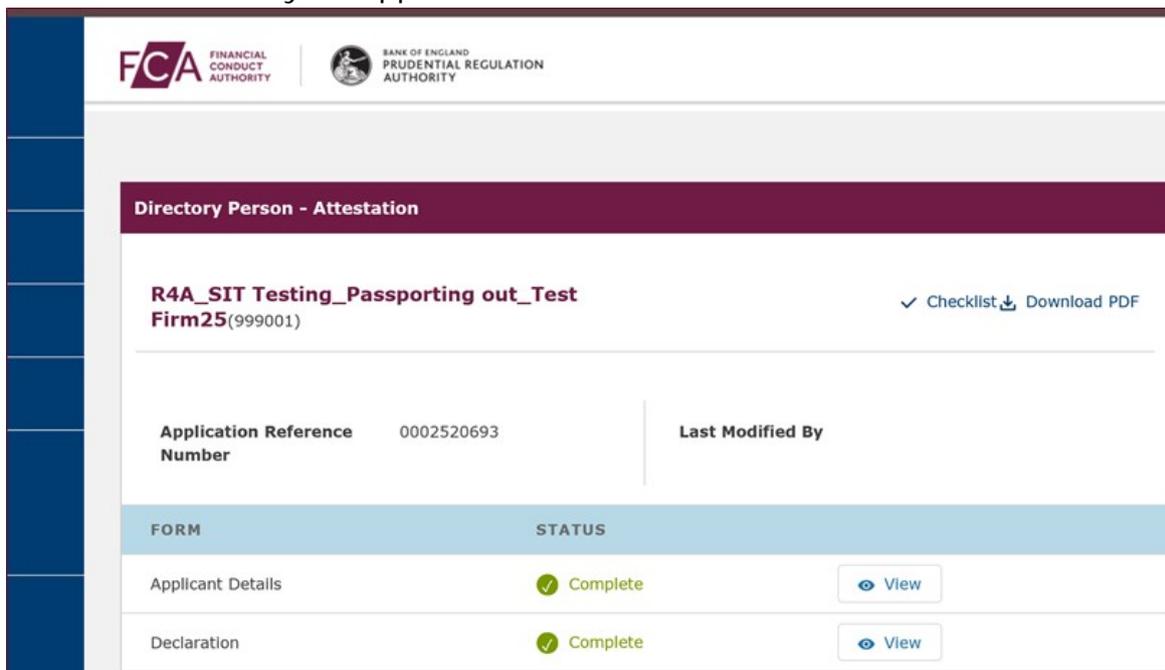
FORM	STATUS	
Applicant Details	✓ Complete	Edit
Declaration	✓ Complete	Edit

Application is ready for submission. Submit Application

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



10. View the status of your application.



Please Note:

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



12 Endeavour Square London E20
1JN Telephone: +44 (0)20 7066
1000 Website: www.fca.org.uk
All rights reserved