

User guide: Amending Directory Persons data for multiple individuals

This user guide helps firms to make bulk amendments to details of Directory Persons data previously submitted. We suggest firms use the multiple amend submission functionality if submitting data for 10 or more Persons.

Directory Persons information is 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

Directory Persons information to be published on the FS Register includes:

- name and any previous names
- roles with start and end dates
- activities undertaken

For customer-facing roles requiring qualification:

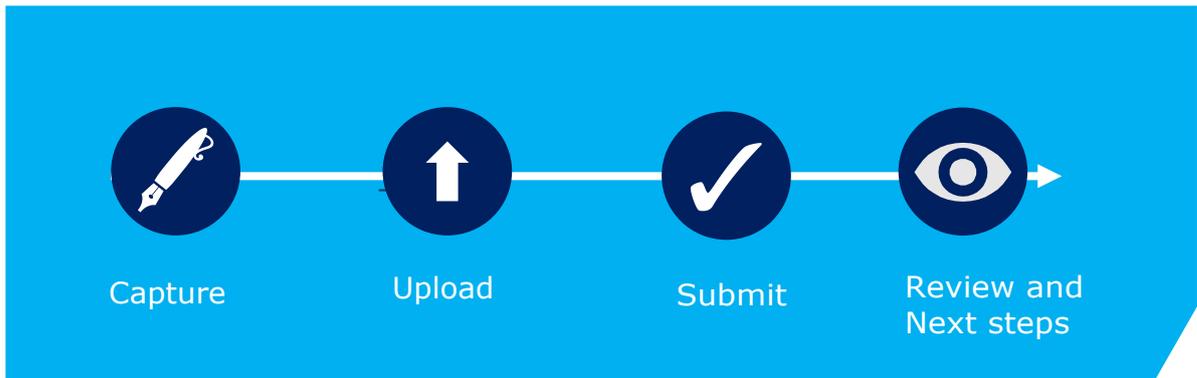
- customer engagement methods
- workplace location (where relevant)
- Memberships of professional bodies

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1. Getting started

To submit your Directory Persons data successfully, you need to:



Before you start, check you are ready to begin your submission.



Connect – Make sure you have access to the Connect system. You can't submit Directory Persons data without this.

Spreadsheet – You will need to use a program that allows you to populate an Excel spreadsheet and save the file as CSV UTF-8 format.

Bulk submission of Directory Persons data – use the Multiple Add template to submit new Directory Persons data. This could be new Directory Persons, or new data about those persons, e.g. adding a new role. It cannot be used to amend previously submitted information.

Bulk amendments of Directory Persons data – use the Multiple Amend template to amend previously submitted Directory Persons information.

Latest files – please ensure you are using the latest versions of the user guide and template from the Directory Persons web page.

2. NEW...Roles, Activities and Accreditations

See FCA Handbook for more details on [certification functions](#) and [list of Activities](#)

Roles covered in Directory
[FCA CF] (1) CASS oversight function
[FCA CF] (2) Benchmark submission and administration
[FCA CF] (3) Proprietary trader
[FCA CF] (4) Significant management
[FCA CF] (5) Functions requiring qualifications
[FCA CF] (6) Manager of certification employee
[FCA CF] (7) Material risk taker
[FCA CF] (8) Client dealing
[FCA CF] (9) Algorithmic trading
[PRA CF] Significant risk taker or Material risk taker
[PRA CF] Key function holder
[PRA CF] Managing a material risk taker
Director of firm who is not a certification employee or a SMF manager
Sole trader dealing with clients for which they require qualification
Appointed representative dealing with clients for which they require qualification

Activities covered in Directory
2. Giving personal recommendations on securities which are not stakeholder pension schemes or personal pension schemes or broker funds
3. Giving personal recommendations on derivatives
4. Giving personal recommendations on retail investment products which are not broker funds
6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met)
7. Giving personal recommendations on long-term care insurance contracts
8. Giving personal recommendations on investments in the course of corporate finance business
9. Advising on syndicate participation at Lloyd's
9A. Advising on P2P agreements
10. Broker fund adviser
11. Pension transfer specialist
12. Giving personal recommendations on and dealing in securities which are not stakeholder pension schemes or personal pension schemes or broker funds
13. Giving personal recommendations on and dealing with derivatives
14. Managing investments
15. Operating a collective investment scheme or undertaking the activities of a trustee or depositary of a collective investment scheme
16. Safeguarding and administering investments or holding client money
17. Administrative functions in relation to managing investments
18. Administrative functions in relation to effecting or carrying out contracts of insurance which are life policies
19. Administrative functions in relation to the operation of stakeholder pension schemes
20. Advising or arranging (bringing out) regulated mortgage contracts for a non-business

Activities covered in Directory
purpose
21. Advising or arranging (bringing out) equity release transactions
21A. Designing scripted questions for execution-only sales of regulated mortgage contracts for a non-business purpose
22. Designing scripted questions for execution-only sales of equity release transactions
23. Overseeing execution-only sales on a day-to-day basis in relation to equity release transactions

Accreditations
CFA Society of the UK
The Chartered Institute for Securities and Investment (CISI)
The Chartered Banker Institute (CBI)
The Chartered Insurance Institute (CII)
The London Institute of Banking and Finance (LIBF) - formerly known as IFS

3. Multiple Amend

The multiple amend template allows you to amend multiple Directory Person records via a single application. You can use the Multiple Amend template to:

- end date existing roles
- update activities, accreditations, workplace location or customer engagement method
- update start date and end date for a role

Prerequisite – A firm should have added Directory Person details using either the single Directory Person notification form or the multiple add template.

Note - *Updating activities, accreditations, workplace location or customer engagement method will overwrite the existing information. Therefore, you should only provide the information that should be displayed on the FS Register going forward.*

The Multiple Amend template you need to complete looks like the illustration below. Each row represents a single Directory Person for a single legal entity. If an individual works for multiple legal entities, please submit a separate application for each entity.

Use Cases	Single Add	Single Amend	Multiple Add	Multiple Amend	Note
Update name (title, first name, last name or commonly used name)	✓	✓			You can also hide previous name using single amend form
Update Passport Number	✓	✓			
Update Nationality	✓	✓			
Update National Insurance Number	✓	✓			
Remove existing activities		✓			
Remove existing accreditations		✓			
Remove existing workplace location		✓			
Update customer engagement method		✓			
Overwrite existing activities				✓	This will replace existing data with the information provided in the bulk amend spreadsheet. No change will be made if no data is provided for an attribute. E.g. – if no activities are listed in the Multiple Amend spreadsheet, then the existing activities will remain unchanged.
Overwrite existing accreditations				✓	
Overwrite existing workplace location				✓	
Overwrite existing customer engagement method				✓	
Update start-date		✓		✓	

Please see scenarios where you cannot use Multiple Amend and your available options:

When not to use Multiple	What action to take:
To update personal details such as – first name, last name or common name	Use the single amend Directory Person notification to amend personal details such as – first name, last name or common names
To remove an activity which is the only activity that an individual performs	Use the single amend Directory Person notification form to remove the only activity that an individual performs

To remove an accreditation that is the only accreditation that an individual is associated with	Use the single amend Directory Person notification form to remove the only accreditation that an individual is associated with
To remove a workplace location which is the only workplace location	Use the single amend Directory Person notification form to remove the only workplace location for an individual

Illustration of how submitting data via Multiple Amend would impact Directory Person data on the FS Register using Activities as an example:

Scenario	Activities previously submitted	Activities submitted via Multiple Amend	Activities that will be displayed on the FS Register
1.	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (3) Proprietary trader • [FCA CF] (4) Significant management 	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (9) Algorithmic trading 	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (9) Algorithmic trading
2.	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (3) Proprietary trader • [FCA CF] (4) Significant management 	<ul style="list-style-type: none"> • [FCA CF] (4) Significant management 	<ul style="list-style-type: none"> • [FCA CF] (4) Significant management
3.	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (3) Proprietary trader • [FCA CF] (4) Significant management 	<ul style="list-style-type: none"> • [Blank for activities] 	<ul style="list-style-type: none"> • [FCA CF] (1) CASS oversight function • [FCA CF] (2) Benchmark submission and administration • [FCA CF] (3) Proprietary trader • [FCA CF] (4) Significant management <p>Note – if no activities/ accreditations/workplace locations are provided then no changes will be made to the record.</p>

Note – The same logic applies to accreditations and workplace location.

4. Capture

What do you need to do?

- Complete the required fields on the template.
- Be aware of the required format for each field.
- Be aware of the rules relating to roles, activities, customer engagement methods and workplace location.
- Be aware that if you are end dating all the active roles of an individual, then all the activities, workplace locations and accreditations associated previously with this individual will also be removed.

Important information you need to know when completing the template:

- The header cell of each column contains help text (if needed). Hover over header cells to display the text.
- Do not remove or edit the top 3 rows.
- Do not add formatting to the spreadsheet (e.g. cell borders) as this may corrupt the file when it is saved to CSV UTF-8.
- Some cells contain validations. Do not change them or your submission is likely to fail.
- Do not use commas as they will cause your submission to fail.
- Do not leave blank rows. For example, do not fill in row 10 and 12 but leave row 11 blank. If you do any data after row 10 will not be processed.

Hints & Tips:

Where an individual has had a gap in service:

1. First submit the historical role using single add or multiple add.
2. Check the Application feedback file to confirm that the historical role submission has been processed
3. Then add the current role.

Warning! If you submit current role first and then historical message later, you will get an error message



Use the formats and rules in the following table when completing the multiple amend template. Please follow these carefully – if there are errors your file will not be processed.

	Data Field	Format	Required?
Firm Details	FRN	Numeric – 6 to 7 characters	
Personal Details	IRN	Alphanumeric – 8 characters	
	Date of birth	Numeric – (dd/mm/yyyy)	
	National Insurance number ¹	Alphanumeric – 2 Alpha followed by 6 numeric followed by 1 Alpha	
	Passport number ²	Free Text field	
	Nationality	Predefined drop-down list	Mandatory when providing passport number
Directory Person role details	Relevant roles currently held	Predefined drop-down list	Mandatory when amending start date, end date or customer engagement method (if applicable) for an existing role
	Date started role	Numeric – (dd/mm/yyyy) - Can be up to 3 months in the future	Either start, end date or customer engagement method (if applicable) is mandatory when relevant role is populated
	Role end date	Numeric – (dd/mm/yyyy) -	Either start, end date or customer engagement method (if applicable) is mandatory when relevant role is populated
	Activities which the Directory Person carries out	Predefined drop-down list	
	Customer engagement method(s)	Predefined drop-down list – More than one can be selected	Either start, end date or customer engagement method (if applicable) is mandatory when relevant role is populated
	Workplace location(s) ³	Alphanumeric – 8 characters – Up to 5 postcodes can be provided	
	Relevant Accredited Body the Directory Person is a Member of for customer engagement roles requiring qualification only	Predefined drop-down list	
Key			
	Always required		
	Where applicable		

1. National Insurance (NI) number: It is mandatory to provide a NI number if the Directory Person has one (see SUP16Annex47AR (4-5) & SUP16Annex47BG (2)).
2. Passport number: provide the passport number and nationality if the Directory Person does not have an NI number.
3. The workplace location field may be left blank if a firm believes that making a Directory Person's workplace location public would put them at risk.

Saving your file

Note: To ensure your file is processed promptly, please don't exceed a file size of 5MB (megabytes). The number of rows you can populate will depend on how many columns are used. For example:

- 100% (96) columns populated = approx. 1 500 rows
- 50% (48) columns populated = approx. 2000 rows
- 25% (24) of columns populated = approx. 2500 rows

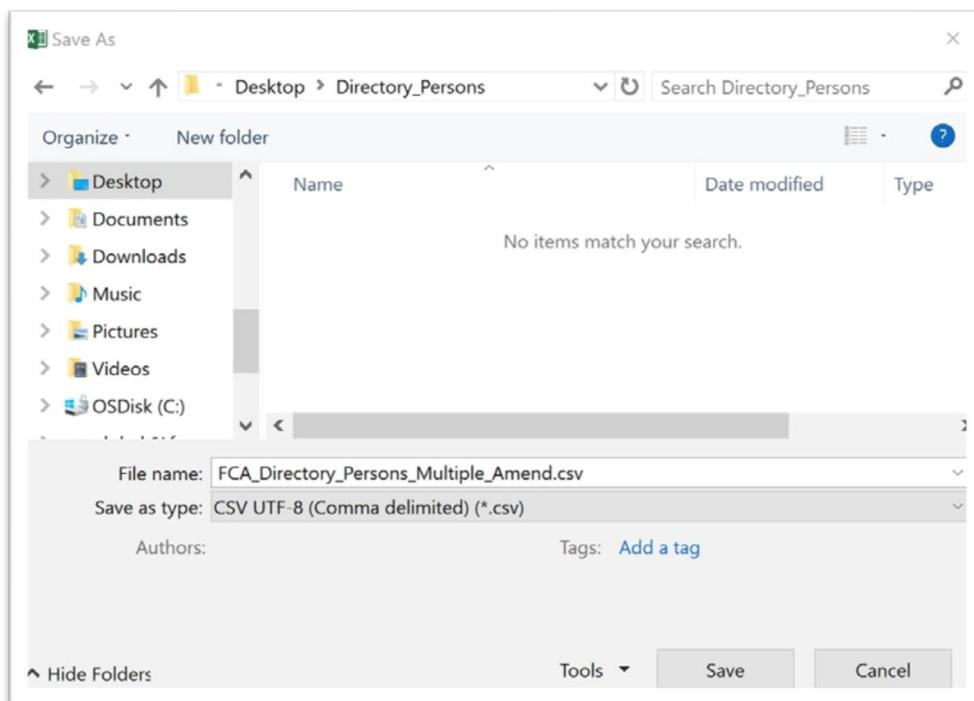
If you need to submit more information than this, you can do so by submitting another application and uploading a file with the remaining information.

When you have completed the template with all the information in appropriate fields, **save the file in the .csv (comma separated values)** format, and **not** as .xls (Excel spreadsheet). Do not save it as a CSV UTF-8 until you are ready to submit, as doing so will remove the template formatting.

When saving the file, ensure you are on the form that contains the information you have populated, as the CSV UTF-8 format removes all other tabs.

The name of your file should be: 'FCA_Directory_Persons_Multiple_Amend.csv' and saved on a local drive. Do not use any spaces or special characters in the file name.

When you have saved the file, you are ready to upload your file(s) to Connect



Saving as a .csv file

5. Upload

To upload your completed Multiple Amend template:

Note: All screenshots provided are for illustration purposes only. Actual content and design may differ on Connect.

1. Log into your Connect account.
2. Click on 'Start an Application' – this button is on the left-hand side of the screen.



3. Select the section 'Directory Persons'.



4. To amend Directory Person(s), select 'Start Application'.

Amend and/or End Date Directory Person(s)

- update the personal information held for Directory Person's
- update information in relation to the Directory Person's current roles and/or activities
- update information when the Directory Person's ceases to perform specific roles

[Start Application](#)

5. Complete the 'Applicant Details' section. The 'Applicant' is the person submitting the notification. This is not for the details of the Directory Person.

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

6. When you have completed the 'Applicant Details' section, select the 'Directory Person Details' section.

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

7. Select the 'File Upload' option.

Directory Person Details

* Please choose if you wish to provide your Directory person(s) details by entering them on a notification form or by uploading a file you have compiled from our approved template.

File Upload

--None--

Notification Form

File Upload

Please note:
you can complete these steps before starting to populate the template.

When you select 'File Upload', you can download the template via a link.



8. Upload your file(s) or drop them in the box shown below.

 **Amend Individuals**

You must attach the Individuals you wish to add. Ensure the file provided is in the format of the provided template.
fca.org.uk/publication/forms/directory-persons-multiple-submissions-template.xlsx

* This document is required.

Or drop files

9. The file(s) you uploaded will appear on the screen. Select 'Save and Next'.

 **Amend Individuals**

You must attach the Individuals you wish to add. Ensure the file provided is in the format of the provided template.
fca.org.uk/publication/forms/directory-persons-multiple-submissions-template.xlsx

* This document is required.

FCA_Directory_Persons_Multiple_Amend.csv

Or drop files

10. When you have completed this, the 'Directory Person Details' will appear as 'Complete'. Next, click on the Start button for 'Declaration'.

FORM	STATUS	
Applicant Details	✔ Complete	Edit
Directory Person Details	✔ Complete	Edit
Declaration	○ Not Started	Start

11. Read and complete the declaration page. Then click on 'Save and Next'.

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**

* Signatory Name

* Signatory Position

* Signature Date
 

Signature (to be signed on the printed version only)

[Add another Signatory](#)

[Back to Application](#) [Previous](#) [Save](#) [Save and Next](#)



It is not necessary to print, sign and retain your application. You can view your application on Connect. However, please check the box to continue.

6. Submit

What you need to do:

- Submit the application.
- Be aware of what to do if the file contains errors or if we can't accept some of the information you have provided.
- Check the file has been processed successfully.

When the file you wish to submit has been successfully uploaded, you will need to submit the application so we can start processing the information and publish it on the FS Register.

1. You are now ready to submit. Click on 'Submit Application'.

FORM	STATUS	
Applicant Details	✔ Complete	View
Directory Person Details	✔ Complete	View
Declaration	✔ Complete	View

2. You will see the following information box. Click 'Submit' to proceed.

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.

[Cancel](#) [Submit](#)

3. On the next screen, you can choose to view the information you submitted either by viewing each section separately or by downloading a pdf version of your submission. You won't be able to see the content of your multiple amend file, but you will see the name of the file you submitted, and your application reference number.
4. We now have your file and you can log out. We will email you further information about processing your data.

FORM	STATUS	
Applicant Details	✔ Complete	View
Directory Person Details	✔ Complete	View
Declaration	✔ Complete	View

7. Review and Next steps

When you have uploaded and submitted the Multiple Amend form, our systems will undertake several checks on the data to ensure it is ready to publish on the FS Register.



We will check your data and create a feedback file (Feedback.csv). We will email you to let you know when this is available on Connect. You will be able to find the feedback file under 'Directory Person Detail' section of the submitted application. The feedback file will contain all the records you have submitted. For individual row(s) which have been processed without error, there will be no details in the error column or else you will see details of the issue in that column.

Please resolve the identified issues and submit a new notification on Connect, including the corrected records only. We will process this and contact you with the outcome.

The checks happen in a stage-by-stage process, but you will receive only 1 email confirming your application has been processed. If there aren't any errors in the data, we aim to publish the information within 24 hours. (From later this year for banks and insurers and from end of December 2020 for all other firms).

8. Error message glossary

Table below contains frequently seen error messages for multiple directory person form submission:

Category	Error message	Error description and how to resolve
Information mismatch error	IRN mismatch error: Our IRN record does not match with what you have submitted	This error will occur when an IRN has been provided, but some of the personal information provided in the spreadsheet does not match our records. Please make sure that all the information provided such as - date of birth, national insurance number, passport and nationality matches the information that we hold in our records. If the problem persists, try submitting this record via the single notification form.
Information mismatch error	Surname mismatch error: Surname provided does not match our record	When an IRN has been provided, surname should match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting this record via single notification form.
Formatting error	Title is defined by a range of values. Please select from dropdown	Please select title from the drop-down list that is provided in the template. Note - list is case sensitive. For example, putting MR instead of Mr. will result in this error message.
File validation error	Columns missing or file is corrupted. Please do not modify the csv file once converted from xlsx	This error is displayed when the whole file is rejected by the system. Please make sure that you don't change the file after converting it into .CSV. Another reason for this error is when a user submits a multiple add template for an amend notification and vice-versa.
File validation error	Unsupported file format; Please submit file in CSV UTF-8 format	Please submit the file in the UTF-8 CSV format only.
File validation error	Date format is incorrect. It should be dd/mm/yyyy and the number format for all cells with date populated should be 'Date'	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format. You can verify it by clicking on the date cell and view the value that is displayed under home tab -> number format. If the value displayed there is anything other than 'date', example 'General', then it will also result in this error message.
Duplicate value error	Duplicate individual	Please use the single notification form to submit this record as the system is unable to identify a unique record in the database and therefore unable to process record.
Duplicate value error	Individual already holds [Role Name]	A firm can only submit a new role for an

Category	Error message	Error description and how to resolve
		individual when the same role previously submitted by the firm has ended. For example, if a DP holds client dealing role with a start date of 03/06/2020 and no end date, then the firm cannot submit a notification for the same individual without first end dating the current role.
Duplicate value error	Duplicate Role records present for individual	This error will result due to the same role being provided more than once for the same individual in the same notification form. Please use a separate notification form to record gaps in employment. For example, if a Directory Person individual held [FCA CF] (5) Functions requiring qualifications role from 01/01/2020-02/02/2020 and then again from 04/04/2020 to present, then first submit an add notification with the historical role, i.e. for the period of 01/01/2020-02/02/2020 and once that is processed successfully, please submit another notification for the current time period.
Data validation error	Individual Failed	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add

The table below contains a full list of error messages that a firm can receive when submitting multiple directory person form:

Category	Error message	Error description and how to resolve
Mandatory field error	FRN cannot be blank	FRN is a mandatory field. Please provide FRN for each individual record that you are submitting.
Mandatory field error	Start date cannot be blank for the [Role Name]	Start date is mandatory where a role has been submitted. Please provide start date.
Mandatory field error	At least one role is mandatory	Please provide at least one role when submitting a Directory Person
Mandatory field error	First name(s) cannot be blank	First name(s) is a mandatory field and must be provided.
Mandatory field error	Last name cannot be blank	Last name is a mandatory field and must be provided.
Mandatory field error	Date of birth cannot be blank	Date of birth is a mandatory field and must be provided.
Mandatory field error	Please provide Passport number if Nationality present in Record	Passport number becomes a mandatory field if Nationality has been provided. Please either provide passport number or remove nationality if NI number has also been provided.

Category	Error message	Error description and how to resolve
Mandatory field error	Please provide NI number, or where the individual does not have one, their Passport number and	Either NI or a combination of passport and nationality is mandatory. This error will result when none of these values are provided for a Directory Person record.
Information mismatch error	IRN mismatch error: Our IRN record does not match with what you have submitted	This error will occur when an IRN has been provided, but some of the personal information provided in the spreadsheet does not match our records. Please make sure that all the information provided such as - date of birth, national insurance number, passport and nationality matches the information that we hold in our records. If the problem persists, try submitting this record via the single notification form.
Information mismatch error	Surname mismatch error: Surname provided does not match our record	When an IRN has been provided, surname should match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting this record via single notification form.
Information mismatch error	Personal Information mismatch error: One or more of the following information does not match our records; Date of birth; National Insurance (NI) number; Passport or Nationality	When an IRN has been provided, other details such as date of birth and National Insurance number/Passport number + Nationality must match our records. If there is a mismatch then this error message will be generated. Please make sure that the information provided matches our records. If the problem persists, try submitting via single notification
Formatting error	Title is defined by a range of values. Please select from dropdown	Please select title from the drop-down list that is provided in the template. Note - list is case sensitive. For example, putting MR instead of Mr. will result in this error message.
Formatting error	Roles should be defined by a range of values. Please select from dropdown	Please select role from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	NI Number format is wrong	The format of the National Insurance number is two prefix letters, six digits and one suffix letter. An example is AB123456C. Please make sure that NI number submitted is in this
Formatting error	Date of birth format is wrong. It should be in dd/mm/yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format.

Category	Error message	Error description and how to resolve
Formatting error	Date format is wrong. It should be in dd/mm/yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/2020. Please make sure that the date provided is in the specified date format.
Formatting error	IRN format is wrong	The format of the IRN is three prefix letters and five digits. An example is ABC12345. Please make sure that IRN submitted is in this
Formatting error	Nationality should be defined by a range of values. Please select from dropdown	Please select Nationality from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Please declare Customer Engagement method. Please select from dropdown	Please select customer engagement method from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Activity-should be defined by a range of values. Please select from dropdown	Please select activity from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Accreditation-should be defined by a range of values. Please select from dropdown	Please select accreditation from the drop-down list that is provided in the template. Note - list is case sensitive.
Formatting error	Role end date format is wrong. It should be in dd/mm/ yyyy format	System only accepts date in dd/mm/yyyy format, example 01/01/2020. Please make sure that the date provided is in the specified date format.
File validation error	Columns missing or file is corrupted. Please do not modify the csv file once converted from xlsx	This error is displayed when the whole file is rejected by the system. Please make sure that you don't change the file after converting it into .CSV. Another reason for this error is when a user submits a multiple add template for an amend notification and vice-
File validation error	Unsupported file format; Please submit file in CSV UTF-8	Please submit the file in the UTF-8 CSV format only.
File validation error	Date format is incorrect. It should be dd/mm/yyyy and the number format for all cells with date populated should be 'Date'	System only accepts date in dd/mm/yyyy format, example 01/01/1980. Please make sure that the date provided is in the specified date format. You can verify it by clicking on the date cell and view the value that is displayed under home tab -> number format. If the value displayed there is anything other than 'date', example 'General', then it will also result in this error
Duplicate value error	Duplicate individual	Please use the single notification form to submit this record as the system is unable to identify a unique record in the database and therefore unable to process record.

Category	Error message	Error description and how to resolve
Duplicate value error	Individual already holds [Role Name]	A firm can only submit a new role for an individual when the same role previously submitted by the firm has ended. For example, if a DP holds client dealing role with a start date of 03/06/2020 and no end date, then the firm cannot submit a notification for the same individual without first end dating the current role.
Duplicate value error	Duplicate Individual: NI number already present in Excel Sheet	If the same NI number has been provided for more than one record in the same spreadsheet, then it will result in this error message. If there is more than one entry of the same individual with the same NI in the same spreadsheet, then it will also result in this error message.
Duplicate value error	Duplicate Role records present for individual	This error will result due to the same role being provided more than once for the same individual in the same notification form. Please use a separate notification form to record gaps in employment. For example, if a Directory Person individual held [FCA CF] (5) Functions requiring qualifications role from 01/01/2020-02/02/2020 and then again from 04/04/2020 to present, then first submit an add notification with the historical role, i.e. for the period of 01/01/2020-02/02/2020 and once that is processed successfully, please submit another notification for the current time
Duplicate value error	Duplicate Individual: Passport number already present in Excel Sheet	If the same passport number has been provided for more than one record in the same spreadsheet, then it will result in this error message. If there is more than one entry of the same individual with the same passport number in the same spreadsheet then it will also result in this error message.
Duplicate value error	Duplicate Activity records present for individual	This error is due to an individual already having this activity on record.
Duplicate value error	Duplicate Accreditation records present for individual	This error is due to an individual already having this accreditation. Please remove this accreditation and submit again.
Duplicate value error	Duplicate Post Code present for individual;	This error is due to same workplace location provided more than once for the same individual.

Category	Error message	Error description and how to resolve
Data validation error	FRN should be same as Parent organisation	The same FRN should be entered in the spreadsheet that has been selected by the CONNECT user when they select Directory Person form. Please submit a separate notification for each associated entity. Submitting Directory Person data for more than one FRN in the same spreadsheet will also result in this error.
Data validation error	Activity cannot be blank for [Role Name]	Activity is mandatory for the following roles: -Functions requiring qualification -Sole trader dealing with clients for which they require qualification -Appointed representative dealing with clients for which they require qualification
Data validation error	Date started role for [Role Name]: You have selected a date that is earlier than the commencement of the certification regime for your type of firm	Dual Regulated Deposit takers and PRA designated investment firms (banking firms) – SM&CR regime started 7th March 2016. Role start dates for this population cannot be earlier than 7th March 2016. Dual Regulated Insurers – SM&CR Regime started 10th December 2018. Role start dates for this population cannot be earlier than 10th December 2018 Solo regulated Firms – SM&CR Regime started 9th December 2019. Role start dates for this population cannot be earlier than 9th December 2019.
Data validation error	Customer engagement cannot be blank for the [Role Name]	Customer engagement method is mandatory for the following roles: - Sole trader dealing with clients for which they require qualification - Appointed representative dealing with clients for which they require qualification
Data validation error	Individual Failed	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add
Data validation error	This individual cannot be processed using the bulk upload facility; for this individual please submit a single Directory Person Notification form	Please use the single notification form to submit this record as the system is unable to process this record via the multiple add template.
Data validation error	First name(s) cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.

Category	Error message	Error description and how to resolve
Data validation error	Commonly used name(s) cannot be more than 80	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Previous First name(s) cannot be more than 80	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Previous Last name cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Last name cannot be more than 80 characters	There is a limit of 80 characters for this field. Please make sure that the value provided does not exceed this limit.
Data validation error	Age should be equal or greater than 16 years	The minimum age of directory person is 16 years.
Data validation error	Role end date cannot be before Role start date	Role end date should be greater than the role start date. For example, if a role start date is 03/06/2020 then the earliest role end date could be 04/06/2020.
Data validation error	Post code should be proper format of: [Postcode] is wrong	Please only provide postcode and not the full address. There is a limit of 8 characters for this field. Ensure there are no white spaces after the postcode.
Data validation error	You have selected a date that is more than 3 months in the future. You cannot make this change now. Please return to	The start date of a role can only be up to 3 months from the current date. Please submit the role/record when there are 3 months or less until the role start date.
Data validation error	When Role which holds Customer Engagement as face to face is not active user cannot add workplace location	You can add workplace location only if any active role holds Customer Engagement method as Face-to-Face.
Duplicate value error	Duplicate Individual: IRN already present in Excel Sheet	Only one entry per individual should be added in Amend file. Please do not add multiple entry for single individual.
Data validation error	For applied role user cannot hold any activities /workplace/accreditations	User can only add activities, workplace, and accreditation for specific roles.

9. Support



[Contact us](#)
0300 500 0597



[Policy statement 19/7:](#)
finalising the Directory



[Directory Persons](#)



[Directory persons data collection:](#)





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