Chapter 16

Reporting requirements

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16

Directory persons report

(1) (2)

Date information Confirm information reported: being reported is accurate and complete

In-	Dir- ect- ory per- son who does not have an NI Num- ber or for whom a pass- port num- ber, and not an NI	1									Activities which the Dir- ectory person	(on- line, tele- phor face to face) of- fered by any Dir- ect- ory per- son who de- als with cus-	de(s) for any I Dir- ect- ory per- son who de- als	e ev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals
Ref- er- ence Num ber	num- aber, has pre- vi- -ously been	in- sur- ance (NI)	Date of	Title Fir (optional) mar	by st (if	ly wiMiddle names (if L	.ast	starte	erble	Relevant roles cur- rently held	carries on and	quire a quali	equire a -quali fica- tion to do so	squire a -quali
										[FCA CF]	pen- sion scheme per- sonal pen- sion scheme or broker funds 3. Giv- ing	s,		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14) ((15)	(16)
In- di- vidu Ref- er- ence Num ber	Pass- port num- ber and na- tion- al- ity, for any Dir- ect- ory per- son who does not have an NI Num- ber or for whor a pass- port num- ber, and not an NI num- laber, has pre- e- n-ously	Na- tional in- sur- ance (NI)	Date of	Title	First	Name com- monly know by (if	y Middli names (if	e s Last	Date	Date	Relevant roles currently held (2) [deleted]	Activities which the Directory person carries on and for which they hold the relevant qualifications personal re-	Customer engage-ment method (on- pline, litele-to of face) of any of the cost of the customer and a requires a quali-of to do	Ad(a)k- blace loca- ion(s post co- de(s)) for any ber- son who de- als with cus- cace and re- quires a quali- ica-	Rel- ev- ant)ac- cred- ited body mem ber- ship for any per- son who de- sals with cus- tome and re- squire a quali
												sonal			
											[FCA	tions on de- rivatives 4. Giv-			
											CF]	ing			

	(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
		port num- ber														
		and na- tion-												Cus-		
		al- ity, for												tome en- gage		
		any Dir- ect-												(on-	n d/d/(s s)k place	ev-
		ory per- son												tele-	loca- tion(: epost	s)ac-
		who does not												face to face)	de(s)	ited)body mem
		have an NI												of- fered by	any d Dir- ect-	ber- ship for
		Num- ber or												any Dir- ect-	ory per- son	any Dir- ect-
		for whor	n											ory per- son	who de- als	ory per- son
		pass- port num-												who de- als	with cus- tome	who de-
		ber, and not											Activities which the Dir-	with cus-	face to ersace	with cus-
	ln-	an NI											ectory person	and re-	and re-	tome and re-
F	Ref-	num- ber, has	Na- tional				Name com-						carries on and for which	a quali		a -quali
6	Num-	ously	in- sur- ance				by	Middl name	S			Relevant roles cur-	they hold the rel- evant	tion to	tion to	tion to
	ber IRN)	been provided	(NI) chumber	of birth	Title (optional	First name	(if known)	(if known)	Last name	starte role	ended ended	held	quali- fications	do so	do so	do so
												(3) Pro- priet-	per- sonal re-			
												ary trader	com- menda- tions			
													on re- tail in-			
													vest- ment prod-			
													ucts which are not			
													not			

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	pre- e vi- n-ously	Na- tional in- sur- ance (NI)	Date of	Title (optional		by (if	/ Midd name (if	es Last	starte	edble	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	(on-line, tele-phor face to face) of-ferec by any Dir-ect-ory per-son who de-als with custome and require a qualifica-	place loca- tion(s) (post co- de(s) for any l Dir- ect- ory per- son who de- als with cus- tome face and re- esquire a	ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- extsus tome and re- equire a- quali
(1.11.0)	patorious.			(opas. b,	,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,,	,		, 12.112	10.0		110.0	broker funds	50	50	
											[FCA CF] (4) Signi- ficant managem	6. Giv- ing per- sonal re- ent com- menda- tions on Friendly Soci- ety tax-ex- empt			

Pass- port num- ber and na- tion- al- ity, for any Dir- ect- ory per- son who does not have an NI NI Num- ber or for for an NI Num- ber ber an n NI Num- ber an n Ni Num- ber an n Ni Num- ber an Activities with face with which tus- tus- cus- to- to- to- to- to- to- to- to- to- to	port num- ber and na- tion- ity, for gage- any Dir- ect- ory ory port who does not have an bay an bay an ber All bay an ber an bay an ber an ber bay an bay
spe-	number, ber, and hor,

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
(3)	(4) Pass-port number and na-tion-al-ity, for any Direct-ory person who does not have an NI Number or for whom a pass-port number,	n	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13) Activities	Custome engage ment (on-line, tele-phor face) of-ferect by any Direct-ory person who deals	er t tookl(x) place loca- tion(de(s) for any Dir- ect- ory per- son who de- als	c-Rel- e ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals
Ref- er- ence	pre-	Na- tional in- sur-							Date	Date	Relevant roles cur-	which the Dir- ectory person carries on and for which they hold the rel- evant	and re- quire a quali fica-	a i-quali	cus- tome and re- esquire a -quali fica- tion to
ber	been provided	(NI)	of	Title (optional)		(if	(if	Last	starte	edole	rently	quali- fications	do so	do so	do so
											[FCA CF] (5) Func- tions re- quir- ing	ap- plica- tion condi- tions are met) 7. Giv- ing per- sonal re- com- menda- tions			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	Pass- port														
	num- ber														
	and na-														
	tion- al-												Cus- tome	er	
	ity, for												en- gage		
	any Dir-													(E) b/6	
	ect- ory												line,	place loca-	ant
	per- son													tion() post∯post	
	who does												face to	co- de(s)	ited) body
	not have												face) of-	for any	mem ber-
	an NI												fered by	Dir- ect-	ship for
	Num- ber												any Dir-	ory per-	any Dir-
	or for												ect- ory	son who	ect- ory
	whon a	n											per- son	de- als	per- son
	pass- port												who de-	with cus-	who de-
	num- ber,											Activities	als with		with
	and not											which the Dir-	cus- tome	to erfsace	cus- tome
In-	an NI											ectory person	and re-	and re-	and re-
di- vidua		Na-				Name						carries on and			squire a
Ref- er-	pre-	tional in-				com- monly						they hold	fica-	-quali fica-	fica-
	ously					by	Middl name:				Relevant roles cur-	the rel- evant	tion	tion to	tion to
ber (IRN)	been provided	(NI) Inumber	of birth	Title (optional)	First name	(if known)	(if known)		starte role		rently held	quali- fications	do so	do so	do so
											quali- fications	on long-			
												term care			
												insur- ance			
											[FCA	contracts 8. Giv-			
											CF]	ing			

Pass- port num- ber and na- tion- al- ity, for any Dir- ect- ory per- son who does does not have an not an not have an not an not ber an Num- ber or for an pass- port num- ber, an not an lin- NI lin- not an lin- not an lin- not an lin- Ni lin- not an lin- no

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	Pass- port														
	num- ber														
	and na-														
	tion- al-												Cus- tome		
	ity, for												en- gage		
	any Dir-													4(s)lavo i	
	ect- ory												line,	place loca-	ant
	per- son												phon	tion(: epost	cred-
	who does												face to face)		ited) body
	not have an												of- ferec	any	mem ber- ship
	NI Num-												by any	ect-	for
	ber or												Dir- ect-	ory per- son	any Dir- ect-
	for whor	n											ory per-	who de-	ory per-
	a pass-												son	als with	son
	port num-												de- als	cus- tome	de-
	ber, and											Activities which	with cus-	face to	with cus-
	not an											the Dir- ectory	tome and	erfsace and	tome and
ln- di-	NI num-											person carries			re- squire
Ref-	aber, has	Na- tiona	ı			Name com-						on and for which			
		in- sur-	D-4-				Midd		Dete	Dete	Relevant	they hold the rel-	tion	tion	tion
ber	ously- been	(NI)	of	Title	First		(if	Last	start	emble	roles cur- rently held	evant quali-	to do	to do	to do
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											CF] (7) Mat-	vising on			
											erial risk	syn- dicate parti-			
											taker	cipa- tion			
												at Lloyd's			
											[FCA CF]	9A. Advis-			
											(8) Client	ing			
											dealing	P2P agreement	S		

(3)	(4) Pass- port num-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	ber and na-tion-al-ity, for any Dir-ect-ory per-son who does not have an NI Number or for whor a pass-port number, and not an	n										Activities which the Dir- ectory	(on-line, tele-phor face to face) of-fered by any Dir-ect-ory person who de-als with cus-	e- t place loca- tion(ne(post co- de(s)	e ev- ant s)ac- t cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals
Ref- er- ence Num ber	pre-	Na- tional in- sur- ance (NI)	Date of	Title	First	(if	/ Midd name (if	es Last	start	emble	Relevant roles cur- rently held	person carries on and for which they hold the rel- evant quali- fications	a qual fica-	a i-quali	
(IRIV)	power	701 133	- Sirut	(p. 13)	тапе	NILOVI J	NI DVV	yrare	Tole	etta.	[FCA CF] (9) Algo- rithmic trading [PRA CF] Signi- ficant risk taker or mat- erial	10. Broker fund adviser 11. Pension transfer specialist		-50	-30

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidua Ref- er- ence	Pass-port number and national-ity, for any Direct-ory person who does not have an NI Number or for whor a pass-port number, and not an NI numaber, has previ-ously been	Na- tiona in- sur- ance (NI)	 Date of		First	Name com- monly know by (if	y Middl name (if	le s Last	Date starte	Date	Relevant roles cur- rently held risk taker [PRA CF] Key func-	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Custome engage ment meth (on-line, telephor face) of ferect ory person who deals with custome and require a qualifica-	place loca- tion(s) for any loir- ect- ory per- son who de- als with cus- tome face to esquire a logalire a logalire	c-Rel- ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- exals with cus- tome and re- equire a - quali
											tion holder	re- com- menda- tions on and dealing in se- curit- ies which			

Pass- port num- ber	port number and nation- and instruction alling ity, some any any point person any point person who does not does not have an an any any any berfered Dir-ship NI Number or or whom an a pass-port number any pass-port not an an a pass-port number any any any any pass-port number any	port number and and na- tion- al- ity, gage- any Dir- ect- ory per- son who face co- who does face co- not have an
and na- tion- al- ity, for any Dir- ect- ory per- son who does not have an NI NI NI ber or for whom ber an na- not not num- ber an not not num- ber an not siduaber, Na- Ref- has tional com- ence vi- num- bur num- bur not an ln- Ni di- num- viduaber, Na- Ref- has tional com- ence vi- sur- num- ber per- in- ence vi- sur- Name Ref- has tional com- ence vi- sur- num- ber ben (NI) of Title First (if (if Last startetble rently) by names be positional com- ence vi- sur- num- ber (if (if Last startetble rently) by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names by names Date Date roles cur- tober been (NI) of Title First (if (if Last startetble rently) by names back-holder pen- sion schemes, per-	pen- sion schemes or broker	[PRA 13. CF] Giving

	(6A) (7)	(7A) (8) (9	9) (10) (11)	(12)	(13)	(14) (19)	(16)
Pass- port num- ber and na- tion- al- ity, for any Dir- ect- ory per- son who does not have an NI Num- ber or for whom a pass- port num- ber, and not an In- NI di- num- viduaber, Na- Ref- has tional er- pre- in- ence vi- sur- Num-ously ance Date ber been (NI) of T (IRN) provided rumber birth (expenses)	Γitle First	Name com-monly know Middle by names	Date Date	Relevant roles currently held Managing a material risk taker	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications per- sonal re- com- menda- tions on and dealing in de- rivatives 14 Man-	Customer engage-ment method (on- pline, lot to deface) for a fered Direct-son a who with facus-fitomers and a re-requires quali-q fica-fit to do so	diak lace oca- ocost or or or or or or or or or or or or or	-Rel- ev- ant () ac- cred- ited body mem ber- ship for any Dir- ect- ory per- son who de- resis with cus- tome and re- equali
				of firm who is not	aging in- vestments	5		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	Pass- port														
	num- ber and														
	na- tion-												Cus-		
	al- ity,												tome	er	
	for any												gage men	t	
	Dir- ect-												(on-	1 0/11(13) 10 place	ev-
	ory per-												tele-	loca- tion(s)ac-
	son who does												face to	r ∉ post co- do(s)	ited) body
	not have												face) of-		mem ber-
	an NI													d Dir- ect-	ship for
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	for												ect- ory	son who	ect- ory
	whor a pass-												per- son who	de- als with	per- son
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	ber, and											Activities which	with cus-	face to	
	not an											the Dir- ectory	and	erfsace and	tome and
ln- di-	NI num-											person carries		re- esquire	
Ref-		Na- tional in-				Name com- monly						on and for which they hold	a quali	a i-quali	a -quali fica
	pre- e vi- n-ously	sur-	Date			know	y viMiddl name:		Date	Date	Relevant roles cur-	the rel- evant		tion to	tion to
ber		(NI)	of	Title (optional		(if	(if	Last	starte	erble	rently held	quali- fications	do so	do so	do so
											a certi-				
											fica- tion				
											em- ployee				
											ora SMF manager				
											Sole trader	15. Oper-			
											dealing with				
											clients for	lect- ive			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
vi R e e N	n- li- lidual ef- er- um-	has pre- vi- ously been	Na- tiona in- sur- ance	Date of	Title	First)name		/ Middl name (if	s Last	start	erble	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	(on-line, tele-phor face to face) of-ferec by any Dir-ect-ory per-son who de-als with custome and require a qualifica-	place location(s) for any l Directory person who desare and resequires a squali	e ev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals with cus- tome and re- squire a - quali fica-
												which they re- quire a quali- fication	in- vest- ment scheme or un- der- taking the activ- ities of a trustee or de- posit- ary of a col- lective			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	ously- been	Na- tional in- sur- ance (NI)	Date of	Title		(if	y Mildd name (if	es Last	start	edole	Relevant roles cur- rently	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali-	(on-line, tele-phon face to face) of-fered by any Direct-ory person who deals with custome and require a qualification to do	dicales of the control of the contro	ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- rsals with cus- tome and re- squire a- quali fica- tion do
(IRN)	porce	i u i sa	Dir G1	(optional)	iale	N DOW 9	N DOW ,	iaie	Tole	- Carlot	Ap- pointed rep- res- entat- ive dealing with clients for which	in- vest- ment scheme 16 Safe- guardir and ad- minis- tering in- vest- ments or	ng	50	50

	(3)	(4) Pass- port	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
		num- ber and na-														
		tion- al- ity, for												Cus- tome en- gage		
		any Dir- ect- ory												ment meth (on-		ev-
		per- son who does												tele-	tion(: n€post co-	s)ac-
		not have an NI												face) of-		mem ber- ship for
		Num- ber or for												any Dir- ect- ory	ory per- son who	any Dir- ect- ory
		whor a pass- port												per- son who de-	de- als with	per- son
		num- ber, and not											Activities which the Dir-	als with cus-	tome face to ensace	ersals
		an NI num- ber,	Na-				Name						ectory person carries on and	and re-	and re-	and re- squire a
R	Ref- er- ence	has pre- vi-	tional in- sur-				com- monly know	Middl				Relevant	for which they hold the rel-	quali fica- tion	i-quali fica- tion	-quali fica- tion
k	oer	been	ance (NI) drumber	of	Title	First name		name: (if known)	Last	start	erble	roles cur- rently held	evant quali- fications	to do so	to do so	to do so
												they re- quire a quali-	hold- ing client money			
												fication	17. Ad- minis-			
													trat- ive func- tions			
													in re- lation to			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	pre- vi- -ously been	Na- tiona in- sur-	Date of	Title		by	y /Midd name (if	es Last	start	edole	Relevant roles cur- rently held	Activities which the Directory person carries on and for which they hold the relevant qualifications managing investment 18 Administrative functions in relation to effecting or carrying	(on-line, tele-phor face to face) of-ferect by any Direct-ory person who deals with custome and require a qualification to do so	place loca- tion(epost co- de(s) for any doi- ect- ory per- son who de- als with cus- tome face and re- esquire a	e ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals with cus- tome and re- equire a - quali fica-

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidu Ref- er- ence Num ber	Pass-port number and na-tion-al-ity, for any Dir-ect-ory per-son who does not have an NI Number or for whon a pass-port number, and not an NI num-aber, has pre-vi-ously been	Na- tional in- sur- ance (NI)	Date of	Title	First	Name com- monly know by (if	y Middl name: (if	e s Last	Date start	Date ecble	Relevant roles cur-	Activities which the Directory person carries on and for which they hold the relevant qualifications out contracts of insurance which are life policies 19. Administrative functions	Custome engage men meth (on-line, tele-phor face to fered by any Direct-ory person who deals with custome and require a qual fica-	er t t location(epost co- de(s) for any Dir- ect- ory per- son who de- als with cus- tome face and re- esquire a i-quali	c-Rel- e ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals with cus- tome and re- equali fica-

port num- ber and na- tion- al- ity, for any Dir- ect- cory per- son who does not have an not have an not not nor y ber or or or for an Num- ber or or for nor Ref- has tional com- port an num- ber, an not not not not not not not per- port num- ber, an not not not not not not not per- port num- ber, an not not not port num- ber, an not not not per- port num- ber, an not not not not port num- ber, an not not not port num- ber, not		(4) (5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
20. Advis- ing or	In- di- ence Num- ber ber	cass- port num- per and na- ion- al- ity, for ovho loes not nave an NI Num- per ovhom a pass- port an NI num- per, nat num- per, num- pe	Date of	Title	First	Name com- monly know by (if	y Midd name (if	le es Last	Date starte	Date ecble	Relevant roles currently	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications in re- lation to the op- era- tion of stake- holder pen- sion schemes 20. Advis-	Custome engage ment meth (on-line, telephon face to face) of fered by any Direct-ory person who deals with custome and require a qualification to do	er continued to do	c-Rel- e ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son de- ersals tome and re- esquire a -quali fica- tion do

(3)	(4) Pass- port	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	num- ber and na-														
	tion- al- ity, for												Cus- tome en-		
	any Dir- ect-												(on-	t n d/ti(sr) k place	ev-
	ory per- son who												tele-	loca- tion(s epost co-	s)ac-
	does not have												to face) of- fered	de(s) for any) body mem ber- ship
	an NI Num- ber												by any Dir-	ect- ory per-	for any Dir-
	or for whon a	n											ect- ory per- son	son who de- als	ect- ory per- son
	pass- port num- ber,											Activities	who de- als with	with cus- tome	de- ersals
	and not an											which the Dir- ectory	cus- tome and	to ersace and	cus- tome and
In- di- vidu Ref-	NI num- aber, has	Na- tional				Name com-						person carries on and for which		re- equire a i-quali	a
	pre- vi- ously been			Title	Eirct		Middl name	S	Date start		Relevant roles cur- rently	they hold the rel- evant quali-	fica-		
(IRN)	provided	inumber	birth	(optional	name	known)	known)	name	role	ended	held	fications	so	so	50
												(bringii about) regu- lated mort- gage	ng		
												con- tracts for a non- busi- ness			
												purpose 21. Advis- ing or			

(3)	(4) Pass- port	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	pre- vi- n-ously been	Na- tional in- sur- ance (NI)	Date of	Title		by (if	/ Middlonames (if	s Last	start	edble	Relevant roles cur- rently	Activities which the Directory person carries on and for which they hold the relevant quali-	(on-line, tele-phor face to face) of-ferec by any Dir-ect-ory person who deals with custome and require a qualification to do	place location (post co-de(s) for any l Direct-ory person who deals with custome face and resequire a i-quali fication do	e ev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per- son who de- ersals with cus- tome and re- esquire a - quali fica- tion do
(INIV)	power		Dirut	фия	пате	known)	REWIJ	пипе	Tole	e Lea	held	arranging (bringing about) equity release transdicts 21A. Designing scripted questions for	5	50	50

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	port num- ber and														
	na- tion- al-												Cus- tome	er	
	ity, for any Dir-												en- gage ment		c-Rel-
	ect- ory per-												(on- line, tele-	place loca- tion(e ev- ant s)ac-
	son who does												face to	de(s)	ited) body
	not have an NI												face) of- fered by	any	mem ber- ship for
	Num- ber or												any Dir- ect-	ory per- son	any Dir- ect-
	for whon a pass-	n											ory per- son who	who de- als with	ory per- son who
	port num- ber,											Activities	de- als	cus- tome	de- ersals
	and not an											which the Dir- ectory	and	to ersace and	cus- tome and
In- di- vidu Ref-	NI num- a b er, has	Na- tional				Name com-						person carries on and for which		re- equire a i-quali	a
er- ence	pre- vi- n-ously	in- sur- ance	Date			monly know by	Middl name	S			Relevant roles cur-	they hold the rel- evant	fica- tion to	fica- tion to	fica- tion to
ber (IRN)	been provided	(NI) Inumber	of birth	Title (optional	First name	(if known)	(if known)	Last name	starte role	ended ended	rently held	quali- fications	do so	do so	do so
												execu- tion- only sales of regu-			
												lated mort- gage con- tracts for a			
												non- busi- ness purpose			

Pass- port num- ber and na- tition- al- ity, for any Dir- ect- ory per- son who does does not have an Num- ber or for for ywhom an have an not have an Num- ber or for for whom ber an not not have an Num- ber or for for whom a pass- port num- ber ber not have an not ber ber ber lor for whom a pass- port num- ber ber not	port num- ber and na- tion- al- ity, for any Dir- ect- ory per- son who does not have an NI	tomer
re- lease transactions	ber or for whom a pass-port number, and not an In-NI di-num-viduaber, Na-Ref- has tional com-viduaber, Na-Ref- has tional com-whore vi-sur-know/Middle ber been (NI) of Title First (if (if Last starterble rently qualification (IRN) poxibal mane know/ know/ name role ended held fication for which in the reference on and the result of the	gage- ment methodi(x)k-Rel- (on- place ev- line, loca- ant tele- tion(s)ac- phoné(post cred- face co- ited to de(s)) body face) for mem of- any ber- fered Dir- ship by ect- for any ory any Dir- per- Dir- ect- son ect- ory who ory per- de- per- son als son who with who de- cus- de- als tomersals s with face with cus- to cus- tomerface tome and and and re- re- re- quiresquiresquire a a a n quali-quali-quali d fica- fica- fica- tion tion tion to to to do do do so so so

(3)	(4) Pass- port num-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	ber and na-tion-al-ity, for any Dir-ect-ory per-son who does not have an NI Number or for whor a pass-port number, and not an NI numaber, has pre-tiously been	Na- tional in- sur- ance	of	Title		by (if	/ Middl name (if	s Last	start	erble	Relevant roles currently	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali-	(on-line, tele-phor face to face) of-ferec by any Dir-ect-ory person who deals with custome and require a quali fication to do	place location(s) for any loir-son who de-als with custome face and resquire a loir-qualification to do	ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- rsals with cus- tome and re- squire a- quali fica- tion do
(IRN)	provided	drumber	birth	(optional)	name	known)	known)	name	role	ended	Re- spons- ibility for MCD Inter- medi- ation (MI- PRU 2.2.1R)	23. Over- seeing execu- tion- only sales on a day- to- day basis in re- lation to	50	50	50

(3)	(4) (5) Pass- port num- ber and	(6)	(6A) ((7)	(7A)	(8) ((9)	(10) ((11)	(12)	(13)	(14)	(15)	(16)
	na- tion- al- ity, for any Dir- ect- ory per-											(on- line,		ev- ant
	son who does not have an NI Num- ber											phor face to face) of- fered by any Dir-	n ∉ post co-	cred- ited)body mem ber- ship for any Dir-
	or for whom a pass- port num- ber, and										Activities which	cus-	son who de- als with cus- tome face to	de- ersals
Ref- er- ence	not an NI num- aber, Na- has tional pre- in- vi- surously ance been (NI)	Date	Title F	irst	by	, Middle names (if Li				Relevant roles cur- rently	the Directory person carries on and for which they hold the relectory evant quali-	and re- quire a qual fica-	erfsace and re- esquire a i-quali fica- tion to do	a -quali fica-
(IRN)	povidedrumber									held	fications equity re- lease transactions	SO	so	SO