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,		

Pass- port num- ber and na- tion- al- ity, for gage- metholight-Rel ect- ory line, loca- ant per- son who does who does who have not have an n Num- ber or for whom have loca- not have an not have loca- not have loca- not loca-	(3) (4	l) (5)	(6)	(6A) (7)	(7A)	(8) (9)	(10) (11)	(12)	(13)	(14) (15)	(16)
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viduaber, Na- Ref- has tional com- monly er- pre- in- ence vi- sur- ber been (NI) of Title First (if (if Last starteable rently (IRN) povidedrumber birth (aptional) name known) known) name role ended held (2) [deleted] (2) [deleted] per- [deleted] on and a a a a a a a a for which quali-quali-quali they hold fica-	pa po nu be ar no a In- N	n nss- ort um- er, ad ot n							which the Dir- ectory person	son als who with de- cus- als tome with face cus- to tomersace and and re- re-	son who de- ersals with cus- tome and re-
(2) per- [deleted] sonal re- com- menda- tions on de- rivatives	viduabe Ref- ha er- pr ence v Num-ou ber be	er, Na- as tiona e- in- i- sur- usly ance een (NI)	Date of		com- monl know by st (if	y /Middle names (if Last	startecble	roles cur- rently	on and for which they hold the rel- evant quali-	a a quali-qual fica- fica- tion tion to do do	a i-quali fica- tion to do
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		and na- tion-												Cus-		
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		any Dir- ect-												(on-	n d/d/(s s)k place	ev-
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(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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												Friendly Soci- ety tax-ex-	y		

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- tus- tus- tus- tus- tus- tus-	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 an bay an ber an bay an ber an be
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	port num- ber and														
	na- tion- al-												Cus- tome		
	ity, for any Dir-												en- gage ment		-Rel-
	ect- ory per-												(on- line,	place loca- tion(s	ev- ant
	son who does not												phon face to face)	de(s)	cred- ited body mem
	have an NI												of- fered by	any	ber- ship for
	Num- ber or for												any Dir- ect- ory	ory per- son who	any Dir- ect- ory
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	port num- ber, and											Activities which	de- als with cus-	cus- tome face to	
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ence Num- ber	vi- ously been	sur- ance (NI)	of	Title (optional)		know by (if	Middl name (if	s Last	start	edole		the rel- evant quali- fications	tion to do		tion to do so
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												condi- tions are			
											[FCA CF] (5)	met) 7. Giv- ing per-			
											Func- tions re-	sonal re- com-			
											quir- ing	menda- tions			

Pass- port num- ber	(6A) (7)	(7A) (8) (9)	(10) (11)	(12)	(13)	(14) (15) (16)
and na- tion- al- ity, for any Dir-						Cus- tomer en- gage- ment meth
ect- ory per- son who does not						(on- place ev- line, loca- ant tele- tion(s)ac- phonépost cred- face co- ited to de(s))body face) for mem of- any ber-
have an NI Num- ber or for whom						of- any ber- fered Dir- ship by ect- for any ory any Dir- per- Dir- ect- son ect- ory who ory per- de- per-
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				[FCA CF]	8. Giv- ing	

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	ber, and											Activities which	with cus-	face to	with cus-
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(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 whore a pass-port												(on- line, tele- phor face to face) of-	e- t place loca- tion(s te(post co- de(s)	e ev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per- son
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											[FCA CF] (9) Algo- rithmic trading	10. Broker fund adviser			
											[PRA CF] Signi- ficant risk taker or mat- erial	11. Pen- sion trans- fer specialist			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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(3)		(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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	have an NI												of- fered by	any	ber- ship for
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(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 whom a pass-port num-												(on- line, tele- phor face to face) of-	er t told(x) place loca- tion(co- de(s)	e ev- ant s)ac- icred- ited)body mem ber- ship for any Dir- ect- ory per- son who de-
In-	ber, and not an NI											Activities which the Directory	with cus-	face to ersace and re-	
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												in- vest- ment scheme			
											Ap- pointed rep- res- entat- ive dealing with clients for which	16 Safe- guardir and ad- minis- tering in- vest- ments or	ng		

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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	ity, for any												en- gage ment		
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	per- son who												tele-	tion(epost	s)ac-
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	num- ber, and											Activities which	als	tome face to	ersals
ln-												the Dir- ectory person	and re-	ersace and re-	tome and re-
di- vid Ref	uaber,	Na- tiona	ı			Name com-						carries on and for which	a quali	a -quali	esquire a i-quali
Nu	:e [*] vi- m-ously	ance					Middl name				Relevant roles cur-	they hold the rel- evant	tion to	fica- tion to	tion to
bei (IRN	r been 1) provideo	(NI) Inumber	ot birth	Title (optional)	name	(if known)	(IT known)	name	role	ended ended	rently held	quali- fications	do so	do so	do so
											they re- quire a	hold- ing client money			
											quali- 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	erble	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-fered by any Direct-ory person who deals with custome and require a qualification to do so	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- exquire	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- squire 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 commonly 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-

(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 (opiona)		by	y /Midd name (if	es Last	start	erble	Relevant roles cur- rently held	Activities which the Directory person carries on and for which they hold the relevant qualifications in relation to the operation of stake-holder pension schemes 20. Advising or arranging	(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(epost co- de(s) for any d Dir- ect- ory per- son who de- als with cus- tome face and re- esquire a i-quali	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)
	Pass-	(3)	(0)	(0/4)	(1)	(//-/	(0)	(3)	(10)	(11)	(12)	(15)	(17)	(13)	(10)
	port														
	num- ber														
	and														
	na- tion-												Cus-		
	al-												tome	er	
	ity, for												en- gage		
	any												ment	t	
	Dir- ect-													n d/di(s:) k place	
	ory												line,	loca-	ant
	per- son													tion(: post ∮	
	who												face	CO-	ited
	does not												to face)	de(s) for) body mem
	have												of-	any	ber-
	an NI												ferec	d Dir- ect-	ship for
	Num-												any	ory	any
	ber or												Dir- ect-	per- son	Dir- ect-
	for												ory	who	ory
	whom a	1											per- son	de- als	per- son
	pass-												who	with	who
	port num-												de- als	cus- tome	de- ersals
	ber,											Activities	with	face	with
	and not											which the Dir-	cus- tome	to ersace	cus- tome
	an											ectory	and	and	and
ln- di-	NI num-											person carries	re- auire	re- esquire	re- sauire
vidua	aber,	Na-				Name						on and			a
Ref- er-	has [·] pre-	tionai in-				com- monly	/					for which they hold		i-quali fica-	
ence	vi- ously	sur-	D - 1 -			know	Middle		Dete	D-4-	Relevant	the rel-	tion	tion	tion
ber	been		of	Title	First		names (if		starte		roles cur- rently	evant quali-	to do	to do	to do
				(optional)							held	fications	so	so	so
												(bringir about)	ng		
												regu-			
												lated mort-			
												gage			
												con- tracts			
												for a			
												non- busi-			
												ness			
												purpose 21.			
												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)	Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	port num- ber and														
	na- tion- al-												Cus-	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 whor a pass-												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- vid Ref	- num- lua b er,	Na- tional				Name com-						person carries on and for which		re- equire a i-quali	re- esquire a -quali
er- en	- pre- ce vi- m-ously	in- sur- ance	Date			monly know by	Middl name				Relevant roles cur-	they hold the rel- evant	fica- tion to	fica- tion to	fica- tion to
be (IRN	r been N) provide	(NI) drumber	of birth	Title (aptional	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			

(3)	(4) Pass-	(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 Direct-ory person who does not have an NI Number or for whor a pass-port number, and not an NI number, and not an NI number, has pre-vi-ously been	Na- tiona in- sur- ance (NI)	 Date of	Title (optional)	First	Name com- monly know by (if	y Middiname (if	lle es Last	Date start	Date etble	Relevant roles cur-	Activities which the Directory person carries on and for which they hold the relevant qualifications 22. Designing scripted	Custome engage ment (on-line, telephor face to face) of-ferect ory person who deals with custome and require a qualification to do so	er t b color de(s) for any de- de- son who de- als with cus- tone face and re- esquire a i-quali	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- exquire a - quali fica-
											ance Distri- bu- tion (MI-	ques- tions for execu- tion-			
											PRU 2.2.1R)	only sales of equity re- lease transadions			

(3)	(4) Pass- port num- ber	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence	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 NI num- aber, has pre- vi- ously been	Na- tional in- sur- ance I	of	Title (optional)	First	by (if	y Middl name	s Last	starte	edole	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	(on-line, tele-phor face to face) of-ferec by any Dir-ect-ory per-son who de-als with custome and re-quire a quali	place loca- tion(epost co- de(s) for any l Dir- ect- ory per- son who de- als with cus- tome face and re-	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 i-quali
(8.0.9)				(posts)							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			

(3)	(4) Pass- port num- ber	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	and na- tion- al- ity, for any Dir- ect-												(on-	- t n o/d/(æ) k place	ev-
	ory per- son who does not have an NI												tele-	de(s) for any	s)ac- cred- ited
	Number or for whom a pass-port												any Dir- ect- ory per- son who de-	ory per- son who de- als with cus-	any Dir- ect- ory per- son who de-
		Na-				Name						Activities which the Dir- ectory person carries on and	tome and re- quire a	tome face to efface and re- esquire a	with cus- tome and re- squire a
er- ence	vi- ously been	in- sur- ance l (NI)	Date of	Title (aptional)		by (if	/ nMiddle names (if L known) r	.ast	starte	erble	Relevant roles cur- rently held	for which they hold the rel- evant quali- fications	fica-	-quali fica- tion to do so	fica-
												equity re- lease transations	i		