

Chapter 16

Reporting requirements

Directory persons report

(1) Date information reported:	(2) Confirm information being reported is accurate and complete
-----------------------------------	--

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Customer en- gage- ment method (on- line, tele- phone, face to face) or any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- place ev- lu- ation (s) ac- cred- ited de(s) body for any Dir- ect- ship for any Dir- ect- ory per- son deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Rel- evant quali- fications to do so
											[FCA CF] (1) CASS over- sight function	2. Giv- ing per- sonal re- com- menda- tions on se- curit- ies which are not stake- holder			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	NI has pre- vi- ously sur- vived pre- vi- ously been pro- vided	Date of birth (NI) Date of sur- vival (NI) Date of pre- vi- ously sur- vived (NI)	Title (optional)	First name (if known)	Name com- monly known by (if known)	Middle names (if known)	Last name (if known)	Date started role	Date ended role	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Customer en- gage- ment method (on- line, tele- phone, face to face) for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ev- en- tial ac- cess to body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ev- en- tial ac- cess to body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
													pen- sion schemes, per- sonal pen- sion schemes or broker funds		
											[FCA CF]	3. Giv- ing			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has been pro- vided	Na- tional ity (NI) sur- vive ance (NI) pro- vided	Date of birth	Title (optional)	First name	Name com- monly known (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- place ev- line, loca- tion(s) ac- cessed to de(s) body for mem- ber- ship for any Dir- ect- ory per- son de- als with face and re- quires a qual- ifica- tion to do so	Work- Rel- place ev- line, loca- tion(s) ac- cessed to de(s) body for mem- ber- ship for any Dir- ect- ory per- son de- als with face and re- quires a qual- ifica- tion to do so	Work- Rel- place ev- line, loca- tion(s) ac- cessed to de(s) body for mem- ber- ship for any Dir- ect- ory per- son de- als with face and re- quires a qual- ifica- tion to do so
											(2) [deleted]	per- sonal re- com- menda- tions on de- rivatives			
											[FCA CF]	4. Giv- ing			

16

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so
												broker funds			
											[FCA CF] (4) Signi- ficant management	6. Giv- ing per- sonal re- com- menda- tions on Friendly Soci- ety tax-ex- empt			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional in- sur- ance (NI) has been pro- vided	NI pre- vi- ously (NI) sur- vived	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
												pol- icies (other than Hol- loway sick- ness pol- icies where the Hol- loway policy spe- cial			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Individual Reference Number (IRN)	Passport number and nationality, for any Directory person who does not have an NI Number or for whom a passport number, and not an NI number, has previously been provided	National insurance number (NI) number provided	Date of birth	Title (optional)	First name	Name commonly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Work-Rel- (on-line, telephone face to face) offered by any Directory person who deals with customers and requires a qualification to do so	Work-Rel- (on-line, telephone face to face) offered by any Directory person who deals with customers and requires a qualification to do so	Work-Rel- (on-line, telephone face to face) offered by any Directory person who deals with customers and requires a qualification to do so
										</					

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(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- di- vid- ual Ref- er- ence Num- ber (IRN)	NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) number of birth	Date of Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Cus- tomer en- gage- ment meth- ods (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- cessed to body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- cessed to body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers with face and re- quires a quali- fica- tion to do so
												quali- fications on long- term care insur- ance contracts [FCA CF]			
												8. Giv- ing			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) Date of birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- ation- ship method (on- line, tele- phone, face to face) for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- ation- ship method (on- line, tele- phone, face to face) for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- ation- ship method (on- line, tele- phone, face to face) for any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
											(6) Man- ager of certi- fica- tion employee	per- sonal re- com- menda- tions on in- vest- ments in the course of cor- porate fin- ance business			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	(NI)	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Cus- tomer en- gage- ment meth- ods (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- cessed to de(s)) body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- cessed to de(s)) body mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so
												[FCA CF] (7) Mat- erial risk taker	9. Adv- ising on syn- dicate parti- cipa- tion at Lloyd's		
												[FCA CF] (8) Client dealing	9A. Adv- ising on P2P agreements		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so
											[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)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional in- sur- ance Date of birth (NI) provided	Na- tional in- sur- ance Date of birth (NI)	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	
										risk taker [PRA CF] Key func- tion holder	12 Giving per- sonal re- com- men- da- tions on and deal- ing in se- curi- ties which				

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- place ev- lu- ation (on- line, loca- tion(s) ac- cessi- ble to de(s) face) for mem- ber- ship Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- lu- ation (on- line, loca- tion(s) ac- cessi- ble to de(s) face) for mem- ber- ship Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- lu- ation (on- line, loca- tion(s) ac- cessi- ble to de(s) face) for mem- ber- ship Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so
												are not stake- holder pen- sion schemes, per- sonal pen- sion schemes or broker funds	13. Giving		

[PRA
CF]

16

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has been pro- vided	Na- tional ity (NI) sur- vive Date of birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- place ev- en- tial (on- line, loca- tion(s) ac- cess- ible to de- face) for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- en- tial (on- line, loca- tion(s) ac- cess- ible to de- face) for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- en- tial (on- line, loca- tion(s) ac- cess- ible to de- face) for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so
											a certi- fica- tion em- ployee or a SMF manager				
											Sole trader dealing with clients for	15. Oper- ating a col- lect- ive			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Individual Reference Number (IRN)	Passport number and nationality, for any Directory person who does not have an NI Number or for whom a passport number, and not an NI number, has previously been provided	National insurance number (NI)	Date of birth	Title (optional)	First name	Name commonly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement methods (online, local, telephone, face to face) for any Directory person who deals with customers and requires a qualification to do so	Work-Related place(s) accessed (post code(s)) by any Directory person who deals with customers and requires a qualification to do so	Work-Related place(s) accessed (post code(s)) by any Directory person who deals with customers and requires a qualification to do so
												which they require a qualification	investment scheme or undertaking the activities of a trustee or depositary of a collective		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so
												in- vest- ment scheme			
											Ap- pointed rep- res- entat- ive dealing with clients for which	16 Safe- guarding and ad- minis- tering in- vest- ments or			

16

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber birth (optional)	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Customer en- gage- ment method (on- line, tele- phone, face to face) or any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- place ev- lu- ation (s) ac- cred- ited de(s) body for any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Rel- e- v- ant ac- cred- ited body for any Dir- ect- ory per- son who deals with cus- tomers with face to face and re- quires a quali- fica- tion to do so
												man- aging in- vestments			
												18 Ad- minis- trat- ive func- tions in re- lation to ef- fecting or car- rying			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	NI has pre- vi- ously sur- vived pre- vi- ously been pro- vided	Na- tional ity sur- vived pre- vi- ously been pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
													out con- tracts of in- sur- ance which are life policies			
													19. Ad- minis- trat- ive func- tions			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Individual Reference Number (IRN)	Passport number and nationality, for any Directory person who does not have an NI Number or for whom a passport number, and not an NI number, has previously been provided	National Insurance Number (NI) birth	Date of birth	Title (optional)	First name	Name commonly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (on-line, telephone face to face) offered by any Directory person who deals with customers with face to face and requires a qualification to do so	Work-Place evaluation(s) accepted (s)) for any Directory person who deals with customers with face to face and requires a qualification to do so	Rel- ant cred- ited body mem- ber- ship for any Directory person who deals with cus- tome and re- quire a quali- fication to do so
													in relation to the operation of stakeholder pension schemes		
													20. Advising or arranging		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	(NI)	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
												(bringing about) regu- lated mort- gage con- tracts for a non- busi- ness purpose 21. Advis- ing or			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional pre- vi- ously pro- vided	Na- tional in- sur- ance (NI) num- ber of birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so
												arran- ging (bringing about) equity re- lease transac- tions			
												21A. De- sign- ing scripted ques- tions for			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	NI has pre- vi- ously sur- vived pre- vi- ously been pro- vided	Na- tional ity sur- vived pre- vi- ously been pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so
													execu- tion- only sales of regu- lated mort- gage con- tracts for a non- busi- ness purpose			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) of birth	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- Rel- (on- line, tele- phone face to face) method (on- line, tele- phone face to face) method used to con- tact the per- son with de- tails of any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) method (on- line, tele- phone face to face) method used to con- tact the per- son with de- tails of any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) method (on- line, tele- phone face to face) method used to con- tact the per- son with de- tails of any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so
											Re- spons- ibility for Insur- ance Distri- bu- tion (MI- PRU 2.2.1R)	22. De- sign- ing ques- tions for execu- tion- only sales of equity re- lease transac- tions			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional ity sur- vived pre- vi- ously been pro- vided	NI has pre- vi- ously sur- vived pre- vi- ously been pro- vided	Na- tional ity sur- vived pre- vi- ously been pro- vided	Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Work- place ev- en- tial ac- cess to body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- en- tial ac- cess to body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- place ev- en- tial ac- cess to body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers face and re- quires a quali- fica- tion to do so
												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			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vid- ual Ref- er- ence Num- ber (IRN)	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 NI num- ber, Na- tional pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) of birth	Date	Title (optional)	First name	Name com- monly known by (if known)	Middle names (if known)	Last name	Date started role	Date ended	Relevant roles cur- rently held	Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	Cus- tomer en- gage- ment method (on- line, tele- phone face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	Work- place ev- en- tial ac- cred- ited de(s) body for mem- ber- ship for any Dir- ect- ory per- son who de- als with cus- tomers with face to face and re- quires a quali- fica- tion to do so	equity re- lease transac- tions