

## Chapter 16

# Reporting requirements



Directory persons report

(1) Date information reported:	(2) Confirm information being reported is accurate and complete
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(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
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, National Insurance Number (IRN) has been provided	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, National Insurance Number (IRN) has been provided	NI Number	NI Number	NI Number	Name commonly known by (if known)	Middle names (if known)	Last name	Date started	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone or face to face)	Work-Related activities (post-credited to de(s) body)	Customer engagement method (online, telephone or face to face)	Work-Related activities (post-credited to de(s) body)	Customer engagement method (online, telephone or face to face)
											[FCA CF] (1) CASS oversight function					2. Giving personal recommendations on securities which are not stakeholder

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- sur- vival Date of birth (optional)	NI sur- vival Date of birth (optional)	NI sur- vival Date of birth (optional)	Title (optional)	First name (if known)	Middle name (if known)	Last name (if known)	has Middle 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)	Work- place ev- ent (s) ac- cess to de(s) body	any Dir- ect- ory per- son de- als with face to face re- quires a quali- fica- tion to do so	any Dir- ect- ory per- son de- als with face to face re- quires a quali- fica- tion to do so
												[FCA CF]	pen- sion schemes, per- sonal pen- sion schemes or broker funds			
													3. Giv- ing			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- ously been pro- vided	NI sur- vival Date (NI)	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- ation- ship (on- line, tele- phone face to face)	Work- Rel- ation- ship (on- line, tele- phone face to face)	Work- Rel- ation- ship (on- line, tele- phone face to face)
											(2) [deleted]	per- sonal re- com- menda- tions on de- rivatives			
											[FCA CF]	4. Giv- ing			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- ously been pro- vided	NI sur- vival Date (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	Customer en- gage- ment method (on- line, tele- phone, face to face)	Work- place ev- idence (s)ac- cessed to de- (s))body for mem- ber- ship Dir- ect- ory per- son de- als with face to cus- tomer and re- quires a quali- fica- tion to do so	any Dir- ect- ory per- son who with who de- als with face to cus- tomer and re- quires a quali- fica- tion to do so	any Dir- ect- ory per- son de- als with face to cus- tomer and re- quires a quali- fica- tion to do so
											(3) Pro- prietary trader	per- sonal re- com- men- da- tions on re- tail in- vest- ment prod- ucts which are not				

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name Date started role Date ended	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name	NI number, National Insurance Number of Title First Name (if known) Middle Name (if known) Last Name
											Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone face to face) for any Directory person who deals with customer face to face and requires a qualification to do so	Work-Related activities (post credited to de(s) body member-ship for any Directory person who deals with customer face to face and requires a qualification to do so)	Work-Related activities (post credited to de(s) body member-ship for any Directory person who deals with customer face to face and requires a qualification to do so)
											[FCA CF] (4) Significant management		broker funds		
													6. Giving personal recommendations on Friendly Society tax-exempt		



(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
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, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	NI number, National Insurance Date of birth (optional) name (if known) (if known) Last name (if known) Date started role ended	
												Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (on-line, telephone face to face) of any Directory person who deals with customer face and requires a qualification to do so	Work-Related place action(s) credited to body member-ship for any Directory person who deals with customer face and requires a qualification to do so		
													polices (other than Holiday sickness polices where the Holiday policy special			





(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- s- ence vi- sur- ance (NI) pro- vided	NI num- ber, Na- tional pre- s- ence vi- sur- 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 role	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) for of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Customer en- gage- ment method (on- line, tele- phone face to face) for of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) for of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face and re- quires a quali- fica- tion to do so
	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- s- ence vi- sur- ance (NI) pro- vided					Name com- monly known (if known)	Middle names (if known)	Last name	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 of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) for of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face and re- quires a quali- fica- tion to do so	Work- Rel- (on- line, tele- phone face to face) for of- fered by any Dir- ect- ory per- son who de- als with cus- tomers face 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)
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 been provided	Name (if known)	Sur-name	Title (optional)	First name	Middle name (if known)	Last name	Date started	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Work-Related (on-line, telephone or face to face) for any Directory person who deals with customer face to face and requires a qualification to do so	Work-Related (on-line, telephone or face to face) for any Directory person who deals with customer face to face and requires a qualification to do so	Work-Related (on-line, telephone or face to face) for any Directory person who deals with customer face to face and requires a qualification to do so	Work-Related (on-line, telephone or face to face) for any Directory person who deals with customer face to face and requires a qualification to do so
											[FCA CF] (9) Algorithmic trading	10. Broker fund adviser			
											[PRA CF] Significant risk taker or material	11. Pension transfer specialist			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	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, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name
In-Reference Number	NI number	National Insurance Date of birth	Date of birth	Title (optional)	First name (if known)	Middle name (if known)	Last name	Date started	Date ended	Relevant roles currently held	risk taker [PRA CF] Key function holder	12 Giving personal recommendations on and dealing in securities which	Customer engagement method(s) (on-line, telephone, face-to-face)	Work-Related activities (on-line, telephone, face-to-face)	Other activities (on-line, telephone, face-to-face)





(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- sion (NI) pro- vided	NI sur- vival Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle name (if known)	Last name	Date started	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 meth- ods (on- line, tele- phone, face to face) for any Dir- ect- ory per- son who deals with cus- tomers	Web- Rel- iance ac- cred- ited body mem- ber- ship for any Dir- ect- ory per- son with cus- tomers	any per- son de- als with cus- tomers	any per- son de- als with cus- tomers	any per- son de- als with cus- tomers
											Man- aging a mat- erial risk taker	per- sonal re- com- men- da- tions on and deal- ing in de- rivatives				
											Dir- ector of firm who is not	14 Man- aging in- vestments				



(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- dence NI num- ber, and not an NI num- ber, Na- tional pre- vi- dence NI num- ber, and not an NI num- ber, Na- tional pre- vi- dence	NI num- ber, Na- tional pre- vi- dence NI num- ber, Na- tional pre- vi- dence	NI num- ber, Na- tional pre- vi- dence NI num- ber, Na- tional pre- vi- dence	Title (optional)	First name	Middle name (if known)	Last name (if known)	Date started	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)	Work- place ev- en- t(s) ac- cess to de(s) body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers	any Dir- ect- ory per- son de- als with cus- tomers	any Dir- ect- ory per- son de- als with cus- tomers	any Dir- ect- ory per- son de- als with cus- tomers
											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)
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, National Insurance Number (IRN) has been provided	NI number	NI number	NI number	Title (optional)	First name	Name commonly known (if known)	Middle names (if known)	Last name	Date started	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone, face to face)	Work-Related activities (post credited to de(s) body)	Customer engagement method (online, telephone, face to face) and requires a qualification to do so
											Appointed representative dealing with clients for which	investment scheme			16 Safeguarding and administering investments or

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- sance (NI) pro- vided	NI sur- vival Date of birth	Title (optional)	First name	Middle name (if known)	Last name (if known)	Date started	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 meth- ods (on- line, loca- tel- phone face to face) for any Dir- ect- ory per- son who de- als with cus- tomers	Work- place ev- en- t(s) ac- cess to de- s) body for mem- ber- ship for any Dir- ect- ory per- son who de- als with cus- tomers	any per- son who de- als with cus- tomers	any per- son who de- als with cus- tomers	any per- son who de- als with cus- tomers
											they re- quire a quali- fication	hold- ing client money			
												17. Ad- minis- trative func- tions in re- lation to			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	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, National Insurance number has been provided			Title (optional)	First name	Name commonly known (if known)	Middle names (if known)	Last name	Date started	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone, face to face)	Work-Related activities (post credited to de(s) body)	
													managing investments		
													18 Administrative functions in relation to effecting or carrying		

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
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, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name
											Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method(s) (on-line, telephone, face to face)	Work-Related place(s) of work (post code(s) body of any Direct-ory person who deals with cus- tomer face and re-quires a quali- fication to do so)	Other relevant information
													out contracts of insurance which are life policies		
													19. Administrative functions		





(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- s- ence vi- sur- ance (NI) pro- vided	NI sur- vival Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle name (if known)	Last name	Date started	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) for any Dir- ect- ory per- son who deals with cus- tomers	Work- place ev- en- t(s) ac- cess cred- en- tial de- scri- ption for mem- ber- ship for any Dir- ect- ory per- son with cus- tomers	any per- son who deals with cus- tomers	any per- son who deals with cus- tomers	any per- son who deals with cus- tomers
												(bringing about) regulated mortgage contracts for a non-business purpose	21. Advising or			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
	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, National Insurance number, or date of birth (optional) name (if known) (if known) Last name			Title (optional)	First name	Middle name (if known)		Date started	Date ended		Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone, face to face) for any Directory person who deals with customer face to face and requires a qualification to do so	Work-Related action(s) credited to de(s) body member-ship for any Directory person who deals with customer face to face and requires a qualification to do so		
												arranging (bringing about) equity release transactions				
												21A. Designing scripted questions for				

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- ously been pro- vided	NI sur- vival Date (NI)	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	Customer en- gage- ment method (on- line, tele- phone, face to face)	Work- place ev- idence (s)ac- cessed to de- (s))body for mem- ber- ship for any Dir- ect- ory per- son de- als with face to cus- tomer and re- quires a quali- fica- tion to do so	any Dir- ect- ory per- son de- als with face to cus- tomer and re- quires a quali- fica- tion to do so	any Dir- ect- ory per- son de- als with face to cus- tomer 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)	
	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, National Insurance Date of birth (optional) Name commonly known (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 (online, telephone, face to face) for any Directory person who deals with customer face and requires a qualification to do so	Work-Related location(s) accessed (post credited to de(s) body member-ship for any Directory person who deals with customer face and requires a qualification to do so)		
											<b>Responsibility for Insurance Distribution (MI-PRU 2.2.1R)</b>		22. Designing scripted questions for execution-only sales of equity release transactions			

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)	
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- sion of (NI) birth (optional)	NI sur- vival Date	Title (optional)	First name known	Middle name known	Last name known	Date started	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 meth- ods (on- line, tele- phone, face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomers	Web- Rel- iance ac- cred- ited body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers	Work- place ev- idence (s)ac- cess to de(s) body for mem- ber- ship for any Dir- ect- ory per- son de- als with cus- tomers	with face to face and re- quires a quali- fica- tion to do so	with face to face and re- quires a quali- fica- tion to do so	with face to face and re- quires a quali- fica- tion to do so
											<b>Re- spons- ibility for MCD Inter- medi- ation (MI- PRU 2.2.1R)</b>	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)
	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, National Insurance number, or other identification number, is provided			Title (optional)	First name	Name commonly known (if known)	Middle names (if known)	Last name	Date started	Date ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (online, telephone, face to face)	Work-Related activities (location(s), phone, e-mail, etc.)	Other relevant information
													equity release transactions		