

Chapter 16

Reporting requirements

Guidance notes for the completion of Employers' Liability Register compliance return in SUP 16 Annex 44AR

Firm details

1FRN

Enter the *firm* reference number.

2Firm name

Enter the *firm* name as it appears on the Financial Services Register.

Director's certificate

3Is the firm materially compliant with ICOBS 8.4.4R(2) and ICOBS 8 Annex 1 in the production of the firm's employers' liability registers in the reporting period?

If the *firm* is materially compliant, select 'Yes' and move on to question 4.

If the *firm* is not materially compliant, select 'No' and proceed to answer questions 3.1 to 3.3.

3.1Please confirm that the director's certificate contains a description of the ways in which the firm, in its production of the register, is not materially compliant and of the steps, together with relevant timescales, that the firm is taking to ensure that the firm will be materially compliant as soon as practicable. This question relates to the requirement in SUP 16.23A.5R(1)(b).

If an explanation is provided in the *director's* certificate or auditor's report select 'Yes'.

3.2How many policies are omitted from the register? (as a proportion of the total number of policies required to be included in the register.)

Enter the percentage of the total number of *policies* omitted from the register.

If this percentage is an estimate, the basis for estimation should be included in the supporting documents.

3.3How many policies in the register contain incorrect or incomplete information? (as a proportion of the total number of policies required to be included in the register.)

Enter the percentage of the total number of *policies* where there is incorrect or incomplete information on the register.

If this percentage is an estimate, the basis for estimation should be included in the supporting documents.

Director's Certificate upload

4Please upload a copy of the director's certificate here in PDF format

[upload functionality]

Auditor's report

5Does the auditor's report confirm the firm is materially compliant with ICOBS 8.4.4R(2) and ICOBS 8 Annex 1 in the production of its employers' liability registers in the reporting period?

Indicate if the auditor's report confirms the *firm* is materially compliant by selecting 'Yes'.

Where the auditor’s report states the *firm* is not materially compliant select ‘No’.

Auditor’s report upload

6Please upload a copy of the auditor’s report here in PDF format.

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