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)
pass- port num- num- ber, and not an ln- NI di- num- viduaber, Na- Ref- has tional er- pre- in- ence vi- sur- Num-ously ance Date ber (NIRN) poidedrumber birth (cpticnel) reams (pre- com- menda- tions Now with who de- cus- de- als tomersals which cus- to cus- tomersace tome and and and and and person re- re- re- carries quiresquiresquire quiresquiresquire on and a a a quali-quali-quali-quali- they hold fica- fica- fica- fica- fica- fica- fica- fica- fica- sonal re- com- menda- tions on de- rivatives	Pa po nu be ar ni tid a it fo ar Di ec ou pe so w do no ha a N N o o o o o o o o o o o o o o o o	ess- ort um- er ad a- on- l- y, or r y r- ct- y er- on ho bes ot um- er r hom	(6)	(6A) (7)	(7A)	(8) (9)	(10) (11)	(12)	(13)	Cus- tomer en- gage- ment metholical (on- place line, loca- tele- tion(phonéposi face co- to de(s) face) for of- any fered Dir- by ect- any ory Dir- per- ect- son ory who per- de-	k-Rel- e ev- s)ac- t cred- ited)body mem ber- ship for any Dir- ect- ory per-
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
IFCA 4. GIV-								(2) [deleted]	per- sonal re- com- menda- tions on de- rivatives		

	(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)
In- di- vidu Ref- er-	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-	Na- tiona in-		(6A)	(7)	Name com- monly			(10)	(11)		Activities which the Directory person carries on and for which they hold	Custome engage ment (on-line, telephor face) of ferectory person who deals with custome and require a qualifica-	place loca- tion(s) for any l Dir- ect- ory per- son who de- als with cus- tome face to exquire a l- equalifica-	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-
Num	n-ously				Floret	by	Middl name	S			Relevant roles cur-	the rel- evant	to	tion	to
ber (IRN)				Title (optional		(if known)			starte role		rently held	quali- fications	do so	do so	do so
												broker funds			
											[FCA CF] (4) Signi- ficant managem	6. Giving personal resent commendations on Friendly society taxexempt			

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 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 All bay an ber an bay an ber an ber bay an bay
spe-	number, ber, and hor,

(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												(on- line, tele- phor face) of- fered by any Dir- ect- ory per-	- dwd(s) place loca- tion(s) co- de(s) for any l Dir- ect- ory per- son who de-	e ev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per-
Ref- er- ence Num ber	vi- ously been	Na- tional in- sur- ance (NI)	Date of	Title			/ Midd name (if	s Last	start	edole		Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	tome and re- quire a quali fica-		de- ersals with cus- tome and re- esquire a -quali fica-
											[FCA CF] (5) Func- tions re- quir- ing	ap- plica- tion condi- tions are met) 7. Giv- ing per- sonal re- com- 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-
a pass- port num- ber, and not					Activities which the Dir-	son als son who with who de- cus- de- als tomersals with face with cus- to cus-tomersace tome
an In- NI di- num- viduaber, Na- Ref- has tional er- pre- in- ence vi- sur-		Name com- monly knowiMiddle		Relevant	ectory person carries on and for which they hold the rel-	and and and re- re- re- quiresquiresquire a a quali-quali-fica- fica- tion tion
Num-ously ance Date ber been (NI) of (IRN) poxidedrumber birth	Title First	by names (if (if Last known) known) name	Date Date startedole role ended	roles cur- rently held quali-	evant quali- fications on	to to to do so so so
				fications	long- term care insur- ance contracts	
				[FCA CF]	8. Giv- 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) Pass- port num-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di-	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- aber,	n				Name						Activities which the Directory person carries on and	(on-line, tele-phor face to face) of-fered by any Direct-ory person who deals with custome and re-	place loca- tion(s) de(post co- de(s) for any 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
er- ence Num ber	vi- ously been	in- sur- ance (NI)	Date of	Title			Midd name (if	s Last	start	erble	Relevant roles cur- rently held	for which they hold the rel- evant quali- fications	fica-		fica-
											[FCA CF] (9) Algo- rithmic trading [PRA CF] Signi- ficant risk taker or mat- erial	10. Broker fund adviser 11. Pen- sion trans- fer specialist			

(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 Dir-ect-ory per-son who does not have an NI Number or for whor a pass-port number, and not an NI num-aber, has pre-vi-l-ously	Na- tional in- sur- ance (NI)	Date of	Title	First	Name com- monly know by (if	y Middl name (if	le s Last	Date start	Date emble	Relevant roles cur- rently	Activities which the Directory person carries on and for which they hold	Custome engage ment meth (on-line, tele-phor face to of-cet-ory person who deals with custome and require a qualification to do so	place loca- tion(s) for any l Dir- ect- ory per- son who de- als with cus- tome face to exquire a - equalifica-	c-Rel- ev- ant s)ac- ited body mem ber- ship for any Dir- ect- ory per- son who de- with cus- tome and re- squire a- quali
												dealing in se- curit- ies which			

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	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- aber, has pre- vi- ously been	Na- tional in- sur- vance (NI)	Date of	Title		by	y v il Midd name (if	es Last	starte	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-phon face) of-fered by any Dir-ect-ory per-son who de-als with custome and require a qualification to do	place location(sepost code(s)) for any Directory person who deads with custome face to experso and resquired a sequired a	eev- ant s)ac- ited)body mem ber- ship for any Dir- ect- ory per- son who de- exels with cus- tome and re- squire a - quali
											[PRA CF]	are not stake- holder pen- sion scheme per- sonal pen- sion scheme or broker funds 13. Giving			

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
In- di- vidua Ref- er- ence Num ber	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- tional in- sur- ance (NI)	Date of	Title	First	Name com- monly know by	y Middl name (if	le s Last	Date start	Date erble	Relevant roles cur- rently	Activities which the Directory person carries on and for which they hold the relevant qualifications personal recommendations	Custome engage ment meth (on- line, telephor face) of ferect by any Direct-ory person who deals with custome and require a qualification to do so	place location(s) for any l Directory person who desare and resequire a -quali fica-	c-Rel- ev- ant s)ac- cred- ited)body mem ber- ship for any Dir- ect- ory per- son who de- with cus- tome and re- squire a-
											risk taker Dir- ector				
											of firm who is not	aging in- vestments	5		

(3)	(4) Pass-	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
	port num- ber and														
	na- tion- al- ity, for												Cus- tome en- gage		
	any Dir- ect- ory per-												(on- line, tele-	n d/d(x) place loca- tion(e ev- ant s)ac-
	son who does not have												face to face) of-	for any	ited)body mem ber-
	an NI Num- ber or												fered by any Dir- ect-	l Dir- ect- ory per- son	ship for any Dir- ect-
	for whor a pass-port												ory per- son who de-	who de- als with cus-	ory per- son who de-
	num- ber, and not an											Activities which the Dir- ectory	als with cus-	tome face to erface and	rsals
Ref-	NI num- aber, has	Na- tiona	ı			Name						person carries on and for which	re- quire a quali	re- squire a -quali	re- squire a -quali
ber	pre- vi- -ously been provide	(NI)	of	Title (aptional)		by	Midd name (if	s Last	start	edble	Relevant roles cur- rently held	they hold the rel- evant quali- fications		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)
	Pass- port num- ber														
	and na-														
	tion- al- ity,												Cus- tome en-		
	for any Dir-												gage ment		c-Rel-
	ect- ory												(on- line,	place loca-	e ev- ant
	per- son who													tion(epost co-	
	does not have												to face) of-	de(s) for any) body mem ber-
	an NI												fered by	Dir- ect-	ship for
	Num- ber or												any Dir- ect-	ory per- son	any Dir- ect-
	for whor a	n											ory per- son	who de- als	ory per- son
	pass- port												who de-	with cus-	who de-
	num- ber, and											Activities which	cus-	tome face to	ersais with cus-
In-	not an NI											the Dir- ectory person	tome and re-	ersace and re-	tome and re-
di- vidu	num- ıa b er,	Na-				Name						carries on and	quire a	esquire a	squire a
	pre- e vi-					com- monly know	y Mildd	le			Relevant	for which they hold the rel-	fica- tion	fica-	-quali fica- tion
ber	n-ously been) provided	(NI)	of	Title		(if		Last	start	edole	roles cur- rently held	evant quali- fications	to do so	to do so	to do so
											which they	in- vest-			
											re- quire a	ment scheme or un-			
											quali- fication	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)
vi Ro e e N b	ef- er- nce	ously been	Na- tional in- sur- ance (NI)	Date of	Title		by	y vilMidd name (if	es Last	starte	edble		Activities which the Dir- ectory person carries on and for which they hold the rel- evant quali- fications	face) of- fered by any Dir- ect- ory per- son who de- als with cus- tome and re- quires a quali-	whi(x)k place loca- tion(s) (post co- de(s)) for any Dir- ect- ory per- son who de- als with cus- tome face and re- quali- fica-	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-
												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		

(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- phor face		s)ac- : cred- ited
	does not have an												to face) of- fered	for any)body mem ber- ship
	NI Num- ber or												by any Dir- ect-	ect- ory per- son	for any Dir- ect-
	for whom a pass-	n											ory per- son who	who de- als with	ory per- son
	port num- ber, and											Activities which	de- als	cus- tome face to	de- ersals
In- di-	not an NI											the Dir- ectory person	tome and re-	erfsace and re- esquire	tome and re-
vidua Ref-	num- aber, has	Na- tional				Name com-						carries on and for which		a i-quali	a
er-	pre-	in- sur-				monly know		e			Relevant	they hold the rel-	fica-		fica-
Num- ber	ously- been	ance (NI)	of	Title	First	by (if	name: (if	s Last	start	erble	roles cur-	evant quali-	to do	to do	to do
(IRN)	provided	drumber	birth	(aptional	name	known)	known)	name	role	ended	held they	fications hold-	SO	SO	SO
											re- quire	ing client			
											a quali-	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	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)
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- erce vi- sur- Num-ously ance Date		Relevant Date Date roles curstartecble rently role ended held		Customer engage-ment methold(x) (on-place line, locatele-tion(phonepost face coto de(s) face) for of-any fered Dirby ectany ory Dirperect-son ory who perdect-son als who with decusals tome with face customersace and and rerequiresquire a a quali-qualification tion to do do so so	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- equali fica-

(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,												Cus- tome		
	for any Dir-												gage ment		c-Rel-
	ect- ory per-												line, tele-	place loca- tion(ant s)ac-
	son who does												face to face)	de(s)	ited) body
	not have an NI												of- fered by	any	mem ber- ship for
	Num- ber or												any Dir- ect-	ory per- son	any Dir- ect-
	for whom a	n											ory per- son	who de- als	ory per- son
	pass- port num- ber,											Activities	who de- als	with cus- tome	de- ersals
	and not an											which the Dir- ectory	cus-	to erfsace and	cus- tome and
	NI num- aber,	Na-				Name						person carries on and		re- esquire a	a
Ref- er- ence	pre-	tional in- sur-				com- monly know by			Date	Date	Relevant roles cur-	for which they hold the rel- evant	fica-	-quali fica- tion to	
ber (IRN)	been		of	Title (aptional	First name		(if	Last	starte	erble	rently held	quali- fications	do so	do so	do so
												(bringii about) regu-	ng		
												lated mort-			
												gage 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)	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- port num-		(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Ref- er- ence Num ber	pre- vi- n-ously been	n Na- tiona in- sur- vance (NI)	Date of	Title (optional)			/ Midd 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-fered by any Direct-ory person who deals with custome and require a qualifica-	place location (epost code(s) for any loir-ect-ory person who deads with custome face and resequire 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- equali fica-
											Re- spons- ibility for Insur- ance Distri- bu- tion (MI- PRU 2.2.1R)	22. De- sign- ing scripted ques- tions for execu- tion- only sales of equity re- lease transadions	I		

(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- ory per- son who does												(on- line, tele- phon face to	place loca- tion(tion(epost co- de(s)	e ev- ant s)ac- cred- ited)body
	not have an NI Num- ber or for whon a pass- port num-											Activition	face) of- fered by any Dir- ect- ory per- son who de- als	any I Dir- ect- ory per- son who de- als with cus- tome	de- ersals
Ref- er- ence Num ber	been	in- sur- ance D	of	Title (optional)		by (if	y Middl names (if	s Last	starte	edole	Relevant roles cur- rently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	cus- tome and re- quire a quali	and re-	cus- tome and re- esquire a -quali
											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) 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		