

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)
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	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 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	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 been pro- vided	has pre- vi- ously (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) by any Dir- ect- ory per- son who deals with cus- tomer and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- credited body for mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomer and re- quires a quali- fica- tion to do so	Work- place ev- iden- tiation (s)ac- credited body for mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomer 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 a a quali- fica- 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 a a quali- fica- 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 a a quali- fica- tion to do so
											(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- 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 Title (optional) First name Name com- monly known by names (if known) Middle names (if known) Last name	has pre- vi- ously been pro- vided	Na- tional in- sur- ance Date of birth	Title (optional)	First name	Name com- monly known by names (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(s) (on-line, loca- tion(s) 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	Web- Rel- place ev- ant ac- cred- ited body for 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	Web- Rel- place ev- ant ac- cred- ited body for 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	
												(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)
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 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 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 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			

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(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
													ap- plica- tion condi- tions are met)		
											[FCA CF] (5) Func- tions re- quir- ing	7. Giv- ing per- sonal re- com- menda- tions			

(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	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 deals with cus- tomer and re- quires a quali- fica- tion to do so	Work- place ev- ident ac- tion(s) post- cred- ited to de(s)) body for mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomer and re- quires a quali- fica- tion to do so	Work- place ev- ident ac- tion(s) post- cred- ited to de(s)) body for mem- ber- ship for any Dir- ect- ory per- son who deals with cus- tomer 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) 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- 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 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 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 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- id- ence ac- cess cred- ited 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- id- ence ac- cess cred- ited 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 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) 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
											risk taker [PRA CF] Key func- tion holder	12 Giving per- sonal re- com- men- da- tions on and dealing in se- curit- ies 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 face de(s))	Work- place ev- lu- ation (on- line, loca- tion(s) ac- cessi- ble to face de(s))	Work- place ev- lu- ation (on- line, loca- tion(s) ac- cessi- ble to face de(s))
												are not stake- holder pen- sion schemes, per- sonal pen- sion schemes or broker funds			
											[PRA CF]	13. Giving			

(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) 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
											Man- aging a mat- erial risk taker	per- sonal re- com- menda- tions on and dealing in de- rivatives			
											Dir- ector of firm who is not	14 Man- aging in- vestments			

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(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, Nationality survived visually been 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-Related (on-line, telephone, face to face) any Directory person who deals with customers and requires a qualification to do so	Work-Related (on-line, telephone, face to face) any Directory person who deals with customers and requires a qualification to do so	Work-Related (on-line, telephone, face to face) 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			

(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	Nationality	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 (online, telephone, face to face)	Workplace event(s) accessed (post to de(s))	Work-related body membership for any Directory person who deals with customers face and requires a qualification to do so
											they require a qualification	holding client money			
												17. Administrative functions in relation 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, 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- 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
												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)
	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) 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, loca- tel- phone, face to face) of- fered by any Dir- ect- ory per- son who de- als with cus- tomer face and re- quires a quali- fica- tion to do so	Work- place ev- lu- ation (s)ac- cess to body mem- ber- ship for any Dir- ect- ory per- son with cus- tomer face and re- quires a quali- fica- tion to do so	Rel- at- ant cred- ited body mem- ber- ship for any Dir- ect- ory per- son with cus- tomer face 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)
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	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- lu- ation (s)ac- cred- ited de(s)) 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	Rel- ation- 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
												in re- lation to the op- era- tion of stake- holder pen- sion schemes 20. Advis- ing or arran- ging			

(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 de- als with cus- tomer face 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 with de- als with cus- tomer face and re- quires a quali- fica- tion to do so	Rel- at- ant ac- cred- ited body for any Dir- ect- ory per- son with de- als with cus- tomer face 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, has pre- vi- ously been pro- vided	Na- tional in- sur- ance (NI) num- ber	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	place ev- an- tial ac- cred- ited body for 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	with face to face 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	Customer en- gage- ment method (on- line, tele- phone, face to face) 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	Work- place ev- lu- ation (s)ac- cred- ited de(s)) body for any 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	Work- place ev- lu- ation (s)ac- cred- ited de(s)) body for any 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
												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 face de(s)) body 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 face de(s)) body 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 face de(s)) body 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)
	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 (optional) First name (if known)					Name com- monly known by names (if known)	Middle names (if known)	Last name (if known)	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) 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- lu- ation (s) 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	
In- di- vid- ual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional in- sur- ance Date of birth (optional) First name (if known)												equity re- lease transactions		