

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- 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 (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- ectory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ev- en- t(s) ac- cred- ited de(s) body mem- ber- ship Dir- ectory any Dir- ectory per- son deals with cus- tomers and re- quires a quali- fica- tion to do so	any Dir- ectory 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- sion (NI) pro- vided	
										[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- 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) by any Dir- ect- ory person who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ev- en- t(s) ac- cru- sity de(s)) body for mem- ber- ship ect- for any Dir- ect- ory person deals with cus- tomers and re- quires a quali- fica- tion to do so	any Dir- ect- ory person deals with cus- tomers and re- quires a quali- fica- tion to do so	any Dir- ect- ory person deals with cus- tomers and 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) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion	Work- Rel- ation- ship (on- line, tele- phone face to face) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion	Work- Rel- ation- ship (on- line, tele- phone face to face) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion
	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					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) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion	Work- Rel- ation- ship (on- line, tele- phone face to face) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion	Work- Rel- ation- ship (on- line, tele- phone face to face) for any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion
											(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- 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 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 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)
In- di- vidu- al Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- vi- sion (NI) pro- vided	has in- sur- vival Date of birth	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	Customer en- gage- ment method (on- line, tele- phone face to face) for any Dir- ectory per- son who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ac- cred- ited de(s) body mem- ber- ship Dir- ectory any Dir- ectory per- son deals with cus- tomers and re- quires a quali- fica- tion to do so	any 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- sion (NI) pro- vided
											[FCA CF] (4) Signi- ficant management	broker funds 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)
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	NI number	NI number	Title (optional)	First name	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 (on-line, telephone, face to face)	Work-Related place(s) accessed (e.g. body for membership of any Directory body for any Directory person who deals with customers and requires a qualification to do so)	Work-Related place(s) accessed (e.g. body for membership of any Directory body for any Directory person who deals with customers and requires a qualification to do so)	Work-Related place(s) accessed (e.g. body for membership of any Directory body for any Directory person who deals with customers and requires a qualification to do so)
												polices (other than Holiday sickness policies where the Holiday policy special			

(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	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) First name (if known) Middle name (if known) Last name	NI number, National Insurance Date of birth (optional) 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(s) (on-line, telephone, face to face)	Work-Related place action(s) (e.g. posted to body of any Direct-ory person who deals with customer face and re-quires a quali-fication to do so)	Work-Related place action(s) (e.g. posted to body of any Direct-ory person who deals with customer face and re-quires a quali-fication to do so)	Work-Related place action(s) (e.g. posted to body of any Direct-ory person who deals with customer face and re-quires a quali-fication to do so)
											qualifications	on long-term care insurance contracts				
											[FCA CF]	8. Giving				

(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)	Customer engagement method (online, telephone, face to face) and requires a qualification to do so
											(6) Manager of certification employee		personal recommendations on investments in the course of corporate finance business		

(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- vide	NI num- ber, Na- tional pre- s- ence vi- sur- ance (NI) pro- vide	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, loca- tion(s) ac- cess- ible to de- face)	Work- Rel- ation- ship (on- line, loca- tion(s) ac- cess- ible to de- face)	Work- Rel- ation- ship (on- line, loca- tion(s) ac- cess- ible to de- face)
											[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- 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	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, tele- phone, face to face) for any Dir- ect- ory per- son who de- als with cus- tomers	Work- place ev- idence (s)ac- cess cred- ited to de(s) body mem- ber- ship for any Dir- ect- ory per- son with de- als with cus- tomers	any 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- sion (NI) pro- vided	any 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- sion (NI) pro- vided	any 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- sion (NI) pro- vided
											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)	
	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		visually	Date of birth	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 of any Director or person who deals with customer face and requires a qualification to do so)	are not stakeholder pension schemes, personal pension schemes or broker funds
												[PRA CF]	13. Giving			

(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		Surveillance Date	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 of any Director or person who deals with customer face and requires a qualification to do so	Work-Related activities (post credited to de(s) body of any Director or person who deals with customer face and requires a qualification to do so	Work-Related activities (post credited to de(s) body of any Director or person who deals with customer face and requires a qualification to do so
											a certification employee or a SMF manager					
											Sole trader dealing with clients for	15. Operating a collective				

(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	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	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	Web- Rel- iance ac- cred- ited body for mem- ber- ship for any Dir- ect- ory per- son with cus- tomers	place ev- idence (s) ac- credited de(s)) body for mem- ber- ship for any Dir- ect- ory per- son with cus- tomers	face to face and re- quires a quali- fica- tion to do so	face to face and re- quires a quali- fica- tion to do so	face to face and re- quires a quali- fica- tion to do so
											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		visually	of (NI) number	birth (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 location(s) (post code(s))	Customer engagement method (online, telephone face to face) for any Directory person who deals with customers	
													investment scheme				
												Appointed representative dealing with clients for which	16 Safeguarding and administering investments or				

(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	Na- tional in- sur- ance Date of birth	Title (optional)	First name	Name com- monly known by (if known)	Middle names (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, loca- tel- phone face to face) by any Dir- ect- ory per- son who de- als with cus- tomers and re- quires a quali- fica- tion to do so	Work- Rel- ation- ship for any Dir- ect- ory per- son with de- als with cus- tomers and re- quires a quali- fica- tion to do so	Web- Rel- ation- ship for any Dir- ect- ory per- son with de- als with cus- tomers and re- quires a quali- fica- tion to do so	Other Rel- ation- ship for any Dir- ect- ory per- son with de- als with cus- tomers and re- quires a quali- fica- tion to do so
											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 Date of birth (optional) Name commonly known by (if known) Middle names (if known) Last name	NI number, National Insurance Date of birth (optional)	NI number, National Insurance Date of birth (optional)	Date of birth (optional)	Title (optional)	First name	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(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)	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)	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)
												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)	
	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 identifier, is provided			Title (optional)	First name	Name commonly known (if known)	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	Customer engagement method (online, telephone, face to face)	Work-Related activities (post credited to de(s) body of any Director or person who deals with customer face and requires a qualification to do so	Work-Related activities (post credited to de(s) body of any Director or person who deals with customer face and requires a qualification to do so	Work-Related activities (post credited to de(s) body of any Director or person who deals with customer face and requires a qualification 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- vidual Ref- er- ence Num- ber (IRN)	NI num- ber, Na- tional pre- in- sur- vance (NI) number birth		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	Customer en- gage- ment method (on- line, tele- phone, face to face) for any Dir- ect- ory person who deals with cus- tomers and re- quires a quali- fica- tion to do so	Work- place ev- ent ac- tivity con- ducted by any Dir- ect- ory person with face to face and re- quires a quali- fica- tion to do so	any Dir- ect- ory person with face to face and re- quires a quali- fica- tion to do so	any Dir- ect- ory person with face to 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)
	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 birth (optional) 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 body membership)	
													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)
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	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	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	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	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	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	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	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	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	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	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	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	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	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	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	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
												Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method (on-line, telephone face to face) Web-Reliance (local telephone contact) (s)accredited body for membership of any Directory by any Directory person who deals with customer face and re-quires a qualification to do so		
													execution-only sales of regulated mortgage contracts for a non-business 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 Number, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held	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, Name commonly known (if known), Middle names (if known), Last name, Date started, Date ended, Relevant roles currently held
											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) offered by 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)	
											Responsibility for Insurance Distribution (MI-PRU 2.2.1R)		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)
	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 (post credited to de(s) body)	any other person who deals with customers
													equity release transactions		