

**REPORTING OF INFORMATION ABOUT DIRECTORY PERSONS
(MISCELLANEOUS AMENDMENTS) INSTRUMENT 2020**

Powers exercised

- A. The Financial Conduct Authority (“the FCA”) makes this instrument in the exercise of:
- (1) the following powers and related provisions in the Financial Services and Markets Act 2000 (“the Act”):
 - (a) section 39 (Exemption of appointed representatives);
 - (b) section 59 (Approval for particular arrangements);
 - (c) section 60 (Applications for approval);
 - (d) section 62A (Changes in responsibilities of senior managers);
 - (e) section 63E (Certification of employees by authorised persons);
 - (f) section 63F (Issuing of Certificates);
 - (g) section 137A (The FCA’s general rules);
 - (h) section 137T (General supplementary powers);
 - (i) section 139A (Power of the FCA to give guidance);
 - (j) section 347 (The record of authorised persons etc);
 - (k) paragraph 23 (Fees) of Schedule 1ZA (The Financial Conduct Authority); and
 - (2) the other rule and guidance-making powers and related provisions listed in Schedule 4 (Powers exercised) to the General Provisions sourcebook (GEN) of the FCA’s Handbook.
- B. The rule-making powers listed above are specified for the purpose of section 138G(2) (Rule-making instruments) of the Act.

Commencement

- C. This instrument comes into force on 1 October 2020.

Amendments to the Handbook

- D. The Supervision manual (SUP) is amended in accordance with the Annex to this instrument.

Citation

- E. This instrument may be cited as the Reporting of Information about Directory Persons (Miscellaneous Amendments) Instrument 2020.

By order of the Board
30 September 2020

Annex

Amendments to the Supervision manual (SUP)

In this Annex, underlining indicates new text and striking through indicates deleted text.

16 Annex 47AR Directory persons report

...

(3)	(4)	(5)	(6)	(6A)	(7)	(7A)	(8)	(9)	(10)	(11)	(12)	(13)	(14)	(15)	(16)
Individual Reference Number (IRN)	Passport number and <u>nationality</u> for any Directory person who does not have an NI Number or for whom a passport number, and not an NI number, has previously been provided	National insurance number	Date of birth	<u>Title</u> (optional)	First name	<u>Name</u> <u>common</u> <u>ly</u> <u>known</u> <u>by</u> (if <u>known</u>)	Middle names (if known)	Last name	Date started role	Date role ended	Relevant roles currently held	Activities which the Directory person carries on and for which they hold the relevant qualifications	Customer engagement method(s) (online, telephone, face to face) offered by any Directory person who deals with customers and requires a qualification to do so	Workplace location(s) (post code(s)) for any Directory person who deals with customers face to face and requires a qualification to do so	Relevant accredited body membership for any Directory person who deals with customers and requires a qualification to do so
													
											[PRA CF] <u>Significant risk taker</u> or <u>Material material risk taker</u>				

..	
<u>Responsibility for Insurance Distribution (MIPRU 2.2.1R)</u>	
<u>Responsibility for MCD Intermediation (MIPRU 2.2.1R)</u>	

16 Annex 47BG **Guidance notes for Directory persons report in SUP 16 Annex 47AR**

...

4. The information in (4), (5) and (6) will be used to cross-check the identity of the *Directory person* against other information held by the *FCA*. It will not be published on the *Directory*. It is only necessary to report a *Directory person's* passport number and nationality in (4) where:

...