

Financial Services Register Extract Service Subscribers' Handbook

November 2022

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What's new in this version

<i>Section</i>	<i>What's new since the previous version (June 2022)?</i>
Entire document	Updated formatting and layout
What's new in this version	New section to clarify changes since the previous handbook
Introduction/Information Available through the Register Extract Service	Updated to accommodate Firm Disciplinary History
Subscription options/Extract types	Updated to accommodate Firm Disciplinary History
Subscription options/Data usage	Text changes to clarify Compliance Use
Subscription options/Fees	Minor text changes for greater clarity
	Expanded and enhanced with new sections – Changes to fees, Current fees
	Inclusion of current fee schedule
	Consolidation of fee information, including SDM fees (formerly in Spectrum Data Management section)
Subscription process	Expanded to include further details on the subscription process
	Added Renewals, changes and cancellations section to include more detailed information on auto-renewals and notice period
File structure and content	Added Firm Disciplinary History information
	Reordered file specifications for greater consistency
	Updated Firm Reference Number and Product Reference Number notes to refer to these numbers being 6 or 7 digits in length
File structure and content/File details	Included a sample file and restructured content
File structure and content/Relationship map – FSMA firms	Added Firm Disciplinary History and made minor corrections to relationships. Included Involvements in diagram. Removed insurance distribution and structured deposits fields from Appointed Representatives table
File structure and content/Relationship map – PSD/EMD firms	Minor corrections to relationships
Lookup values	Updated section name from Fields with fixed text
	Added Type of Action section
	Restructured to remove duplication
	Firm legal status type – 2 new values – Charitable Incorporated Organisation – (CIO) and UK branch of a non-EEA firm

Section	<i>What's new since the previous version (June 2022)?</i>
	Firm type – 2 new values: MLD cryptoassets and Securitisation Repository
Frequently asked questions	Streamlined section and restructured content

1 Introduction

Who is this handbook for?

- ✔ People who are interested in learning about how they can get access to data from the Financial Services Register (<https://register.fca.org.uk>)
- ✔ Subscribers who want the most recent information about how the service works and how much it costs
- ✔ Teams who are responsible for managing their organisation's use of the data contained in the service

Subscribers' Handbook

1.1 This handbook:

- ✔ provides an overview of the Financial Services Register (FS Register) as the context for the Register Extract Service (RES)
- ✔ explains what data is available, the format and how frequently you can get it
- ✔ tells you how you can subscribe to the RES and explains the related fees and charges
- ✔ contains a detailed technical specification for the RES files
- ✔ provides a list of frequently asked questions (FAQs)

1.2 Subscribers will be notified of updates to this handbook, and the up-to-date handbook will be available on the [FCA website \(https://www.fca.org.uk/firms/financial-services-register/data-extract\)](https://www.fca.org.uk/firms/financial-services-register/data-extract).

The Financial Services Register (FS Register)

1.3 In the UK, nearly all firms and individuals who engage in financial services activities must be authorised by the FCA. You can search the FS Register for firms and individuals, and the activities firms have permissions for.

1.4 The FS Register is an online public record of firms, individuals and other bodies that are, or have been, regulated by the PRA and/or FCA. It includes information on the firms that are or have been:

- ✔ authorised by us
- ✔ registered with us to conduct regulated activities, or
- ✔ providing certain regulated products or services in the UK

1.5 The FS Register also allows users to search for businesses that are or have been registered with the FCA under FSMA, the Money Laundering Regulations 2007, the Payment Services Regulations 2009, and the Electronic Money Regulations 2011.

1.6 Access to the [online FS Register \(https://register.fca.org.uk\)](https://register.fca.org.uk) is free.

Register API

1.7 The FCA offers a free API to access data from the FS Register programmatically. This is a separate service to the RES.

- 1.8 You can register for the API at <https://register.fca.org.uk/Developer/s/> by clicking on the **Register to be a New User** link.
- 1.9 Registering as an API user will give you access to the API portal which provides more detail on what is available via the API, and the available end-points.
- 1.10 The current version of the API has not been designed for bulk querying, and you can only return information on a single entity (e.g. a single regulated firm or individual) at a time.
- 1.11 The API is currently rate limited to 10 requests per 10 seconds, and the amount of requests is limited to 130 per 10 seconds.
- 1.12 We do not offer any “premium” versions of the API, nor the ability to raise the limits referred to above.
- 1.13 For any technical support queries relating to the API, please contact registerapisupport@fca.org.uk.

The Register Extract Service (RES)

- 1.14 The Freedom of Information Act (FOIA) and statutory instruments require us to publish and maintain a publication scheme. This must set out the types of information we publish, the way it’s published and whether we charge for providing it.
- 1.15 The RES forms part of the FCA’s Publication Scheme, which has been compiled in line with our obligations under the Freedom of Information Act 2000. For more information on our publication scheme, you can visit <https://www.fca.org.uk/freedom-information/fca-publication-scheme>.
- 1.16 While the FS Register and Register API displays information about a single entity at a time, the RES offers most (although not all) of the information from the FS Register as a series of files.
- 1.17 For a fee, subscribers to the RES can select to receive either **Firms** data or **Firms and Individuals** data on a weekly, monthly or one-off basis.

Information available through the Register Extract Service

- 1.18 Most information that is available within the FS Register is also available within the RES, and there are some additional fields that are *only* available in the RES. For full details on what fields are included, see section **File structure and content** (section 5).
- 1.19 The following records / fields are not included within the RES:
- ✔ Exempt Professional Firms
 - ✔ Directory of certified and assessed persons (including memberships of professional organisations)
 - ✔ Email addresses or websites (even where these may appear on the Register)
 - ✔ Firm complaints contacts
 - ✔ Waivers, discretions and exclusions
 - ✔ Disciplinary and regulatory action records pertaining to individuals
 - ✔ Unauthorised Firms (i.e. Scam firms, clone firms)

- ✓ Fund information (with the exception of information relating to Collective Investment Schemes)
- ✓ Consumer buy-to-let permissions / status
- ✓ Exchanges
- ✓ Firms registered with us exclusively for the purposes of the Third Money Laundering Directive
- ✓ UK-registered AIFMs

Contact us

1.20 For enquiries about the contents of the RES or subscription details, please contact:

The Register Extract Service (RES)
 Financial Conduct Authority
 Register Team
 Authorisations
 12 Endeavour Square
 Stratford
 London E20 1JN

data.extract@fca.org.uk

2 Subscription options

Extract types

- 2.1 The Register Extract Service is made up of 2 main data sets: the **Firms** data set and the **Individuals** data set.
- 2.2 You can select to receive just the **Firms** dataset, or, for an additional fee, you can receive the **Individuals** data set as well. The table below details what files you can expect to receive based on the extract type you decide to purchase.

- ✓ Please note: the Individuals data set is not sold on its own.

Data file	Firms only	Firms and Individuals
Firm authorisation	✓	✓
Regulated activity permissions	✓	✓
Alternative firm names	✓	✓
Appointed representatives	✓	✓
Collective investment schemes	✓	✓

Data file	Firms only	Firms and Individuals
Firm regulators	✓	✓
Passports	✓	✓
Payment Services Directive (PSD) & E-money firms	✓	✓
PSD Firm Names	✓	✓
PSD Activities	✓	✓
PSD Agents	✓	✓
Requirements	✓	✓
Limitations	✓	✓
Firm Disciplinary History	✓	✓
Individuals		✓
Involvements		✓

Frequency of data extracts

- 2.3 The RES offers a subscription service on a weekly or monthly basis, or you can obtain a one-off extract.

Delivery

- 2.4 The data is provided by Spectrum Data Management Limited (SDM) on our behalf. SDM make the RES available via an online portal that they manage. See section 3, **Spectrum Data Management** for further details.

How you can use the data

- 2.5 The licence fee is calculated according to how you use the data. We categorise this using the following bands:

Compliance use

- 2.6 This band will be relevant to subscribers from regulated firms who want to use the data for compliance purposes in terms of carrying out their own FCA/Prudential Regulation Authority (PRA) regulated activities.

- ✓ This band excludes firms who provide compliance services for other firms, and those intending to use the data for outbound marketing/recruitment activities.

- 2.7 If you intend to use the extract for commercial gain and/or for the benefit of any entity separate to the subscribing entity, then you must choose one of the other options below.

Other: own business

- 2.8 This band will be relevant to subscribers who want to use the data for other activities (outside the compliance purposes detailed above), including research, academic studies and any other non-compliance reasons related to normal business e.g. statistical/trend analysis.

Re-sale use

- 2.9 This band will be relevant to subscribers who want to use the data for the benefit of the subscriber, and/or clients of the subscriber, including the option to re-sell.

Fees

Charging model

- 2.10 The subscription year runs from April to March the following year. FCA invoices are issued in April for the new subscription year.
- 2.11 The cost of subscribing to the RES will depend on:
- ✔ What data you wish to receive
 - ✔ How you use the data
 - ✔ How often you wish to receive it
- 2.12 In accordance with the terms of the subscriber agreement, subscriptions will automatically be renewed each subscription year, unless cancelled in accordance with our notice period (two months). **This does not apply to one-off subscriptions.**
- 2.13 If you subscribe part of the way through a year, the fee we charge will be pro-rated accordingly.
- 2.14 You will be invoiced separately by both the FCA (who provide the data), and SDM (who provide access to the data).

- ✔ Fees must be paid in full within 30 days of the invoice date.

Changes to fees

- 2.15 The FCA will inform subscribers of any price changes at least two months in advance of the new subscription year, as set out in the terms of agreement.

Current fees

2.16 The annual FCA fees listed below were correct as at 01 April 2022. These figures are exclusive of VAT:

Usage	Frequency		
	Weekly	Monthly	One-off
Firm data only			
<i>Compliance purposes</i>	£2,599	£1,444	<i>Not offered</i>
<i>Commercial re-use/Other: own business</i>	£9,445	£7,219	£6,012
Firms & Individuals	Weekly	Monthly	One-off
<i>Compliance purposes</i>	£8,663	£5,408	<i>Not offered</i>
<i>Commercial re-use/Other: own business</i>	£17,840	£13,514	£11,025

2.17 SDM currently charge:

- ✔ £1,600 plus VAT per annum for the firms' weekly download
- ✔ £995 plus VAT per annum for the firms' monthly download

These fees are applied pro rata, depending on when the order is made.

2.18 For the individuals' data, SDM charge an additional £200 plus VAT for weekly and monthly downloads.

2.19 For example, for firms' data on a weekly basis, used for compliance purposes, **£1,600** is payable to SDM and **£2,599** is payable to the FCA, giving a total charge of **£4,199 plus VAT** per annum.

2.20 SDM may charge additional fees for customising the extract to your requirements.

2.21 Please email us at data.extract@fca.org.uk to request the Register Extract order form and a list of the current fees.

3 Spectrum Data Management

Overview

- 3.1 Spectrum Data Management (SDM) is a distributor of RES data on behalf of the FCA. They provide an online download service and interrogation facilities for the data on our behalf.
- 3.2 Full details of their service can be obtained via SDM's website (<https://www.sdm.co.uk>) or you can contact SDM at:

Spectrum Data Management Limited
2nd Floor
130 Shaftesbury Avenue
London
W1D 5AR

📞 Paul Robinson 07770 430228

- 3.3 Fees for services provided by SDM are paid directly to them, as this service does not form part of the FCA's service to RES subscribers. Note that SDM fees are in addition to the licence fee payable to the FCA.

Frequently asked questions about SDM

What are SDM's fees?

- 3.4 See our **Fees** section on page 10 for details on what fees apply

Is there a way I can download the data automatically?

- 3.5 Yes, automation is possible using an HTTP script. Please contact SDM directly and they will guide you through the procedure.

Can the extracts be opened, downloaded or viewed by more than one person in the firm?

- 3.6 Yes, please contact SDM directly for more information.

4 Subscription process

New subscribers

- 4.1 The illustration below highlights the stages of the subscription process for a new subscriber.



Complete order form

- 4.2 You can get a copy of the latest order form from data.extract@fca.org.uk. On this form, you let us know what kind of subscription you want, and who the key contacts for the subscription should be.

Sign & return agreement

- 4.3 Once we have your completed order form, we send you our standard subscriber agreement for your review and signature
- 4.4 After we receive a signed copy from you, we return a counter-signed copy for your records.

Subscription goes live

- 4.5 Once signed agreements have been exchanged, we will ask SDM to activate your account.
- 4.6 You will be included on the distribution list for the next extract production date, which will depend on whether you are a monthly or weekly subscriber:
- ✔ Weekly extracts will be available each Friday via SDM's download portal
 - ✔ Monthly extracts will be available on the first Friday of each month via SDM's download portal.
- 4.7 The exception to this is if you are requesting a "**one-off**" or one-time only extract. In that case, you will need to pay your invoice before we release the extract to you.

Invoice raised and sent

- 4.8 The final stage of the subscription process is raising and sending the invoice to you. Our terms are **30 days**.
- 4.9 If you do not pay your invoice on time, please note that your access to the service **may be suspended**.

Renewals, changes and cancellations

- 4.10 With the exception of one-off subscriptions, under the terms of the subscriber agreement, **subscriptions will automatically roll over to the next subscription year**, unless we are advised otherwise by the subscriber.
- 4.11 There is a **two-month notice period for cancellations or amendments to your subscription**.
- 4.12 Renewal reminder emails are sent out in December. Subscribers wishing to **change** or **cancel** their subscription should let us know in writing no later than the end of January.
- 4.13 Invoices for the new subscription year are issued in April.

Key dates

April

- Beginning of subscription year (1st)
- Invoices issued

May

- Invoices due

December

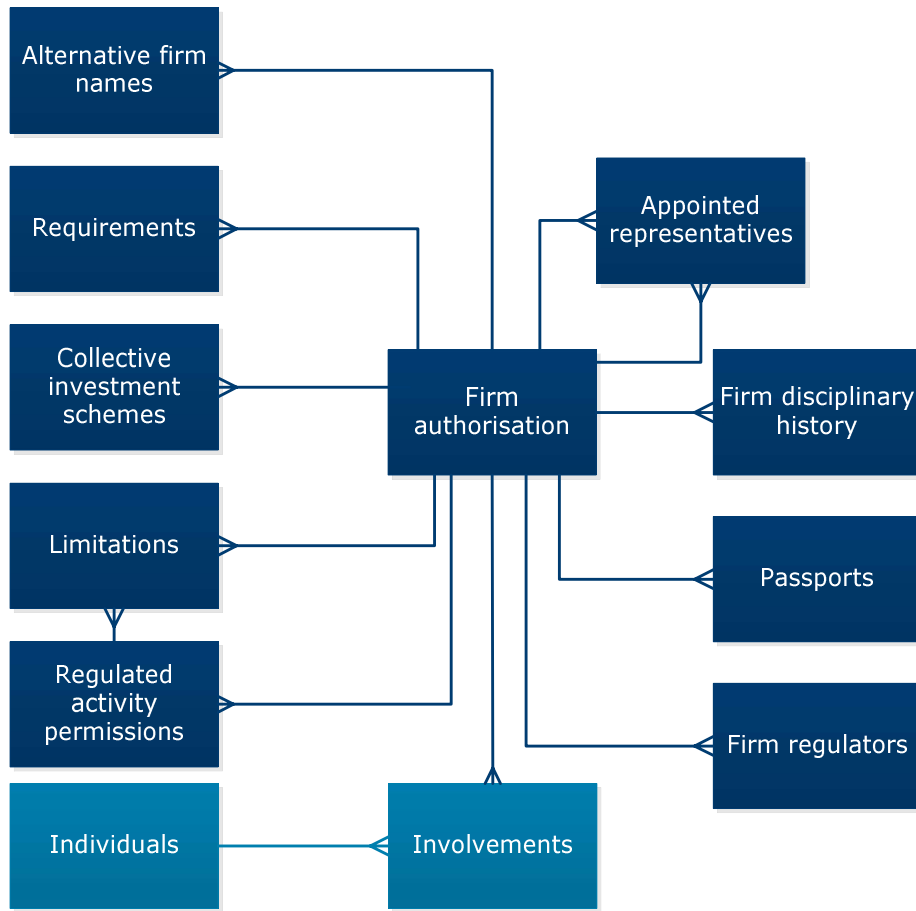
- Renewal reminders

January

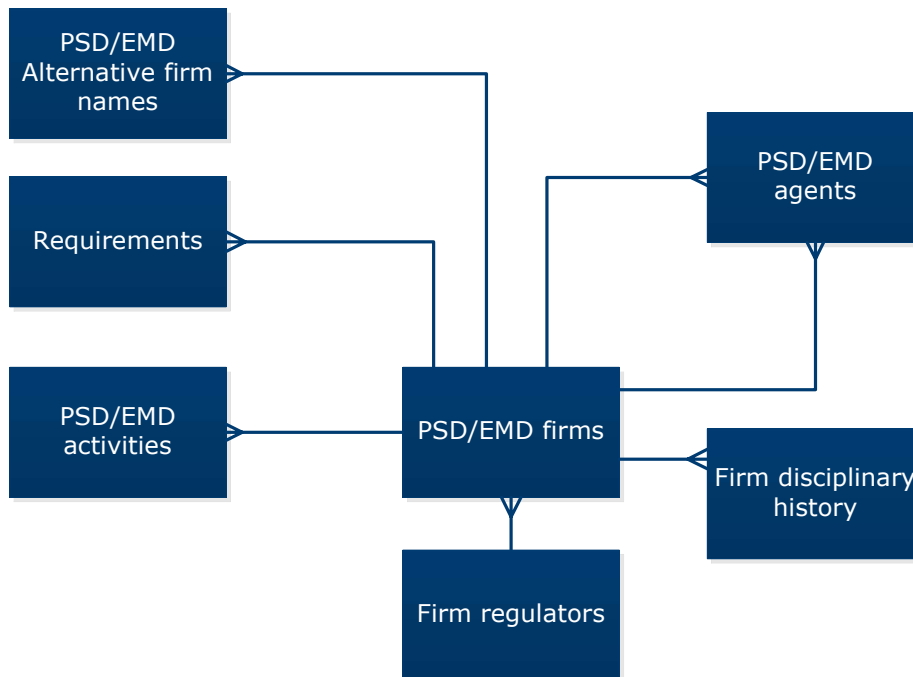
- Deadline for changes/cancellations to take effect in April (31st)

5 File structure and content

Relationship map – FSMA firms



Relationship map – PSD firms



File details

Sample

- 5.1 The table below shows a sample – using anonymised data - of how the file content appears. This is an example of the **Firm authorisation** file...you can see the specification for this file on page 16.

```

Header|Firm Authorisation|20220323|1236|
101150|Amcykgo Bmuflo|Limited|Regulated|Hold and control client money|12 Endeavour Square|||London||E20
1JN|+44|02071111111|No longer authorised|20201112|20060714|AMCYKGOBMUFLO|20210921|00141161|||
095772|Vubirrfb Nrzur Acxjvbk|Sole Trader|Appointed Representative||12 Endeavour Square|||London||E20
1JN|+44|02071111111|No longer registered as an Appointed
Representative|20061023||VUBIRRFBNRZURACXJV BK|20201121|00182711|Former|20070614|MLRs Registered|20201014|
205339|Dsvsgelwh Vwzt Kisur Cnugjydlr Uursqe|Partnership|Introducer A.R.||12 Endeavour Square|||London||E20
1JN|+44|02071111111|Appointed representative -
introducer|20200901||DSVSGELWHVWZTKISURCNUGJYDLRUURSQE|20200923|00128951|||MLRs Registered|20210604|
108736|Srvswwlve Wmbcsl Kzfycbk Uomajfbf|Limited|Regulated|Not hold and not control client money|12 Endeavour
Square|||London||E20 1JN|+44|02071111111|No longer
authorised|20180323|20161003|SRVSWWLVEWMBCSLKFYCBKUOMAJFBF|20210921|00066979|||
057053|Aezxsajw Rxfupmacyu Kcoyliych Chruudyxu Houxbjtgyx|Limited|Appointed Representative||12 Endeavour
Square|||London||E20 1JN|44|02071111111|No longer registered as an Appointed
Representative|20101201||AEZXSAJWRXFUPMACYUKCOYLIYCHCHRUUDYXUHOUXBJTGXY|20210208|00069126|Former|202
10208||
118876|Uaqzkwoxrx Aomuzb Sgmjts|Company Limited by Guarantee with No Share Capital|Introducer A.R.||12 Endeavour
Square|||London||E20 1JN|44|02071111111|Appointed representative -
introducer|20161206||UAQZKWOXRXAOMUZBSGMJTS|20220228|00006654|||Formerly MLRs Registered|20201026|
092446|Nezixvupb Cratg Uffqppymr Yktmqoey Ubbiuqcm|Partnership|Introducer A.R.||12 Endeavour Square|||London||E20
  
```

```

1JN|44|02071111111|No longer registered as an Appointed
Representative|20071008|NEZIXVUPBCRATGUFFQPYPMYKTMQOEYUBBIUQCM|20201014|00168021|Former|20100607|||
099127|Vjlnuh lejyyynre|Limited|Introducer A.R.||12 Endeavour Square|||London||E20 1JN|+44|02071111111|Appointed
representative - introducer|20151120|VJLNUHIEJJYNNRE|20201121|00047585|||MLRs Registered|20211120|
220525|Juwxsot Yoxrw Oxqaloke|Limited|Regulated|Not hold and not control client money|12 Endeavour
Square|||London||E20
1JN|44|02071111111|Authorised|20161125|20161125|JUWXSOTYOXRWOXQALOKE|20220201|00020239|||Registration
Revoked|20211205|
161494|Gfcyh Pevtvm|Sole Trader|Appointed Representative||12 Endeavour Square|||London||E20
1JN|44|02071111111|No longer registered as an Appointed
Representative|20100817|GFCYHPEVTVM|20201121|00189347|Former|20110506|||Footer|10|

```

Headers and footers

- 5.2 There are no field names contained within the files. Instead, each file has a Header specifying the filename, date, and time of production. Each file is terminated by a footer specifying the row count (excluding the header and footer).

Encoding and delimiters

- 5.3 The files are text files encoded in UTF-8 and are delimited using the pipe character - "|". There is a delimiter at the end of each row, and lines are terminated using the Windows/DOS line ending ([CR][LF]). If a field includes the pipe character, the entire field in that record will be enclosed with double quotation marks.

Special characters

- 5.4 Note that it is likely that some fields will contain characters that some systems use for special purposes, such as quotation marks (""). We do not escape these characters, nor will we remove them, as to do so would be to alter the accuracy of the file.
- 5.5 For firm names, it is valid for the firm name to contain a range of punctuation, including speech marks. For more detail on what characters are permissible in a firm name (according to UK legislation), you may refer to:

<https://www.legislation.gov.uk/uksi/2015/17/regulation/2>
<https://www.legislation.gov.uk/uksi/2015/17/schedule/1/made>

File structure

Firm authorisation

- 5.6 This file contains the name, address and current status of firms on the FS Register. Dates of first authorisation and of current status are also included. A sort key, based on the name and with all spaces and punctuation removed, is included to aid name searching.
- 5.7 The file contains entries of firms that have ceased to be authorised. It is important to check the status to confirm authorisation. This file also includes the basic details of all appointed representative firms. Details of their current appointments (if any) will be in the appointed representatives' file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	18	Value 'Firm Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Authorisation Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Registered firm name	String	255	
Firm legal status type	String	255	Blank or value from Firm legal status type on page 34
Firm type	String	255	Blank or value from Firm types on page 34
Authority to hold client money	String	255	Blank or value from Authority to hold client money on page 35
Principal address line 1	String	80	
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Principal address line 5	String	80	
Principal address line 6	String	80	
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	

Name	Type	Max length	Notes
Current authorisation status	String	255	Value from Current authorisation status on page 35
Date status last changed	Date	8	YYYYMMDD
Date first authorised by regulator	Date	8	YYYYMMDD
Sort key	String	255	
Last update date	Date	8	YYYYMMDD
Companies House registration number	String	20	
Sub-status (current)	String	255	Blank or value from Sub-status on page 36
Sub-status effective date	Date	8	YYYYMMDD
MLRs status	String	255	Blank or value from MLRs Status on page 36
MLRs status effective date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Regulated activity permissions

- 5.8 This file contains the regulated activities (e.g. the type of financial services) that authorised firms on the authorisation file are permitted to provide. Each activity is restricted in three ways:
- ✔ The activity may be approved only for a specific customer type
 - ✔ The activity may be limited to specific types of investments/products and/or
 - ✔ A specific limitation may be applied. You can find details of these in the **Limitations** file. Similarly, a requirement can be placed on the firm's permission as a whole, which can be found in the **Requirements** file.
- 5.9 Within each activity, firms are authorised to deal with various customer types and various investment types. The customer and investments may vary within any activity. Therefore, the date that an activity became authorised could be different to

the authorised date for a particular customer or investment type. Indeed, the status may be different. For this reason, there will be several records for each activity.

- 5.10 There will be one record specifically for the activity, giving its status and status date. There will be further records for each customer type in relation to that activity, giving the status and status date for that 'channel', as well as further records for each investment type within the activity. There is no correlation between investment type and customer type. All authorised investment types can be handled with all authorised customer types within the same activity. This file should be used in conjunction with the authorisation file, using the firm reference as the key. Each entry has a status and a status date. These records are removed after they cease to be current.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Permission'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Permission Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Regulated activity name	String	80	See Regulated activity permissions on page 36
Regulated activity category name	String	80	See Regulated activity permissions on page 36
Investment type	String	80	Blank or value from Investment Type on page 49
Customer type	String	80	Blank or value from Customer Type on page 41
Status	String	80	'Authorised'
Effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
Trailer record			

Name	Type	Max length	Notes
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Alternative firm names

- 5.11 This file contains trading names that a firm on the authorisation file is known to use or has used in the past, and historical registered names. It is not necessarily the case that all historical data is present.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Alternative Firm Name'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

Alternative firm name data

Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Alternative name	String	255	
Alternative name type	String	255	See Alternative Name Type on page 42
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	String	255	
Last update date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Appointed representatives

- 5.12 This file provides the link between an appointed representative record (in the authorisations file) and its principal firm(s) (also in the authorisations file).

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Appointment'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Appointment Data			
Appointed representative firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Principal firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Relationship status	String	255	'Active' or 'Inactive'
Status effective date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD
EMPTY COLUMN	Boolean	10	Legacy column, to be removed in future releases
Tied Agent	Boolean	10	TRUE OR FALSE
EMPTY COLUMN	Boolean	10	Legacy column, to be removed in future releases
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Collective investment schemes

- 5.13 This file contains details of the collective investment schemes that are regulated by the FCA and/or the PRA.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Product Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Product Authorisation Data			
Product reference number	String	150	6 or 7 digit number e.g. 123456, 1234567
Product name	String	80	
Product description	String	255	
Product legal form	String	255	See Product legal form on page 48
Current product status	String	255	See Product status on page 48
Date first authorised by regulator	Date	8	YYYYMMDD
Operator firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Sort key	String	80	
Sub-fund flag	String	1	Y or N
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Firm regulators

5.14 This file shows which regulator a firm is regulated by, be it the FCA, PRA, or both.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Regulators'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Regulators Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Firm name	String	255	Registered Name of Firm
Regulatory body name	String	255	Full name of regulatory body
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Passports

5.15 This file provides details of any authorised passports the firm may have. The file also contains a list of all active passport activities and passport permission conditions.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Passport'
Date produced	String	8	YYYYMMDD

Name	Type	Max length	Notes
Time produced	String	4	HHMM in 24-hour format

Passport Data

Firm reference number	String	30	6 or 7 digit number e.g. 123456, 1234567
Passport directive	String	255	See Passport activities on page 42
Passport direction	String	255	'Inward' or 'Outward'
Branch or service indicator	String	1	'S' or 'B' for Service or Branch
Country	String	255	See Country on page 46
Status	String	255	'Authorised'
Date approved	Date	8	YYYYMMDD
Date withdrawn	Date	8	YYYYMMDD
Regulated activity name	String	80	See Passport activities on page 42
Instrument name	String	80	See Passport instrument name on page 46
Last modified date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Requirements

- 5.16 This file contains a list of all current Requirements associated with the firms in the Firm authorisation and PSD/EMD firm file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'

Name	Type	Max length	Notes
File title	String	15	Value 'Requirements'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

Requirements Data

Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Short description	String	255	
Full description	String	32768	
Condition status	String	10	'Authorised'
Approved date	Date	8	YYYYMMDD
Withdrawn date	Date	8	YYYYMMDD
Standard or non-standard requirement	String	12	'NON-STANDARD' or 'STANDARD'
Last modified time	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Limitations

- 5.17 This file contains a list of all limitations associated with the firms in the Firms and PSD/EMD Firms files. The regulated activity to which the limitation is attached is also included.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Limitations'
Date produced	String	8	YYYYMMDD

Name	Type	Max length	Notes
Time produced	String	4	HHMM in 24-hour format
Limitations Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Regulated activity name	String	80	See Regulated activity permissions on page 36
Regulated activity category	String	80	See Regulated activity permissions on page 36
Short description	String	255	
Full description	String	4000	
Condition status	String	10	Default Value - 'Authorised'
Approved date	Date	8	YYYYMMDD
Withdrawn date	Date	8	YYYYMMDD
Standard or non-standard limitation	String	12	Possible values are 'NON-STANDARD' or 'STANDARD'
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Firm disciplinary history

5.18 This file contains a list of the disciplinary and regulatory actions that appear on the FS Register and taken by the FCA and/or PRA against firms in the Firm authorisation and/or PSD/EMD Firm file.

5.19 These include:

- ✔ Supervisory, disciplinary and civil regulatory action (but not criminal action) the FCA and/or PRA has taken, has decided to take, or has proposed to take and considers appropriate to publish.
- ✔ Civil penalties, including fines, that the FCA has imposed or has decided to impose.

- ✔ Enforcement can take different forms such as fines or removal of authorised status, as laid out in the Financial Services and Markets Act 2000 (FSMA) or the Payment Services Directive (PSD). These will be noted in the column 'Enforcement Type' if relevant.

5.20 These **do not** include:

- ✔ Action taken by other enforcement agencies, including the Police, Serious Fraud Office and the Competition and Markets Authority
- ✔ Action taken by foreign regulators

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Firm Disciplinary History'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Firm Disciplinary History Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Final notice	String	32000	
Enforcement Type	String	80	'FSMA', 'PSD' or blank
Type of Action	String	255	See Type of action on page 42
Action Date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD firms

- 5.21 This file contains the name, address and current status of firms on the FS Register that fall under the Payment Services Directive (PSD), as well as firms falling under the e-money directive (EMD).

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD Firm Authorisation'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
PSD/EMD Firm Data			
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Registered firm name	String	255	
Legal status	String	255	Blank or value from Firm legal status type on page 34
Principal address line 1	String	80	
Principal address line 2	String	80	
Principal address line 3	String	80	
Principal address line 4	String	80	
Principal address line 5	String	80	
Principal address line 6	String	80	
Postcode	String	16	
Telephone no - country prefix	String	255	
Telephone no - local number	String	40	
Status	String	255	See PSD/EMD firm status on page 47

Name	Type	Max length	Notes
Firm status effective date	Date	8	YYYYMMDD
Last modified date	Date	8	YYYYMMDD
PSD agent status	String	255	See PSD/EMD agent status on page 47
PSD agent effective date	Date	8	YYYYMMDD
MLRs status	String	255	Blank or value from MLRs Status on page 36
MLRs status effective date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD firm names

- 5.22 This file contains trading names that a firm on the PSD/EMD firms file is known to use or has used in the past, and historical registered names. It is not necessarily the case that all historical data is present.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Firm Names'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Firm Names Data

Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Alternative name	String	255	
Alternative name type code	String	255	See Alternative Name Type on page 42

Name	Type	Max length	Notes
Effective date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Sort key	String	255	
Last modified time	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD activities

5.23 This file contains a list of all current PSD/EMD activities held by firms in the PSD/EMD firms file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Activities'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Activities Data

Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
PSD activity name	String	80	See PSD/EMD activities on page 47
PSD activity category	String	80	See PSD/EMD activities on page 47
Activity start date	Date	8	YYYYMMDD
Activity end date	Date	8	YYYYMMDD
Last modified time	Date	8	YYYYMMDD

Name	Type	Max length	Notes
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

PSD/EMD agents

5.24 This file contains a list of all PSD and EMD Agents associated with the firms in the PSD/EMD firms file.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'PSD EMD Agents'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format

PSD/EMD Agents Data

Agent firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Agent granted date	Date	8	YYYYMMDD
Agent withdrawn date	Date	8	YYYYMMDD
Last update date	Date	8	YYYYMMDD

Trailer record

Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Individuals

- 5.25 This file provides details of all persons approved to undertake a controlled function for an authorised firm, as well as individuals with any employment links with appointed representative firms through which an individual has undertaken a controlled function. These are mainly individuals; however, in rare cases, they can be corporate persons.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Approved Individual Details'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Approved Individuals Data			
Individual number	String	30	e.g. AAA12345
Full name	String	20/40/40/80	Title/forename/ Middle-name/surname
Status	String	255	See Individual status on page 48
Sort key	String	80/40/40	Surname/Middle-name/forename
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

Involvements

- 5.26 This file contains details of all controlled functions currently held, or that have been held, by approved persons since 1 December 2001. The file also contains details of any employment links with appointed representative firms through which an individual has undertaken a controlled function. The approved date in this file is the date that the FCA/PRA approved the controlled function for the individual.

Name	Type	Max length	Notes
Header record			
Header identification	String	6	Value 'Header'
File title	String	15	Value 'Approved Individual Controlled Functions'
Date produced	String	8	YYYYMMDD
Time produced	String	4	HHMM in 24-hour format
Involvements Data			
Individual reference number	String	30	e.g. AAA12345
Firm reference number	String	50	6 or 7 digit number e.g. 123456, 1234567
Approved date	Date	8	YYYYMMDD
End date	Date	8	YYYYMMDD
Involvement type	String	80	See Involvement type on page 49
Last update date	Date	8	YYYYMMDD
Trailer record			
Trailer identification	String	6	Value 'Footer'
Number of data records	String	8	

6 Lookup values

Overview

- 6.1 A number of fields have fixed text, whereby the text that can appear in these fields is one of a limited set of values. The possible values for these fields are defined in the tables below. These values will change from time to time and so these tables should be considered indicative rather than definitive.

Firm legal status type

Firm legal status type

Charitable Incorporated Organisation - (CIO)
Company Limited by Guarantee with No Share Capital
Company Limited by Guarantee with Share Capital
Company Limited by Share Capital
European Public Limited Liability Company (SE)
Incorporated - Industrial & Provident Society Act
Incorporated under Building Societies Act 1986
Incorporated under Friendly Society Act 1992
Limited
Limited Liability Partnership
Limited Partnership
Municipality or State e.g. New South Wales
Not Migrated
Not Supplied
Not Yet Formed
Other
Overseas Firm Incorporated
Overseas Firm Unincorporated
PLC
Partnership
Private Unlimited Company
Registered - Other Company Type by Companies House
Registered as Overseas Company by Companies House
Registered as a Northern Ireland credit union
Registered under Friendly Society Act 1974
Registered under I&PS Act 1965 and CU Act 1979
Sole Trader
Trust
UK branch of a non-EEA firm
UK branch of a third country firm
UK Co incorporated by Special Act/Royal Charter
UK body created by Special Act/Royal Charter
Unincorporated Body

Firm type

Firm type

Appointed Representative
Branch (UK) of an Overseas Firm
CBTL
Claims Management
Credit Rating Agency

Firm type

Data Reporting Service Provider
Depository
Introducer A.R.
MLD cryptoassets
Operator
Regulated
Securitisation Repository
Services (UK) of an Overseas Firm
Trade Repository
Trustee
Trustee/Depository
UK Representative

Authority to hold client money

Authority to hold client money

Control but not hold client money
Hold and control client money
N/A
Not hold and not control client money

Current authorisation status

Current authorisation status

Appointed representative
Appointed representative - introducer
Authorised
Authorised - Closed to Regulated Business
Authorised - Closed to new business
Authorised - applied to cancel
Authorised - applied to change business type
Authorised - applied to change legal status
Authorised - in administration
Authorised - in liquidation
Authorised - in special administration
Authorised Schedule 5 - Operator/depositary/trustee of a temporary recognised scheme
Cancelled
Cancelled - In Liquidation
EEA Authorised
EEA Authorised - Applied to Cancel
EEA Authorised - Contractual run-off
EEA Authorised - Former passporting firm
EEA Authorised - Supervised run-off
EEA Authorised - Temporary Marketing Permission

Current authorisation status

EEA Authorised - Temporary Permission
Lapsed
No longer authorised
No longer registered as an Appointed Representative
Registered
Revoked
Suspended
Temporary Permission
Temporary Registration

Sub-status

Sub-status

Applied to Cancel
Applied to change business type
Applied to change legal status
Closed to Regulated Business
Closed to new business
Contractual run-off
Former
Former CBTL
Former passporting firm
In Administration
In Liquidation
In Special Administration
Operator/depositary/trustee of a temporary recognised scheme
Supervised run-off
Temporary Marketing Permission
Temporary Permission

MLRs status

MLRs status

MLRs registered
Formerly MLRs Registered
Registration Revoked

Regulated activity permissions

Regulated activity category	Regulated activity name
Accepting deposits	Accepting Deposits
Alternative Investment Fund Managers Directive	Investment advice
Alternative Investment Fund Managers Directive	Management of AIFs

<i>Regulated activity category</i>	<i>Regulated activity name</i>
Alternative Investment Fund Managers Directive	Management of portfolios of investments
Alternative Investment Fund Managers Directive	Reception and transmission
Alternative Investment Fund Managers Directive	Safekeeping and administration
Appointed Representative	1001
Appointed Representative	1002
Benchmark Activity	Administering a Benchmark
Benchmark Activity	Administering a regulated benchmark
Benchmark Activity	Providing information relating to reg benchmark
CBTL	1003
Claims Management	Advice investigate represent claim spec. benefit
Claims Management	Advice investigate represent criminal injury claim
Claims Management	Advice investigate represent employment claim
Claims Management	Advice investigate represent fin serv prod claim
Claims Management	Advice investigate represent house disrepair claim
Claims Management	Advice investigate represent personal injury claim
Claims Management	Agreeing to carry on a regulated activity
Claims Management	Seeking out referrals and identification of claims
Claims Management	Temporary permission to carry out claim's management activities
Consumer Credit	Advising on a regulated credit agreement the purpose of which is to acquire land
Consumer Credit	Agreeing to carry on a regulated activity
Consumer Credit	Credit Broking
Consumer Credit	Debt Adjusting
Consumer Credit	Debt Administration
Consumer Credit	Debt-collecting
Consumer Credit	Debt-counselling
Consumer Credit	Entering into Consumer Hire Agreements as owner
Consumer Credit	Entering into RCA as lender (high-cost short-term)
Consumer Credit	Entering into an RCA as lender (bill of sale)
Consumer Credit	Entering into an RCA as lender (home credit)
Consumer Credit	Entering into an RCA as lender (other)
Consumer Credit	Exercising R&D under an RCA (high-cost short-term)
Consumer Credit	Exercising lenders R&D under an RCA (bill of sale)
Consumer Credit	Exercising lenders R&D under an RCA (home credit)
Consumer Credit	Exercising lenders R&D under an RCA (other)
Consumer Credit	Exercising owners R&D under a cons. hire agreement
Consumer Credit	Operating electronic system in relation to lending
Consumer Credit	Providing Credit Information Services
Consumer Credit	Providing Credit References

<i>Regulated activity category</i>	<i>Regulated activity name</i>
Credit Rating Activity	Credit Rating Agency
Credit Rating Activity	Credit Rating Agency Temporary Registration Regime
Data Reporting Service Provider (DRSP)	Operate an Approved Publication Arrangement (APA)
Data Reporting Service Provider (DRSP)	Operate an Approved Reporting Mechanism (ARM)
Data Reporting Service Provider (DRSP)	Temporary Operate an Approved Publication Arrangement (APA)
Data Reporting Service Provider (DRSP)	Temporary Operate an Approved Reporting Mechanism (ARM)
Designated Investment Business	Acting as a depositary or sole director
Designated Investment Business	Acting as trustee of an auth unit trust scheme
Designated Investment Business	Acting as trustee or depositary of a UCITS
Designated Investment Business	Acting as trustee or depositary of a UK UCITS
Designated Investment Business	Acting as trustee/depositary of authorised AIF
Designated Investment Business	Acting as trustee/depositary of unauthorised AIF
Designated Investment Business	Advising (ex Pension Transfers/Opt Outs)
Designated Investment Business	Advising on P2P agreements
Designated Investment Business	Advising on Pension Transfers/Opt Outs
Designated Investment Business	Agreeing to carry on a regulated activity
Designated Investment Business	Arranging deals in investments
Designated Investment Business	Arranging safeguarding and administration of asset
Designated Investment Business	Bidding in emissions auctions
Designated Investment Business	Causing dematerialised instructions to be sent
Designated Investment Business	Dealing in investments as agent
Designated Investment Business	Dealing in investments as principal
Designated Investment Business	Establish/operating/winding up stakeholder pension
Designated Investment Business	Establishing, operating or winding up a CIS
Designated Investment Business	Establishing/operating/winding up a reg CIS
Designated Investment Business	Establishing/operating/winding up an un-reg CIS
Designated Investment Business	Establishing/operating/winding up personal pension
Designated Investment Business	Making arrangements
Designated Investment Business	Managing a UCITS
Designated Investment Business	Managing a UK UCITS
Designated Investment Business	Managing an authorised AIF
Designated Investment Business	Managing an unauthorised AIF
Designated Investment Business	Managing investments
Designated Investment Business	Operating a Multilateral Trading Facility (MTF)
Designated Investment Business	Operating an Organised Trading Facility (OTF)
Designated Investment Business	Providing basic advice on stakeholder products
Designated Investment Business	Safeguarding and administration of assets
Designated Investment Business	Sending dematerialised instructions
Funeral Plans	Advising on investments

<i>Regulated activity category</i>	<i>Regulated activity name</i>
Funeral Plans	Agreeing to carry on a regulated activity
Funeral Plans	Arranging (bringing about) deals in investments
Funeral Plans	Carrying out a funeral plan contract as provider
Funeral Plans	Dealing in investments as agent
Funeral Plans	Entering as provider into a funeral plan contract
Funeral Plans	Making arrangements with a view to transactions in investments
Insurance Business	Carrying out contracts of insurance
Insurance Business	Effecting contracts of insurance
Insurance Business	Risk Transformation
Insurance Distribution	Advising (ex Pension Transfers/Opt Outs)
Insurance Distribution	Agreeing to carry on a regulated activity
Insurance Distribution	Arranging deals in investments
Insurance Distribution	Assisting in administration of insurance
Insurance Distribution	Dealing in investments as agent
Insurance Distribution	Making arrangements
Issuing Electronic Money	Issuing Electronic Money
Regulated Home Finance	Administering a home purchase plan
Regulated Home Finance	Administering a home reversion plan
Regulated Home Finance	Administering a regulated mortgage contract
Regulated Home Finance	Advising on a home purchase plan
Regulated Home Finance	Advising on a home reversion plan
Regulated Home Finance	Advising on regulated mortgage contracts
Regulated Home Finance	Agreeing to carry on a regulated activity
Regulated Home Finance	Arranging (bringing about) a home purchase plan
Regulated Home Finance	Arranging (bringing about) a home reversion plan
Regulated Home Finance	Arranging regulated mortgage contracts
Regulated Home Finance	Dealing in investments as principal
Regulated Home Finance	Entering into a home purchase plan
Regulated Home Finance	Entering into a home reversion plan
Regulated Home Finance	Entering into a reg mortgage contract as lender
Regulated Home Finance	Making arrangements
Regulated Home Finance	Making arrangements for a home purchase plan
Regulated Home Finance	Making arrangements for a home reversion plan
Repository Activity	Securitisation Repository
Repository Activity	Trade Repository Temporary Registration Regime under the UK European Market Infr
Repository Activity	Trade Repository Temporary Registration Regime under the UK Securities Financing
Repository Activity	Trade Repository under the UK European Market Infrastructure Regulation
Repository Activity	Trade Repository under the UK Securities Financing Transactions Regulation
The Lloyd's Market	Advising on syndicate participation at Lloyd's
The Lloyd's Market	Agreeing to carry on a regulated activity

Regulated activity category	Regulated activity name
The Lloyd's Market	Arranging deals in investments
The Lloyd's Market	Making arrangements
The Lloyd's Market	Managing underwriting capacity of Lloyd's syndicat
The Society of Lloyd's	Act carried on in connect with ins con or syn part
The Society of Lloyd's	Arranging deals in insurance contracts at Lloyd's
The Society of Lloyd's	Arranging deals in participation in Lloyd's synds
Third Party Verifier Activity	Third Party Verifier

6.2 1001, 1002 and 1003 are pseudo activity records used to indicate an area of business that has been notified to the FCA/PRA.

Investment type

Investment type
Accident
Aircraft
Aircraft liability
Alternative Debenture
Assistance
Binary Bet
Capital redemption
Certificates representing certain security
Collective insurance
Commodity Future
Commodity Option
Contract for Differences
Contracts of insurance
Credit
Damage to property
Debenture
Deposit
Electronic Money
Emissions Allowance
Emissions Auction Product
Fire and natural forces
Funeral plan contract
Future (excluding a commodity future)
General liability
Goods in transit
Government and public security
Home purchase plans
Home reversion plans
Land Vehicles
Legal expenses

Investment type

Liability for ships
Life Policy
Life and annuity
Linked long term
Marriage and birth
Membership of a Lloyd's syndicate
Miscellaneous financial loss
Motor vehicle liability
Non-investment insurance contracts
Option (excluding a commodity option)
Pension fund management
Permanent health
Personal pension scheme
Railway rolling stock
Regulated mortgage contract
Rights to or interests in investments
Rights to or interests in investments (Cnt Bsd In)
Rights to or interests in investments (Security)
Rolling spot forex contract
Share
Ships
Sickness
Social insurance
Spread Bet
Stakeholder pension scheme
Stakeholder products
Structured Deposits
Suretyship
Tontines
Underwriting capacity of a Lloyd's syndicate
Unit
Warrant

Customer type

Customer type

All
Commercial
Customer
Eligible Counterparty
Intermediate Customer
Market Counterparty
Private Customer
Professional

Customer type

Retail (Emissions)
Retail (Investment)
Retail (Non-Investment Insurance)

Alternative name type

Alternative name type

Common
Registered
Trading

Type of action

Type of action

Action under the Money Laundering Regulations
Action under the Payment Services Regulations 2009
Administration order
Administrative restitution
Annulment of a firm
Bankruptcy order
Civil restitution
Compulsory winding up order
Decision notice - subject to determination by the Tribunal
Directions (collective investment schemes)
Enforcement Order under the Enterprise Act 2002
Fines
Fines for late returns
Injunctions
Intervention against incoming firms
Public censure
Revocation of authorisation (collective investment scheme)
Undertaking
Variation or cancellation of permission
Variation: to restore permission/regulated activities
Withdrawal of approval

Passport activities

Passport directive

Regulated activity name

Alternative Investment Fund Managers Directive	AIF Marketing Passport
Alternative Investment Fund Managers Directive	Investment advice
Alternative Investment Fund Managers Directive	Management of AIFs

<i>Passport directive</i>	<i>Regulated activity name</i>
Alternative Investment Fund Managers Directive	Management of portfolios of investments
Alternative Investment Fund Managers Directive	Reception and transmission
Alternative Investment Fund Managers Directive	Safekeeping and administration
Banking Consolidation Directive	* - additional MiFID services and activities
Banking Consolidation Directive	1 - Acceptance of deposits
Banking Consolidation Directive	10 - Money broking
Banking Consolidation Directive	11 - Portfolio management and advice
Banking Consolidation Directive	12 - Safekeeping and administration of securities
Banking Consolidation Directive	13 - Credit reference services
Banking Consolidation Directive	14 - Safe custody services
Banking Consolidation Directive	15 - Issuing Electronic Money
Banking Consolidation Directive	2 - Lending
Banking Consolidation Directive	3 - Financial leasing
Banking Consolidation Directive	4 - PSD Payment Services
Banking Consolidation Directive	5 - Issuing & administering other means of payment
Banking Consolidation Directive	6 - Guarantees and commitments
Banking Consolidation Directive	7a - Trading own a/c or cust a/c-money market instruments
Banking Consolidation Directive	7b - Trading own a/c or cust a/c-foreign exchange
Banking Consolidation Directive	7c - Trading own a/c or cust a/c-fin futures/opts
Banking Consolidation Directive	7d - Trading own a/c or cust a/c-exchange/int rate ins
Banking Consolidation Directive	7e - Trading own a/c or cust a/c-trans securities
Banking Consolidation Directive	8 - Participation in securities issues
Banking Consolidation Directive	9 - Advice to undertakings on capital structure
Insurance Distribution	1 - Accident
Insurance Distribution	10 - Motor vehicle liability
Insurance Distribution	13 - General liability
Insurance Distribution	16 - Miscellaneous financial loss
Insurance Distribution	18 - Assistance
Insurance Distribution	3 - Land vehicles
Insurance Distribution	8 - Fire and natural forces
Insurance Distribution	9 - Other damage to property
Insurance Distribution	Insurance Distribution or Reinsurance Distribution
Insurance Distribution	Insurance Mediation or Reinsurance Mediation
Markets in Financial Instruments Directive	A1 - Receive/Transmit orders
Markets in Financial Instruments Directive	A2 - Execution of orders
Markets in Financial Instruments Directive	A3 - Dealing on own account
Markets in Financial Instruments Directive	A4 - Portfolio management
Markets in Financial Instruments Directive	A5 - Investment advice
Markets in Financial Instruments Directive	A6 - Underwriting
Markets in Financial Instruments Directive	A7 - Placing of fin instr w/o commitment

<i>Passport directive</i>	<i>Regulated activity name</i>
Markets in Financial Instruments Directive	A8 - Operation of MTF
Markets in Financial Instruments Directive	A9 - Operation of OTF
Markets in Financial Instruments Directive	B1 - Safekeeping / safe custody
Markets in Financial Instruments Directive	B2 - Granting credits / loans
Markets in Financial Instruments Directive	B3 - Advice to undertakings on cap structure
Markets in Financial Instruments Directive	B4 - Foreign exchange services
Markets in Financial Instruments Directive	B5 - Investment Research
Markets in Financial Instruments Directive	B6 - Services related to underwriting
Markets in Financial Instruments Directive	B7 - Ancillary services
Markets in Financial Instruments Directive	Operating a Multilateral Trading Facility (MTF)
Markets in Financial Instruments Directive	Provision of arrangements to facilitate access to a Multilateral Trading Facility
Mortgage Credit Directive	Assists in preparatory/pre-contractual admin work
Mortgage Credit Directive	Concludes credit agreements
Mortgage Credit Directive	Lending
Mortgage Credit Directive	Offers/presents credit agreements
Mortgage Credit Directive	Provides advisory services
Payment Services Directive	1. Cash placement services on a payment account
Payment Services Directive	2. Cash withdrawal services on a payment account
Payment Services Directive	3. Executing payment transactions (no credit line)
Payment Services Directive	4. Executing payment transactions (credit line)
Payment Services Directive	5. Issuing instruments / acquiring transactions
Payment Services Directive	6. Money remittance
Payment Services Directive	7. Executing payment transactions via telecoms etc
Payment Services Directive	7. Payment initiation services
Payment Services Directive	8. Account information services
Payment Services Directive	c) Execution of payment transactions (not covered by a credit line)
Payment Services Directive	f) Money remittance
Payment Services Directive	i) Payment initiation services
Payment Services Directive	j) Account information services
Second Electronic Money Directive	1. Cash placement services on a payment account
Second Electronic Money Directive	5 - Issuing & administering other means of payment
Second Electronic Money Directive	6. Money remittance
Second Electronic Money Directive	7. Payment initiation services
Second Electronic Money Directive	8. Account information services
Second Electronic Money Directive	a) Services enabling cash placement on a payment account
Second Electronic Money Directive	b) Services enabling cash withdrawals from a payment account
Second Electronic Money Directive	c) Execution of payment transactions (not covered by a credit line)
Second Electronic Money Directive	d) Execution of payment transactions (covered by a credit line)
Second Electronic Money Directive	e) Issuing payment instruments or acquiring payment transactions

<i>Passport directive</i>	<i>Regulated activity name</i>
Second Electronic Money Directive	f) Money remittance
Second Electronic Money Directive	g) Execution of payment transactions via telecoms, IT system or network operator
Second Electronic Money Directive	h) Issuing Electronic Money
Second Electronic Money Directive	i) Payment initiation services
Second Electronic Money Directive	j) Account information services
Solvency II Directive	1 - Accident
Solvency II Directive	10 - Motor vehicle liability
Solvency II Directive	11 - Aircraft liability
Solvency II Directive	12 - Liability for ships
Solvency II Directive	13 - General liability
Solvency II Directive	14 - Credit
Solvency II Directive	15 - Suretyship
Solvency II Directive	16 - Miscellaneous financial loss
Solvency II Directive	17 - Legal expenses
Solvency II Directive	18 - Assistance
Solvency II Directive	2 - Sickness
Solvency II Directive	3 - Land vehicles
Solvency II Directive	4 - Railway rolling stock
Solvency II Directive	5 - Aircraft
Solvency II Directive	6 - Ships
Solvency II Directive	7 - Goods in transit
Solvency II Directive	8 - Fire and natural forces
Solvency II Directive	9 - Other damage to property
Solvency II Directive	I - Life and annuity
Solvency II Directive	II - Marriage and birth
Solvency II Directive	III - Linked long term
Solvency II Directive	IV - Permanent health
Solvency II Directive	IX - Social
Solvency II Directive	Life
Solvency II Directive	Non-Life
Solvency II Directive	V - Tontines
Solvency II Directive	VI - Capital redemption
Solvency II Directive	VII - Pension fund management
Solvency II Directive	VIII - Collective
UCITS IV Directive	Investment advice
UCITS IV Directive	Management of portfolios of investments
UCITS IV Directive	Management of unit trusts/common funds
UCITS IV Directive	Managing a UCITS
UCITS IV Directive	Safekeeping and administration
UCITS Management Directive	Investment advice
UCITS Management Directive	Management of portfolios of investments
UCITS Management Directive	Management of unit trusts/common funds
UCITS Management Directive	Safekeeping and administration

Passport instrument name

Instrument name

C1 - Transferable securities
C10 - Other contracts
C11 - Emission Allowances [note that this is a long dash]
C2 - Money-market instruments
C3 - Units in collective investment undertakings
C4 - Derivatives in Securities, etc
C5 - Commodities Derivatives - Cash Settled
C6 - Commodities Derivatives - Physically Settled
C7 - Non-Commercial commodity Derivatives
C8 - Credit Derivatives
C9 - Contracts for Differences
Insurance Intermediary
Reinsurance Intermediary

Country

Country

AUSTRIA
BELGIUM
BULGARIA
CROATIA
CYPRUS
CZECH REPUBLIC
DENMARK
ESTONIA
FINLAND
FRANCE
GERMANY
GIBRALTAR
GREECE
HUNGARY
ICELAND
IRELAND
ITALY
LATVIA
LIECHTENSTEIN
LITHUANIA
LUXEMBOURG
MALTA
NETHERLANDS
NORWAY
POLAND

Country

PORTUGAL
ROMANIA
SLOVAKIA
SPAIN
SWEDEN
UNITED KINGDOM

PSD/EMD firm status

PSD/EMD firm status

Authorised Electronic Money Institution
Authorised Payment Institution
Cancelled - Authorised EMI
Cancelled - Authorised PI
Cancelled - RAISP
Cancelled - Small EMI
Cancelled - Small PI
EEA Authorised
EEA Authorised - Supervised run-off
EEA Authorised - Temporary Permission
EMD Revoked - Authorised EMI
EMD Revoked - Small EMI
PSD Revoked PI
PSD2 Excluded
Registered Account Information Service Provider
Small Electronic Money Institution
Small Payment Institution

PSD/EMD agent status

PSD/EMD agent status

EMD Agent
EMD Agent Former
PSD Agent
PSD Agent Former
PSD Agent Revoked

PSD/EMD activities

PSD/EMD activity category	PSD activity name
Payment Services Directive	1. Cash placement services on a payment account
Payment Services Directive	2. Cash withdrawal services on a payment account
Payment Services Directive	3. Executing payment transactions (no credit line)
Payment Services Directive	4. Executing payment transactions (credit line)

<i>PSD/EMD activity category</i>	<i>PSD activity name</i>
Payment Services Directive	5. Issuing instruments / acquiring transactions
Payment Services Directive	6. Money remittance
Payment Services Directive	7. Executing payment transactions via telecoms etc
Payment Services Directive	7. Payment initiation services
Payment Services Directive	8. Account information services
Second Electronic Money Directive	a) Services enabling cash placement on a payment account
Second Electronic Money Directive	b) Services enabling cash withdrawals from a payment account
Second Electronic Money Directive	c) Execution of payment transactions (not covered by a credit line)
Second Electronic Money Directive	d) Execution of payment transactions (covered by a credit line)
Second Electronic Money Directive	e) Issuing payment instruments or acquiring payment transactions
Second Electronic Money Directive	f) Money remittance
Second Electronic Money Directive	g) Execution of payment transactions via telecoms, IT system or network operator
Second Electronic Money Directive	h) Issuing Electronic Money
Second Electronic Money Directive	i) Payment initiation services
Second Electronic Money Directive	j) Account information services

Product legal form

Product legal form

Authorised Unit Trust
FCP
ICVC
Offshore OEIC
Offshore Unit Trust
Other CIS
SICAV

Product status

Product status

Authorised
De-recognised
Recognised

Individual status

Individual status

Approved by regulator
Prohibited
Regulatory approval no longer required

Involvement type

Involvement type

CF1 Director
CF1 Director (AR)
CF10 Compliance Oversight
CF10a CASS Oversight function
CF11 Money Laundering Reporting
CF12 Actuarial
CF12A With-Profits Actuary
CF12B Lloyds Actuary Function
CF13 Finance
CF14 Risk Assessment
CF15 Internal Audit
CF16 Significant Mgt (Designated Investment Business)
CF17 Significant Mgt (Other Business Operations)
CF18 Significant Mgt (Insurance Underwriting)
CF19 Significant Mgt (Financial Resources)
CF2 Non-Executive Director
CF2 Non-Executive Director (AR)
CF20 Significant Mgt (Settlements)
CF21 Investment Adviser
CF22 Investment Adviser (Trainee)
CF23 Corporate Finance Adviser
CF24 Pension Transfer Specialist
CF25 Adviser on Syndicate Participation at Lloyd's
CF26 Customer Trading
CF27 Investment Management
CF28 Systems and controls
CF29 Significant management
CF2a Chair of the Nominations Committee
CF2b Chair of the With-Profits Committee
CF3 Chief Executive
CF3 Chief Executive (AR)
CF30 Customer
CF4 Partner
CF4 Partner (AR)
CF40 Benchmark submission
CF5 Director of Unincorporated Association
CF5 Director of Unincorporated Association (AR)
CF50 Benchmark administration
CF51 Actuarial conduct function holder in a third country branch
CF6 Small Friendly Society
CF7 Sole Trader

Involvement type

CF7 Sole Trader (AR)
CF8 Apportionment and Oversight
CF9 EEA Investment Business Oversight
Employed By
Responsibility for MCD Intermediation
Responsible for Insurance Distribution
Responsible for Insurance Mediation
SIMF1 Chief Executive Function
SIMF10 Chair of the Risk Committee
SIMF11 Chair of the Audit Committee
SIMF12 Chair of the Remuneration Committee
SIMF14 Senior Independent Director
SIMF19 Head of Third Country Branch Function
SIMF2 Chief Finance Function
SIMF20 Chief Actuary Function
SIMF21 With-Profits Actuary
SIMF22 Chief Underwriting Officer Function
SIMF23 Underwriting Risk Oversight Officer (Lloyd's)
SIMF25 Small Insurer Senior Manager
SIMF26 Head of Small Run-Off Firm Function
SIMF4 Chief Risk Function
SIMF5 Head of Internal Audit Function
SIMF7 Group Entity Senior Insurance Manager Function
SIMF9 Chairman
SMF1 (AR) Chief Executive function
SMF1 Chief Executive
SMF10 Chair of the Risk Committee
SMF11 Chair of the Audit Committee
SMF12 Chair of the Remuneration Committee
SMF13 Chair of the Nominations Committee
SMF14 Senior Independent Director
SMF15 Chair of With Profits Committee
SMF16 Compliance Oversight
SMF17 Money Laundering Reporting Officer (MLRO)
SMF18 Other Overall Responsibility
SMF19 Head of Overseas Branch/Head of Overseas
SMF2 Chief Finance
SMF20 Chief Actuary
SMF20a With-Profits Actuary
SMF21 EEA Branch Senior Manager (EBSM)
SMF22 Other Local Responsibility
SMF23 Chief Underwriting Officer
SMF23a Underwriting Risk Oversight (Lloyd's)
SMF23b Conduct Risk Oversight (Lloyd's)

Involvement type

SMF24 Chief Operations
SMF25 Small Insurer Senior Management Function
SMF26 Head of Small Run-Off Firm
SMF27 Partner
SMF29 Limited scope function (limited scope SMCR firms only)
SMF3 (AR) Executive Director function
SMF3 Executive Director
SMF4 (AR) Partner function
SMF4 Chief Risk
SMF5 Head of Internal Audit
SMF6 Head of Key Business Areas
SMF7 Group Entity Senior Manager
SMF8 Credit Union Senior Manager
SMF9 Chair of the Governing Body

7 Frequently asked questions

About the dataset

What type of information is not available via the Register Extract Service (RES)?

7.1 The RES provides a subset of FS Register data. For example, it **does not** include the following:

- ✔ Exempt Professional Firms
- ✔ Directory of certified and assessed persons (including memberships of professional organisations)
- ✔ Email addresses or websites (even where these may appear on the Register)
- ✔ Firm complaints contacts
- ✔ Waivers, discretions and exclusions
- ✔ Disciplinary and regulatory action records pertaining to individuals
- ✔ Unauthorised Firms (i.e. Scam firms, clone firms)
- ✔ Fund information (with the exception of information relating to Collective Investment Schemes)
- ✔ Consumer buy-to-let permissions / status
- ✔ Exchanges
- ✔ Firms registered with us exclusively for the purposes of the Third Money Laundering Directive
- ✔ UK-registered AIFMs

Can I use the RES to pull a report on certain types of firm or individual?

- 7.2 Subject to the exclusions mentioned in 7.1, if the set of firms or individuals appear on the Register, they will be contained within the RES.

Does the extract contain information on historical permissions held by firms to undertake regulated activities?

- 7.3 Only permissions that were current at the time the extract was generated are included.

Is the length of the Firm Reference Number (FRN) likely to change soon?

- 7.4 While we do not expect to exhaust 6-digit FRNs until early 2023 (based on current usage), any peak in registrations/authorisations could accelerate this timeline. You should ensure your systems are capable of ingesting 7-digit FRNs. The product reference number will also move to 7 digits at this time.
- 7.5 **Existing 6-digit reference numbers will not be affected by this.** We will not be adding any characters (e.g. a leading zero) to existing numbers.

Can I have a tailored version of the extract?

- 7.6 The FCA does not provide tailored versions of the extract, but SDM may be able to assist you with this (for an additional fee).

Can the data extract files be opened in Excel?

- 7.7 Yes, as pipe-delimited text files (with a file extension of **".ext"**), this is possible. It is not recommended, due to the size of the files.

How up-to-date is the data I receive?

- 7.8 Each Thursday evening, a snapshot of the information on the FS Register is extracted. This forms the basis for the data extract. The extract contains a full dataset, not incremental updates.

Subscriptions & fees

How do I unsubscribe from the service?

- 7.9 If you wish to cancel your subscription, simply email data.extract@fca.org.uk, supplying your subscriber number if possible (a 6-digit number usually starting with 5). **You must provide 2 months' notice of your intention to cancel**

Is there a discount on the data extracts for research purposes/academic activity?

- 7.10 No, we currently do not offer a discount for this purpose.

Problems with the extract

I'm having a problem with the extract, who should I contact?

- 7.11 Contact SDM in the first instance (helpdesk@sdm.co.uk). If they identify that the problem needs to be resolved by the FCA, they will refer the issue on to us accordingly.

The data in the extract is different to what is on the Register

- 7.12 The extract is generated on a Thursday evening, so it is likely the difference is due to a timing difference.
- 7.13 If you believe the data in the extract does not match what is on the Register, and it is not due to a timing difference, contact data.extract@fca.org.uk

The data in the extract is the same as on the Register, but I believe it is incorrect

- 7.14 Let us know about any concerns you have about information on the Register by contacting us: <https://www.handbook.fca.org.uk/contact-us>



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