



*FSA Register Extract Service*

*on*

*Computer Readable Media*

*Subscribers Handbook*

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## **1 INTRODUCTION**

### **1.1 Financial Services and Markets Act 2000**

The Financial Services and Market Act 2000 ("the Act") came into force on 1 December 2001. This brought the regulation of most financial services companies into the remit of the Financial Services Authority. From this date it has been a criminal offence to provide financial (other than credit) services without authorisation (or exemption) under the Act.

### **1.2 The FSA Register**

The FSA Register is a public record of financial service firms, individuals, authorised and recognised collective investment schemes, and other bodies which fall under the FSA's jurisdiction as defined in the Act. Access to the Register is free via the Internet ([www.fsa.gov.uk/register](http://www.fsa.gov.uk/register)) which is suitable for ad hoc searches for authorised firms and individuals.

### **1.3 Register Extract Service**

The Register Extract Service forms part of the FSA's Publication Scheme which has been compiled in line with our obligation under the Freedom of Information Act 2000.

The FSA Register Extract Service offers a subscription service (weekly or monthly updates) and a single, one-off, copy of the data. The service is made up of two data extracts: the 'firms extract' and the 'individuals extract'. The standard service includes only the firms extract. For an additional fee, the service can be enhanced to include the individuals extract. The individuals extract is not sold on its own. The data can be provided in a number of formats and different media (see sections 3.1 and 3.2 below).

Alternative provision of the FSA register extract and related services is available from Strategic Data Management (SDM). SDM provides an internet based register extract download and interrogation facilities for the data. Full details of their service are obtainable via SDM's website ([www.sdm.co.uk](http://www.sdm.co.uk)) or you can contact SDM at:

Strategic Data Management Limited  
69 Monmouth Street  
London  
WC2H 9JW

Contacts:  
Paul Robinson on 020 7107 9830  
Mark Homer on 01273 666088

An annual licence fee is payable to FSA for the use of the register data supplied via SDM. The charge for the services provided by SDM is paid direct to them.

### **1.4 Subscribers Handbook**

This handbook explains the administration of the extract subscription service, together with some background to the actual Register administration; and provides full details of the extract: format and codes used. Subscribers will be notified of updates to this handbook. Revised versions will be issued to subscribers when there have been substantial changes. Subscribers can request an up-to-date copy of the handbook at any time (we will usually send this via email).

## **2 ADMINISTRATION**

### **2.1 Extract Delivery**

On receipt of your initial subscription payment, 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 should reach you on Tuesday mornings. Monthly extracts should reach you on the first Tuesday of each month. Overseas addresses should receive extracts by the Wednesday. Allowances should be made for public holidays. No extracts are produced for delivery on the Tuesday following Christmas.

**EXTRACT MEDIA IS NON-RETURNABLE.**

### **2.2 Help Lines**

For enquiries regarding the contents of the extract, or subscription details, you should contact:-

Lara McSweeney or Leon Burt  
FSA Register – Regulatory Returns and Data Analysis Department  
Financial Services Authority  
25 The North Colonnade  
Canary Wharf  
LONDON E14 5HS

Direct Line: 020 7066 3678 or 020 7066 5676 Switchboard: 020 7066 1000

E-mail [data.extract@fsa.gov.uk](mailto:data.extract@fsa.gov.uk)

Queries regarding the data of specific entries should be directed to the Register enquiry service by telephone 0845 606 9966 or by email [register@fsa.gov.uk](mailto:register@fsa.gov.uk)

### **2.3 Subscriptions and Renewals**

For new customers, the initial subscription period will vary depending on when the subscription was entered into with the FSA. The standard subscription year runs from 1 September to 31 August each year. The minimum subscription period for monthly/weekly updates will be 3 months. New subscriptions taken out in July or August will be for 14 and 13 months, respectively.

At the end of your initial subscription period you will be automatically invoiced for a further 12 month period (1 September to 31 August) at the appropriate subscription rate. For those subscribers who have provided the FSA with a Direct Debit mandate, the invoice will notify you of the date when we will make our collection and confirm the amount to be collected.

The FSA will inform subscribers of any price changes at the least 2 months in advance as set out in the Terms and Conditions of the service.

## **2.4 Who do I contact if I have a complaint?**

If you are unhappy about the level of service we are providing under the Terms and Conditions of this service, please call a member of the FSA Register Team: Lara McSweeney (020 7066 3678) or Leon Burt (020 7066 5676).

However, if you want to make a formal complaint, please write to or email Chris Stoddart, the FSA Register Manager. Emails should be sent to [data.extract@fsa.gov.uk](mailto:data.extract@fsa.gov.uk). For more information about making a complaint to the FSA please visit the FSA's website (<http://www.fsa.gov.uk/Pages/About/complaints>).

### **3 EXTRACT FORMAT**

#### **3.1 Magnetic Tape Format**

The extract is available in three basic tape formats. The first, aimed at IBM systems, provides fixed length fields and fixed length records, EBCDIC coded with standard IBM labels on 3480 cartridge. Other formats provide variable length fields and records (field separator = |), ASCII coded files. They can be provided as standard files or Unix TAR files on 4mm DAT tape or 8mm EXABYTE tape.

#### **3.2 Other Media Format**

The variable length records can also be provided on standard CD (CD-R) or compressed onto multiple 3½" floppy discs.

#### **3.3 Extract Contents**

The firms extract contains five files:

1. Authorisation File in FSA Reference Number order
2. Permitted Activity File FSA Reference Number order
3. Alternative Name file in FSA Reference Number order
4. Appointments file in FSA Reference Number order
5. Products File in FSA Reference Number order

The individuals extract contains three files:

1. Individuals File in FSA Individual Reference Number order
2. Controlled Function File in FSA Individual Reference Number order
3. Appointment Employment file in FSA Individual Reference Number order

Detailed File Layouts for the extract are contained in Appendix A. Not all fields are mandatory. Fields such as Telephone Number and Postcode may not contain data.

#### **3.4 Authorisation File**

This file contains the Name, Address and current Status of firms on the Register. Dates of first Authorisation and of Current Status are also included. A Sort Key based on the name, with all spaces and punctuation removed, is included to aid name searching. Values used in the Status field are in Appendix C (including an explanation of their meaning). The file will always contain entries of firms that have ceased to be authorised. If media capacity becomes a problem the records may be removed from the extract any time later than one year after authorisation has ceased. It is important to check the status to confirm authorisation. This file also includes the basic details of all appointed representative firms (status=Registered). Details of their current appointments (if any) will be in the appointments file. Only firms that have been subject to regulation under the Act will be included in the file.

#### **3.5 Permitted Activity File**

This file contains the regulated activities (e.g. the type of financial services) which authorised firms on the Authorisation File are permitted to provide. This file should be used in conjunction with the Authorisation File, using the FSA Reference as the key. Each entry has a status and a status date. These records will remain on the system for about six months after they cease to be current.

### **3.6 Alternative Name File**

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

### **3.7 Appointments File**

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

### **3.8 Individuals File**

This file provides details of all persons approved to undertake a controlled function for an authorised firm. These are mainly individuals but in rare cases can be corporate persons.

### **3.9 Individuals Controlled Functions File**

This file contains details of all controlled functions currently held, or that have been held, by approved persons since 1 December 2001.

### **3.10 Individual Employment Details File**

This file provides details of any employment links with appointed representative firms through which an individual has undertaken a controlled function.

### **3.11 Update Details**

Each copy of the Register that you will receive will be a complete copy. To recognise what details have changed since you last received a copy, a comparison of the data sets is required. Changes are not normally backdated but may be in exceptional cases. In addition, normal operations mean that updates to the Register may occur a short while after the relevant FSA authorisation committees meet. Extracts produced within this time lapse will give the effect of backdated updates. To overcome these data characteristics, it is recommended that the data from each extract is used to replace the data from the previous extract rather than being used to update the system.

As an aid to identify changes to the records on each of the files, the date that the record was last changed on the register is included and could be used to identify changes since the last extract was produced. If this technique is used, it is recommended that the data is refreshed completely (using the full extract) on a regular basis. Whilst every effort will be made to ensure that the date record will be updated whenever any data in the record is changed, it cannot be guaranteed. It is also possible for this date to be updated even if there is no data change reflected in the data in the extract.

Files will contain historic data as well as current data. Thus the status field needs to be checked to confirm the currency of the data.

## **4 REGISTER ADMINISTRATION**

### **4.1 Updates**

The FSA updates its own internal database system during its normal daily operations. These updates include changes in a firm's status (normally on the same day that they become effective) and names and address changes, the majority of which should be applied within 72 hours of the FSA being notified. The FSA Register on the Internet is rebuilt from the FSA's internal database each evening.

### **4.2 Extract Production**

In order to allow for the production and despatch of the extracts, the data is extracted each Thursday evening. These master files, in ASCII format, are then supplied to our copy bureau for formatting and replication and are despatched by them overnight on the first working day of the following week. In normal circumstances, you should receive the data on the Tuesday morning following the extract (Wednesdays for overseas customers). For monthly customers this will be the first Tuesday of the month.

### **4.3 FSA Firm Reference Numbers**

Each entry on the FSA internal database is allocated the next vacant number when it is added to the system. The reference numbers allocated to authorised firms are not necessarily consecutive because not all firms that apply to the FSA for authorisation complete the authorisation process.

Where a firm changes its legal status the new entity needs to become authorised in its own right. This new entity will always be allocated a new reference number. The policy of some previous regulators that an organisation had a one-to-one relationship with its firm reference number which meant that an organisation would retain the same number irrespective of whether it moved, changed its name, moved regulator, became incorporated or returned to being authorised following a non-authorised period no longer applies.

### **4.4 FSA Individual References**

Each entry on the FSA internal database is allocated a unique reference. The reference is unique for an individual and should be retained by that individual throughout their regulated career.

### **4.5 Deletion of Records**

The Act allows FSA to remove records from the Register when it considers fit. This has generally been defined as six years after the entry became no longer authorised. This rule is changed at FSA's discretion. Currently, the only circumstances causing records to be deleted is where the record has appeared in error. Whilst the records will not normally be deleted from the Register, the FSA may remove them from the extract files, if file sizes become excessive. This will not be less than one year after the entry has ceased to be authorised.

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# **APPENDICES**

**A MAGNETIC TAPE FILES STRUCTURE**

The data is available in two basic formats. EBCDIC coded data in fixed length records with no record separators and ASCII data with variable length fields and field and record separators. The separators are the split vertical bar (ASCII code 124) for field separators and the standard carriage return and line feed combination (code 013/010) for record separators.

The standard extract will contain five files:

- ❖ Authorisation File in FSA Reference Number order. Contains around 24,500 authorised firm's records plus 30,000 appointed reps (including introducers).
- ❖ Permissions File in Activity order within FSA Reference Number order. Around 1,070,000 records. Ended Activities are retained in file for six months.
- ❖ Products File in FSA Reference Number order. Around 2,000 schemes.
- ❖ Alternative Name files in FSA Reference Number order. Over 33,000 names.
- ❖ Appointments file in FSA Reference Number order. Approximately 64,000 relationships.

The enhanced extract, including data on approved individuals, adds three further files:

- ❖ Individuals File in FSA Individual Reference Number order. Contains around basic details of around 165,000 approved persons. These may be corporate persons in rare cases.
- ❖ Controlled Functions File in FSA Individual Reference Number order. Around 675,000 controlled function involvements for individuals in relation to authorised firms.
- ❖ Employment details File in FSA Individual Reference Number order. Around 50,000 employment involvements for individuals in relation to appointed representative firms.

The EBCDIC files have fixed length record and fixed length blocks. The sizes are:

File	Record Size	EBCDIC Tapes	
		Block Size	Records Per Block
Authorisation	745	32035	43
Permissions	72	32760	455
Alt. Name	294	32634	111
Product	499	32435	65
Appointments	80	32720	409
Individuals	349	32457	93
Cntrld Fncts	45	32760	728
Employment	45	32760	728

## Firm Authorisation File (VCFSA.LIVE.AUT001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	18	Value "Firm Authorisation"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Firm Data</b>			
FSA Firm Ref.	Numeric	7	
Registered Firm Name	Alpha Numeric	130	
Firm Legal Status Type code	Alpha Numeric	3	See annex 2.1
Firm Type code	Alpha Numeric	3	See annex 2.2
Authority To Hold Client Money	Alpha Numeric	1	Y/N/X/Z or blank "Y"=Yes. "N"=No. "X"=n/a. "Z"= in respect of non-insurance investment contracts
Principal Address Line 1	Alpha Numeric	50	
Principal Address Line 2	Alpha Numeric	50	
Principal Address Line 3	Alpha Numeric	50	
Principal Address Line 4	Alpha Numeric	50	
Principal Address Line 5	Alpha Numeric	50	
Principal Address Line 6	Alpha Numeric	50	
Post Code Out	Alpha Numeric	4	
Post Code In	Alpha Numeric	3	
Telephone No – Country Prefix	Alpha Numeric	5	
Telephone No – Area Code	Alpha Numeric	10	
Telephone No – Local Number	Alpha Numeric	30	
Fax – Country Prefix	Alpha Numeric	5	
Fax – Area Code	Alpha Numeric	10	
Fax – Local Number	Alpha Numeric	30	
Current Authorisation Status code	Alpha Numeric	50	See annex 2.3
Date Status Last Changed	Date	8	YYYYMMDD
Date first Authorised by Regulator	Date	8	YYYYMMDD
Sort Key	Alpha Numeric	130	
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Firm Permission File (VCFSA.LIVE.PER001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	15	Value "Firm Permission"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Firm Permission Data</b>			
FSA Firm Ref.	Numeric	7	
Regulated Activity code	Alpha Numeric	15	See annex 2.4
Investment Type code	Alpha Numeric	15	See annex 2.5
Customer Type code	Alpha Numeric	15	See annex 2.6
Status code	Alpha Numeric	4	See annex 2.7
Effective Date	Date	8	YYYYMMDD
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Alternative Firm Name File (VCFSA.LIVE.ALT001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	21	Value "Alternative Firm Name"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Alternative Firm Name Data</b>			
FSA Firm Ref.	Numeric	7	
Alternative Name	Alpha Numeric	130	
Alternative Name Type code	Alpha Numeric	3	See annex 2.8
Effective Date	Date	8	YYYYMMDD
End Date	Date	8	YYYYMMDD
Sort Key	Alpha Numeric	130	
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Product Authorisation File (VCFSA.LIVE.PRO001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	21	Value "Product Authorisation"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour

Name	Type	Max. Length	Notes
			format
<b>Product Authorisation Data</b>			
FSA Product Ref.	Numeric	7	
Product Name	Alpha Numeric	80	
Product Description	Alpha Numeric	200	
Product Legal Form	Alpha Numeric	50	
Current Product Status	Alpha Numeric	50	
Date Status Last Changed	Date	8	YYYYMMDD
Date First Authorised By Regulator	Date	8	YYYYMMDD
Operator FSA Firm Ref.	Alpha Numeric	7	
Sub-Fund Flag	Alpha Numeric	1	
Sort Key	Alpha Numeric	80	
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Appointments File (VCFSA.LIVE.APP001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	24	Value "Appointments"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Appointment Data</b>			
Appointed Representative FSA Firm Ref.	Numeric	7	
Principal FSA Firm Ref.	Numeric	7	
Status code	Alpha Numeric	50	See annex 2.11
Status Effective Date	Date	8	YYYYMMDD
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Individuals Basic Details (VCFSA.LIVE.IBD0001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	27	Value "Approved Individual Details"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Individual Data</b>			
FSA Individual Ref.	Alpha+Numeric	8	Format AAA99999
Full Name	Alpha	70	Title/forename/ surname
NI Number	Alpha Numeric	9	Blank: data protection
Date of birth	Date	8	Blank: data protection

Status code	Numeric	2	See annex 2.12
Sortkey	Alpha	60	Surname/Forename
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Individuals Controlled Function Details (VCFSA.LIVE.ICF0001)

Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	40	Value "Approved Individual Controlled Functions"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Control Function details</b>			
FSA Individual Ref.	Alpha+Numeric	8	Format AAA99999
FSA Firm ref	Numeric	7	Authorised firm
Function code	Numeric	3	See annex 2.13
Start Date	Date	8	YYYYMMDD
End Date	Date	8	YYYYMMDD - null for current function
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data records	Numeric	8	

### Individuals Employment Details (VCFSA.LIVE.IED0001)

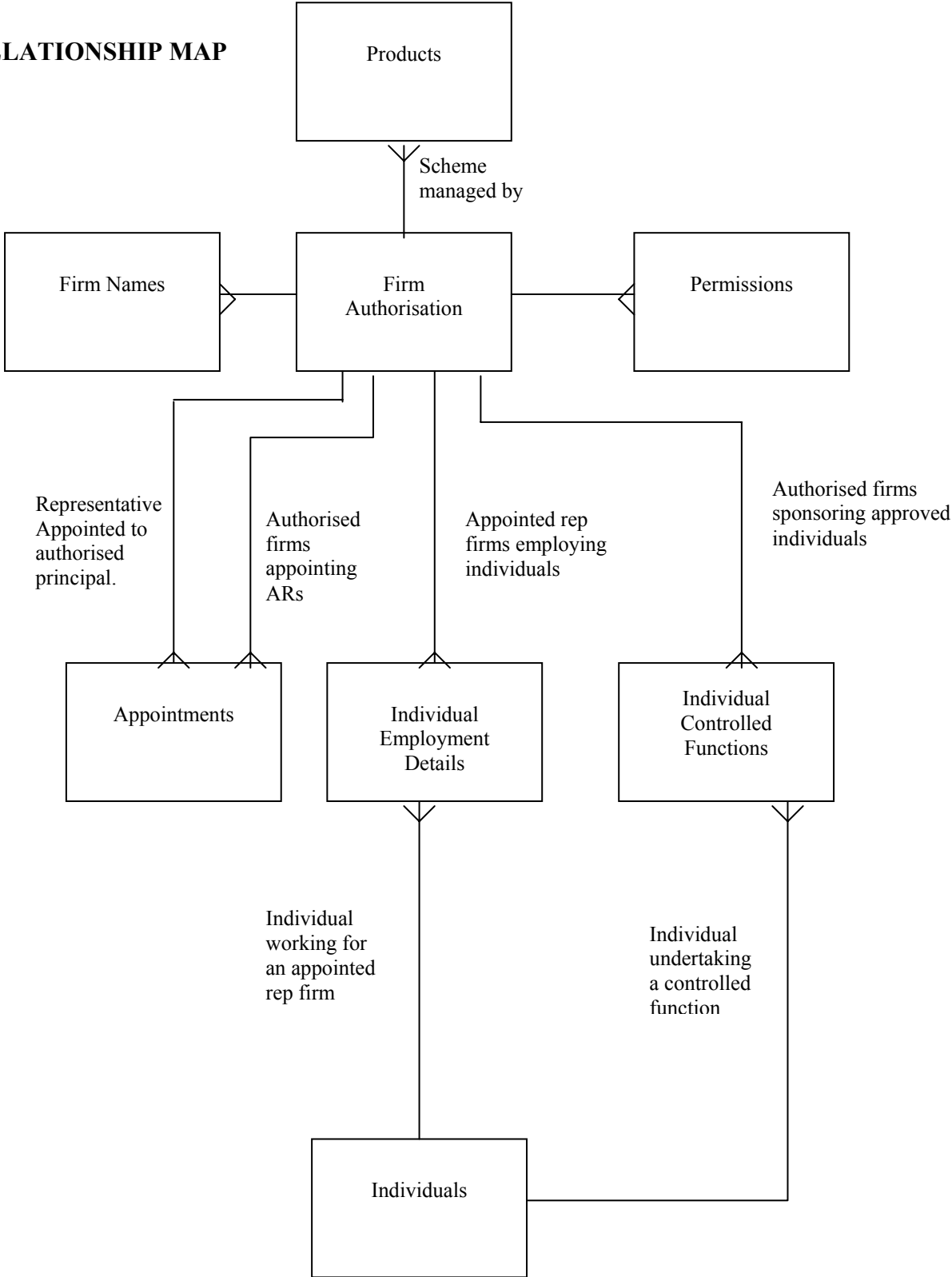
Name	Type	Max. Length	Notes
<b>Header Record</b>			
Header Identification	Alpha Numeric	6	Value "Header"
File Title	Alpha Numeric	40	Value "Approved Individual Appointments"
Date Produced	Date	8	YYYYMMDD
Time Produced	Time	4	HHMM in 24 hour format
<b>Employment details</b>			
FSA Individual Ref.	Alpha+Numeric	8	Format AAA99999
FSA Firm ref	Numeric	7	Appointed rep firm
Status code	Numeric	2	See annex 2.14
Start Date	Date	8	YYYYMMDD
End Date	Date	8	YYYYMMDD - null for current employment
Last Update Date	Date	8	YYYYMMDD
<b>Trailer Record</b>			
Trailer Identification	Alpha Numeric	6	Value "Footer"
Number of Data Records	Numeric	8	

## Noise Words

The following table lists the noise words that are removed from text to create the sort key:

AG	AND	CO	COMPANY	CORPORATION
BV	CITY	GMBH	HON	INC
DR	ESQ	SIR	SOC	MRS
INCORPORATED	NV	SA	THE	WS
MS	NA	SONS	LTD	MR
PARTNERSHIP	PLC	LIMITED	OF	PARTNERS
SOCIETY	SON			

B RELATIONSHIP MAP



**C CODE VALUES**

Each of the files has a number of 'codes' in each record. The following tables give the possible values of these codes and where appropriate, an explanation of these values.

**C.1 FIRMS FILE**

**C.1.1 Firm Legal Status Type**

<u>Tape Code</u>	<u>Description</u>
1	Company Limited by Share Capital
2	UK Co Incorporated by Special Act/Royal Charter
3	Sole Trader
4	PLC
5	Limited
6	Company incorporated under Industrial and Provident Act
7	Not Migrated
8	Not Supplied
11	Company Limited by Guarantee with Share Capital
12	Company Limited by Guarantee with No Share Capital
14	UK body created by Special Act/Royal Charter
21	Unincorporated Body
22	Trust
23	Partnership
24	Limited Partnership
29	Not Yet Formed
30	Private Unlimited Company
32	Multi National Entity via Tin Marketing Board
34	Municipality or State e.g. New South Wales
42	Limited Liability Partnership
43	Registered under Industrial & Provident Society Act 1965 and Credit Union Act 1979
44	Incorporated under the Building Societies Act 1986
45	Incorporated under the Friendly Societies Act 1992
46	Registered under the Friendly Societies Act 1974
47	Registered as overseas company by Companies House

**C.1.2 Firm Type**

<u>Tape Code</u>	<u>Description</u>
1	Regulated
2	Branch (UK) of a Overseas Firm
3	Branch (Overseas) of a UK Firm
4	Services (Overseas) of a UK Firms
5	Services (UK) of an Overseas Firm
6	Appointed Representative
7	ACD
8	Manager
9	Trustee
10	Depository
11	Operator

<u>Tape Code</u>	<u>Description</u>
12	Trustee/Depository
13	UK Representative
14	Accountancy
15	Auditor
16	Clearing House
17	Law
18	ICVC
19	Controller
20	Exchange
21	Not Specified
27	Introducer Appointed Rep

### C.1.3 Current Authorisation Status

<u>Tape Value</u>	<u>Description</u>
Authorised	firm with an authorised Part IV Permission
Registered	firms which we hold details about but which do not have a Part IV Permission - mainly appointed reps or former appointed reps
EEA Authorised	firm authorised by an EEA regulator and passporting into the UK under one of the following directives: BCD, ISD, 3LD, 3NLD, IMD, UCITSMD
Suspended	firm whose Permission has not been cancelled, but which needs to suspend certain or all activities for a period of time (N.B. this status is being phased out)
Resigned	Replaced by cancelled - see cancelled for definition.
Cancelled	Firm which has had its Part IV Permission cancelled through the normal resignation process.
Revoked	Firm which has had its Part IV Permission cancelled through disciplinary action by the FSA.

## C.2 ALTERNATIVE NAME FILE

### C.2.1 Alternative Name Type

<u>Tape Code</u>	<u>Description</u>
1	Registered Name
2	Trading Name
3	Common Name

## C.3 PRODUCT AUTHORISATION FILE

### C.3.1 Product Legal Form

Unit Trust
Offshore Unit Trust
OEIC
Offshore OEIC
FCP
SICAV
Not Supplied

### C.3.2 Current Product Status

Application Logged
Under Assessment
Authorised
Rejected
Withdrawn
Terminated
Recognised
Not Migrated

### C.3.3 Sub Fund Flag

Y - sub funds exist or N has no subfunds

## C.4 APPOINTMENTS FILE

### C.4.1 Status

Notified	Current Appointment
Registered	
Withdrawn	Previous Appointment
Terminated	

## C.5 FIRM PERMISSION FILE

### C.5.1 Regulated Activity

<u>Tape Code</u>	<u>Category of Activity</u>	<u>Activity Description</u>
0	ISD	Dummy activity for certain ISD investments
1	Accepting Deposits	Accepting Deposits
2	Insurance Business	Effecting contracts of insurance
3	Insurance Business	Carrying out contracts of insurance
4	Investment Business	Establishing, operating or winding up a regulated collective investment scheme
5	Investment Business	Establishing, operating or winding up an unregulated collective investment scheme
6	Investment Business	Acting as trustee of an authorised unit trust scheme
8	Investment Business	Acting as the depositary or sole director of an open-ended investment company
9	Investment Business	Establishing, operating or winding up a stakeholder pension
10	Providing Basic Advice	Providing Basic Advice on Stakeholder products
12	Investment Business	Dealing in investments as principal
13	Investment Business	Dealing in investments as agent
14	Investment Business	Arranging (bringing about) deals in investments
15	Investment Business	Making arrangements with a view to transactions in investments
16	Investment Business	Safeguarding and administration of assets (without arranging)
17	Investment Business	Arranging safeguarding and administration of assets
18	Investment Business	Sending dematerialised instructions
19	Investment Business	Causing dematerialised instructions to be sent
20	Investment Business	Managing investments
21	Investment Business	Advising on investments (except on Pension Transfers and Pension Opt Outs)
22	Investment Business	Advising on Pension Transfers and Pension Opt Outs
23	LLoyds Market	Advising on syndicate participation at Lloyd's
24	LLoyds Market	Managing the underwriting capacity of a Lloyd's syndicate as a managing agent at Lloyd's
25	Society of Lloyds	Arranging deals in contracts of insurance written at Lloyd's
26	Society of Lloyds	Arranging deals in participation in Lloyd's syndicates

<u>Tape Code</u>	<u>Category of Activity</u>	<u>Activity Description</u>
27	Society of Lloyds	Activity carried on in connection with, or for the purpose of, arranging deals in contracts of insurance at Lloyd's or in participation in Lloyd's syndicates
28	Funeral Plan Providers	Entering as provider into a funeral plan contract
29	ISD	Core 1(a) - Reception and transmission, on behalf of investors, of orders in relation to one or more ISD instruments
30	ISD	Core 1(b) - Execution of such orders other than for own account
31	ISD	Core 2 - Dealing in any of the ISD instruments for own account
32	ISD	Core 3 - Managing portfolios in accordance with mandates given by investors on a discretionary, client-by-client-basis where such portfolios include ISD instruments
33	ISD	Core 4 - Underwriting in respect of issues of ISD instruments and/or placing of such issues
34	ISD	Non-Core 1 - Safekeeping and administration in relation to one or more ISD instruments
35	ISD	Non-Core 2 - Safe custody services
36	ISD	Non-Core 3 - Granting credits or loans to an investor to allow him to carry out a transaction in an ISD instrument where the firm granting the credit or loan is involved in the transaction
37	ISD	Non-Core 4 - Advice to undertakings on capital structure, industrial strategy and related matters and advice and service relating to mergers and the purchase of undertakings
38	ISD	Non-Core 5 - Services related to underwriting
39	ISD	Non-Core 6 - Investment advice concerning one or more ISD instruments
40	ISD	Non-Core 7 - Foreign-exchange services where these are connected with the provision of investment services
41	2BCD	1 - Acceptance of deposits and other repayable funds from the public
42	2BCD	2 - Lending including consumer credit, mortgage credit, factoring and financing of commercial transactions
43	2BCD	3 - Financial leasing
44	2BCD	4 - Money transmission services
45	2BCD	5 - Issuing and administering means of payment
46	2BCD	6 - Guarantees and commitments
47	2BCD	7a - Trading for own account or for account of customers - money market instruments (cheques, bills, CDs etc)
48	2BCD	8 - Participation in securities issues and the provision of services related to such issues
49	2BCD	9 - Advice to undertakings on capital structure, industrial strategy and related questions and advice and services relating to mergers and the purchase of undertakings
50	2BCD	10 - Money broking
51	2BCD	11 - Portfolio management and advice
52	2BCD	12 - Safekeeping and administration of securities
53	2BCD	13 - Credit reference services
54	2BCD	14 - Safe custody services
55	3rd Life	I - Life and annuity assurance
56	3rd Life	II - Marriage assurance and birth insurance
57	3rd Life	III - Linked long term assurance
58	3rd Life	IV - Permanent health insurance
59	3rd Life	V - Tontines
60	3rd Life	VI - Capital redemption operations
61	3rd Life	VII - Management of group pension funds
62	3rd Life	VIII - Collective
63	3rd Life	IX - Social
64	3rd Non-Life	1 - Accident
65	3rd Non-Life	2 - Sickness
66	3rd Non-Life	3 - Land vehicles (excluding railway rolling stock)
67	3rd Non-Life	4 - Railway rolling stock
68	3rd Non-Life	5 - Aircraft

<u>Tape Code</u>	<u>Category of Activity</u>	<u>Activity Description</u>
69	3rd Non-Life	6 - Ships (sea, lake, river and canal vessels)
70	3rd Non-Life	7 - Goods in transit (including merchandise, baggage and all other goods)
71	3rd Non-Life	8 - Fire and natural forces
72	3rd Non-Life	9 - Other damage to property
73	3rd Non-Life	10 - Motor vehicle liability
74	3rd Non-Life	11 - Aircraft liability
75	3rd Non-Life	12 - Liability for ships (sea, lake, river and canal vessels)
76	3rd Non-Life	13 - General liability
77	3rd Non-Life	14 – Credit
78	3rd Non-Life	15 – Suretyship
79	3rd Non-Life	16 - Miscellaneous financial loss
80	3rd Non-Life	17 - Legal expenses
81	3rd Non-Life	18 – Assistance
90	Investment Business	Agreeing to carry on a regulated activity
91	Lloyds Markets	Agreeing to carry on a regulated activity
92	Funeral Plan Providers	Agreeing to carry on a regulated activity
93	Regulated Mortgages	Entering into a regulated mortgage contract as lender
94	Regulated Mortgages	Administering a regulated mortgage contract
95	Lloyds Market	Arranging (bringing about) deals in investments
96	Lloyds Market	Making arrangements with a view to transactions in investments
97	2BCD	7b - Trading own a/c or cust a/c-foreign exchange
98	2BCD	7c - Trading own a/c or cust a/c-fin futures/opts
99	2BCD	7d - Trading own a/c or cust a/c-exch/int rate ins
100	2BCD	7e - Trading own a/c or cust a/c-trans securities
101	e-money	Issuing electronic money
102	GI	Advising on investments (except on Pension Transfers and Pension Opt Outs)
103	GI	Arranging (bringing about) deals in investments
104	GI	Assisting in the administration and performance of a contract of insurance
105	GI	Dealing in investments as agent
106	GI	Making arrangements with a view to transactions in investments
107	Regulated Mortgages	Advising on regulated mortgage contracts
108	Regulated Mortgages	Arranging (bringing about) regulated mortgage contracts
109	Regulated Mortgages	Making arrangements with a view to regulated mortgage contracts
110	UMD	Management of unit trusts/common funds/investment companies
111	UMD	Management of portfolios of investments
112	UMD	Investment Advice
113	UMD	Safekeeping and administration of units of collective investment undertakings
114	IMD	Insurance mediation or Reinsurance Mediation
115		Agreeing to carry on a regulated activity and associated limitation
116		Agreeing to carry on a regulated activity and associated limitation
117	Mortgage	Dealing in investments as principal
1001	Appointed Rep	Indicates an Appointed rep, whose principal has informed the FSA, that undertakes insurance mediation business

NOTE: 102 -106 will be used for purely GI firms. Where a firm does GI in addition to investment business they will be replaced by activities 13, 14, 15 and 21 as appropriate.

1001 is a pseudo activity record used to indicate an area of business that has been notified to the FSA

## C.5.2 Investment Type

<u>Tape Code</u>	<u>Category of Investment</u>	<u>Investment Description</u>
1	Accepting Deposits	Deposit
2	General Insurance	Accident
3	General Insurance	Sickness
4	General Insurance	Land Vehicles
5	General Insurance	Railway rolling stock
6	General Insurance	Aircraft
7	General Insurance	Ships
8	General Insurance	Goods in transit
9	General Insurance	Fire and natural forces
10	General Insurance	Damage to property
11	General Insurance	Motor vehicle liability
12	General Insurance	Aircraft liability
13	General Insurance	Liability for ships
14	General Insurance	General liability
15	General Insurance	Credit
16	General Insurance	Suretyship
17	General Insurance	Miscellaneous financial loss
18	General Insurance	Legal expenses
19	General Insurance	Assistance
20	Long Term Insurance	Life and annuity
21	Long Term Insurance	Marriage and birth
22	Long Term Insurance	Linked long-term
23	Long Term Insurance	Permanent health
24	Long Term Insurance	Tontines
25	Long Term Insurance	Capital redemption
26	Long Term Insurance	Pension fund management
27	Long Term Insurance	Collective insurance
28	Long Term Insurance	Social insurance
31	Security	Share
32	Security	Debenture
33	Security	Government and public security
34	Security	Warrant
35	Security	Certificates representing certain security
36	Security	Unit
37	Contractually Based Investments	Option (excluding a commodity option and an option on a commodity future)
38	Contractually Based Investments	Commodity option and option on commodity future
39	Contractually Based Investments	Future (excluding a commodity future and a rolling spot forex contract)
40	Contractually Based Investments	Commodity Future
41	Contractually Based Investments	Contract for Differences (excluding a spread bet and a rolling spot forex contract)
42	Contractually Based Investments	Spread Bet
43	Contractually Based Investments	Rolling spot forex contract
44	Contractually Based Investments	Life Policy
45	Lloyd's Market	Underwriting capacity of a Lloyd's syndicate
46	Lloyd's Market	Membership of a Lloyd's syndicate
47	ISD	1(a) - Transferable securities
48	ISD	1(b) - Units in collective investment undertakings
49	ISD	2 - Money-market instruments

<u>Tape Code</u>	<u>Category of Investment</u>	<u>Investment Description</u>
50	ISD	"3 - Financial futures contracts, including equivalent cash-settled instruments"
51	ISD	4 - Forward interest-rate agreements (FRAs)
52	ISD	"5 - Interest rate, currency and equity swaps"
53	ISD	"6 - Options to acquire or dispose of any ISD instruments, including equivalent cash-settled investments"
63	Security	Stakeholder pension scheme
64	Security	Rights to or interests in investments (Security)
65	Contractually Based Investments	Funeral plan contract
66	Regulated Mortgages	Regulated mortgage contract
67	Contractually Based Investments	Rights to or interests in investments (Contractually Based Investments)
68	Lloyd's Market	Rights to or interests in investments
69	Funeral Plan	Funeral plan contract
70	Lloyd's Market	Contracts of insurance
71	Lloyd's Market	Lloyd's syndicate capacity and syndicate membership
72	e-money	Issuing Electronic Money
73	Contractually Based Investments	Non-investment insurance contracts
74	Stakeholder Products	Stakeholder Products (e.g. the stakeholder pension, medium-term investment product, stakeholder child trust fund and stakeholder deposit)

### C.5.3 Customer Type

<u>Tape Code</u>	<u>Description</u>	<u>Comment</u>
1	Private Customer	
2	Intermediate Customer	
3	Market Counterparty	
4	All	
5	Retail	Non-investment insurance only
6	Commercial	Non-investment insurance only
7	Customer	Mortgage contracts only

### C.5.4 Status

<u>Tape Code</u>	<u>Description</u>	<u>Comment</u>
3	Withdrawal Requested	Transitory – whilst a firm actually being processed
4	Authorised	
5	Withdrawn	
6	Resignation Applied For	Transitory – whilst a firm actually being processed
7	Resigned	

## C.6 Individuals File

### C.6.1 Status

Tape Code	Description
1	Banned
2	Applied
3	Inactive
4	Active
5	Deceased

## C.7 Individuals controlled function file

### C.7.1 Function

Tape Code	Controlled Function
22	CF1 Director
23	CF2 Non Executive Director
24	CF3 Chief Executive
25	CF4 Partner
26	CF5 Director of Unincorporated Association
27	CF6 Small Friendly Society
28	CF7 Sole Trader
29	CF8 Apportionment and Oversight
30	CF10 Compliance Oversight
31	CF11 Money Laundering Reporting
32	CF12 Appointed Actuary
33	CF13 Finance
34	CF14 Risk Assessment
35	CF15 Internal Audit
36	CF16 Significant Mgt (Desgntd Investment Business)
37	CF17 Significant Mgt (Other Business Operations)
38	CF18 Significant Mgt (Insurance Underwriting)
39	CF19 Significant Mgt (Financial Resources)
40	CF20 Significant Mgt (Settlements)
43	CF24 Pension Transfer Specialist
44	CF21 Investment Adviser
45	CF22 Investment Adviser (Trainee)
46	CF23 Corporate Finance Adviser
47	CF25 Adviser on Syndicate Participation at Lloyd's
48	CF26 Customer Trading
49	CF27 Investment Management
50	CF99 Unallocated
51	CF9 EEA Investment Business Oversight
52	CF1 Director (AR)
53	CF4 Partner (AR)
54	CF7 Sole Trader (AR)
55	CF2 Non Executive Director (AR)
60	Responsible for Insurance Mediation (RIM) (not a controlled function)

## C.8 Individuals Employment file

### C.8.1 Status

Tape Code	Description
21	Employed by

**D DATA INTERPRETATION****D.1 Introduction**

There are basically three sets of data contained in the eight data files. Four files hold information about authorised firms and appointed rep firms, both current and previous. One file contains details of collective investment schemes, both those UK authorised schemes and overseas schemes recognised in the UK. The final three (optional) files provide details of approved individuals. These are again linked to the authorised firms that sponsor them and the appointed representative firm (if any) that they work through. Each of the eight files has a header giving the time and date that the data was extracted from the FSA's internal database. Every record has a field giving the latest date that any data within that record may have been amended.

**D.2 Firms**

The details for firms are contained in four files, related by the FSA firm's reference number. This number is defined as a seven digit number that is issued sequentially to firms as they are added to the FSA database (not all appear on the Register). The current numbers are six digits only (seven, with a leading zero in fixed record length file format) it is likely to be several years before seven digit numbers are used, but any new systems should allow for seven digit numbers.

The Basic Details file:

This gives the firms current name and principal address (if the firm is no longer regulated this is the name and address it had when it ceased to be regulated), its regulatory status and date this was attained and other basic firm information. Two types of firm are in the file, firms deemed to be authorised (either currently or previously) and appointed representatives (AR). ARs always have a status of Registered and a business type of 'Appointed Representative' or 'Introducer'. This remains the case when it ceases to be a representative. It is essential to check that an AR has a current appointment, i.e. an appointment record with a status of notified or registered.

Each authorised firm will normally have one or more records in the permissions file.

The Permissions file:

This defines the type of activity that the firm has been approved to undertake. Where a firm has changed their main name the old name will be in the names file, as will any trading names that FSA is aware of.

Appointments file:

The appointments file gives the current appointment involvement. It shows the status between an authorised firm and its appointed representatives. Three status values are used: 'Notified' is used for those appointments which have not been modified since N2, 'Registered' is used for those involvements that have been added or amended since N2 and 'Withdrawn' is used for those involvements that are no longer current.

### **D.3**

#### **Individuals**

The individual details are held in three files, each with their own unique individual reference number (IRN). The IRN consists of three letters followed by five digits. The three files are as follows:

##### Individual Basic Details file:

The basic details file provides the individuals names (title, forename and family name), a sort-code (family name, forename and no spaces). There are two fields, one for date of birth and the other for an individual's NI number, which will remain blank for data protection reasons. This file also provides the individuals current status, active (has current controlled functions) or inactive (no current controlled functions).

##### Individual Controlled Function Details file:

All controlled functions are approved to the regulated firm including those under Appointed Representative (AR) arrangements.

It is possible for Authorised Firms not to have any active approved persons. For example, sole traders authorised to carry on mortgage and/or general insurance intermediary activities will not necessarily have controlled functions. This may also occur in the period before a firm's authorisation is cancelled and can occasionally occur at other times for various reasons.

##### Individual Employment Details file:

Where an individual performs one or more controlled functions under an AR arrangement, there will also be an entry in the employment file, showing a link between individual and AR firm.

Introducer ARs should not have an employment link as this type of representative does not require approved persons.

## E PERMISSIONS

### E.1 Introduction

From 1 December 2001 (N2) most financial services activities within the UK became regulated by the FSA under the Act, this included those firms that were previously regulated by the PIA, SFA, IMRO, BSC, RFC, HM Treasury (Insurance Directorate), FSA (under the Financial Services Act 1986 and Banking Act), recognised professional bodies and the Society of Lloyds. Each of these firms were granted a 'Part IV' permission. This permission covers the authorisation to undertake one or more regulated activities. Each activity is restricted in three ways. The activity is approved for a specific customer type and for specific types of investments/products. The third type of restriction allows for any specific limitation to be applied. Similarly, a requirement can be placed on the firm's permission as a whole. Currently, the extract does not include details of any Requirement or Limitation (R&L) except for a basic flag indicating whether the firm has authority to hold client money.

The transitional arrangements in the Act meant that any firm authorised under any of the existing legislation prior to N2 would be authorised to undertake precisely the same business after N2 that it was authorised to perform before N2. In general, the current permissions did not match the previous activities very closely. Therefore, firms may have a set of permitted activities which would allow greater scope than before N2 with a limitation on the activity to narrow its scope back to the pre-N2 activity.

Firms that belonged to a recognised professional body (RPB) were given the option to become regulated by the FSA for their investment business. Those professional firms that decided to opt out of the FSA's supervision are still permitted to undertake limited investment business as exempt professional firms (see section 327 of the Act). As they did not opt in for FSA supervision they will not be found on the FSA register. Those that did opt for FSA regulation will have a normal permission although most have a requirement that investment business is incidental to their main professional practice (as it was under the old regime).

The Internet Register has a (separate) register of exempt professional firms (such as solicitors and accountants) that are allowed to undertake some regulated activities as incidental services in addition to their normal professional services. There are no plans to publish this data as part of the extract files.

### E.2 Structure of Data

Firms are authorised for specific activities and within each activity they are authorised to deal with various customer types and various investment types. Within any activity the customer and investments may vary. Therefore the date that an activity became authorised could be different to that for a particular customer or investment type. Indeed the status may be different. For this reason there will be several records for each activity. 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' and 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.

### **E.3 Interpretation of Data**

The activities are defined in the Regulated Activities Order (statutory Instrument 2001 no. 544 and subsequent amendments). Further explanations and interpretations are available in the FSA Handbook (Authorisation Module and the Supervision Manual, Chapter 10 for approved persons controlled functions), the latest version of which is available on the FSA website ([www.fsa.gov.uk](http://www.fsa.gov.uk)).