

Newgate News

It Is Time to Submit Your Firm Details Attestation and Staff Directory Confirmation

For most firms, there are a couple of housekeeping items firms should action promptly.

FIRM DETAILS ATTESTATION

Firms are required to review and confirm its Firm Details annually. You must review and confirm your details within 60 business days after your Accounting Reference Date (ARD), in accordance with the requirements of **SUP 16.10.4R(1)**.

Even if your details have not changed, you will still need to log on to **Connect** to submit the Firm Details form and attest that they are up to date.

The deadline for this filing will vary for each firm as it will depend on your firm's ARD. You should submit your return as early as possible but no later than 60 days of your ARD.

STAFF DIRECTORY CONFIRMATION

Under SMCR, firms that have not updated their FCA Directory Persons data during the course of the year are required to report to the FCA that the information they had previously reported remains accurate and up-to-date.

Even if your details have not changed, you will still need to log on to **Connect** to submit the confirmation.

The confirmation must be made no later than the first business day following the end of the 12 months' anniversary of the last filing, in accordance with the requirement under **SUP 16.26.18**.

Firms are encouraged to submit this return as early as possible. The deadline for each firm will vary depending on when you last updated your Staff Directory Persons data.

If your firm fails to submit either of the above regulatory returns by the due date, your firm may be

charged with an administrative fee of £250 per return.

HOW CAN NEWGATE ASSIST?

If you require any assistance with completing the Connect form, or understanding your filing obligations, please do not hesitate to contact us.

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Newgate Compliance is a compliance consultancy offering a modern solution to implement your compliance function using an innovative compliance software solution called the  gateway®.

Newgate has an unrivalled combination of experienced professionals, many of whom are ex-regulators.

Our customer focused approach seeks to provide appropriate, pragmatic and flexible solutions to our clients helping them to meet both the regulator's rules but also the spirit, principles and culture of the regulatory regime.

We look to build long-term relationships with our customers helping to encourage business growth, productivity and innovation. Our proactive approach is tailored to each customer's needs changing to meet those needs as the customer progresses and develops.

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