



# Newgate News

## Time Is Running Out to Submit Your Firm Details Attestation and Staff Directory Confirmation

Earlier in the year we reminded firms that there are a couple of housekeeping items firms should action via Connect.

### STAFF DIRECTORY CONFIRMATION

Under SMCR, firms that have not updated their FCA Directory 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 Firm.

The confirmation must be made no later than the first business day following the end of the anniversary of 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, however, most firms would have updated their FCA Directory last year as part of the certification staff deadline that was due by 31 March 2021. Therefore, the deadline for many firms this year will be 31 March 2022, the latest.

**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.**

## 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. You should submit your return as early as possible but no later than 60 days of your ARD.

## HOW CAN NEWGATE ASSIST?

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

Newgate also has a unique online compliance solution called the **Gateway** to enable firms to efficiently run its annual Fit and Proper Assessments for Directory Staff. The Gateway also enables the auto generation of certificates for Certification Staff. Get in touch with us for a free demo of the Gateway system.

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