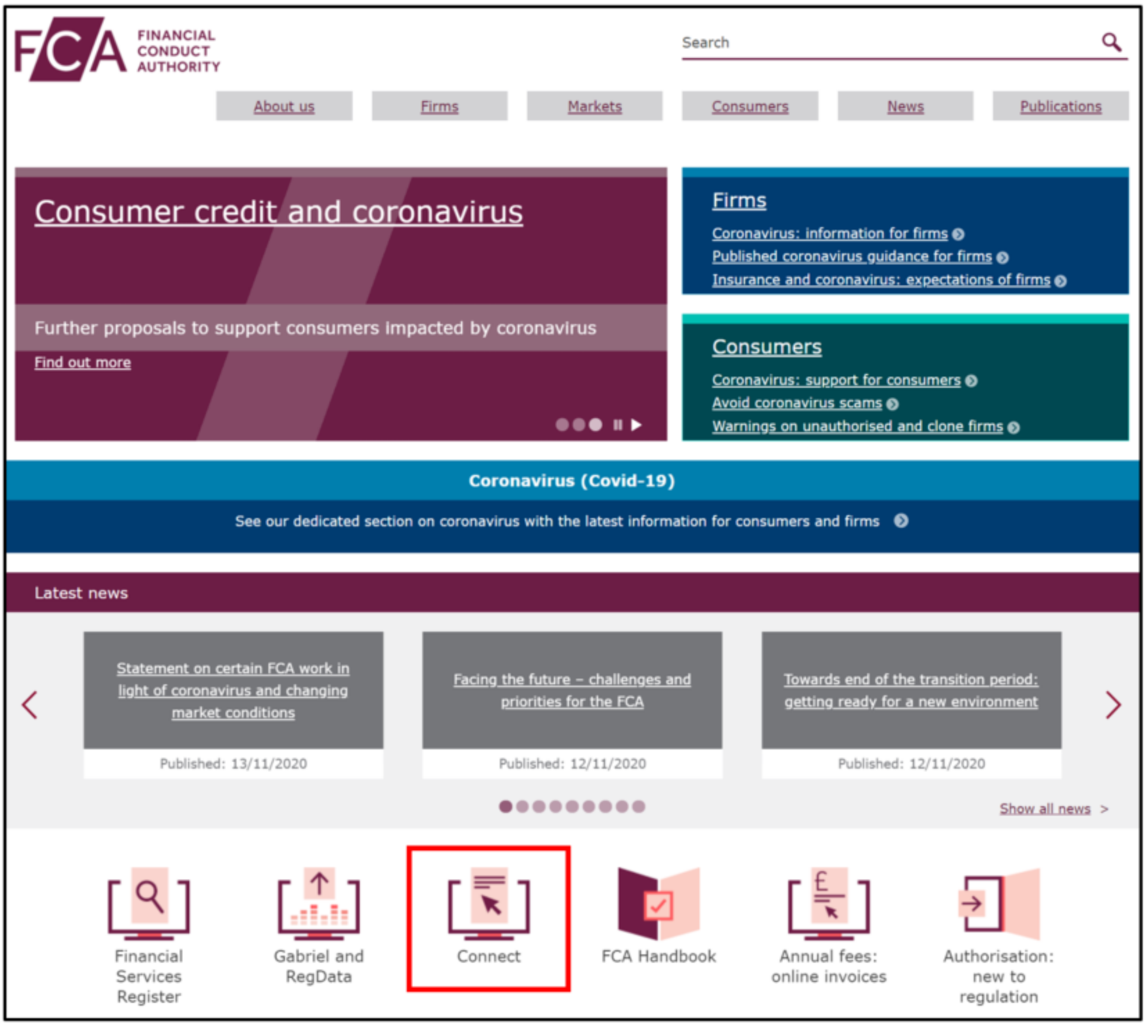
STS Notifications user guide

This user guide explains the following processes:

1. Logging into Connect
2. The Principal User role
3. Submitting STS Notifications
4. Unregulated Firm Enrolment

1. Logging into Connect

To access the Connect system, go to **fca.org.uk** and click on the **Connect** icon or type **https://connect.fca.org.uk/firms/aupo_sitelogin** into the address bar

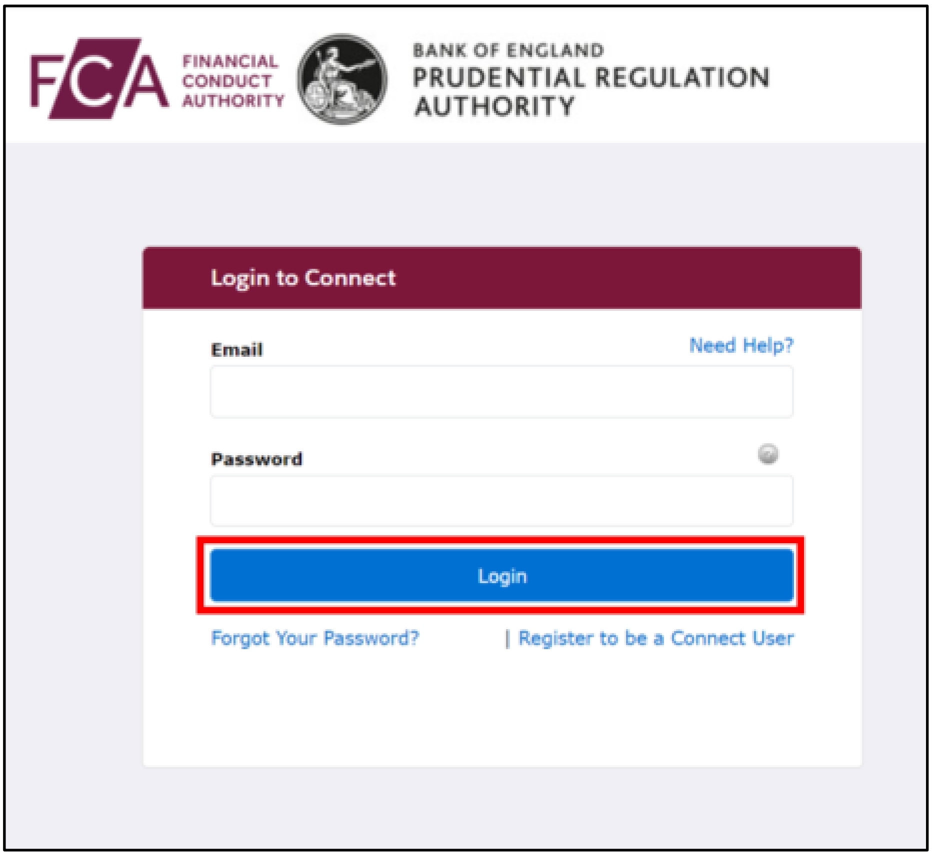


- On the Connect landing page, you will find helpful information and guidance before you log in

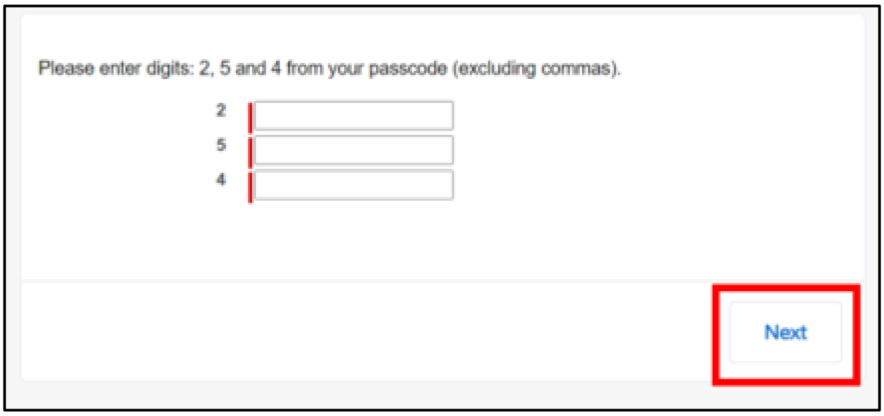
- Scroll down and click on **Login to Connect**

Existing Connect Users

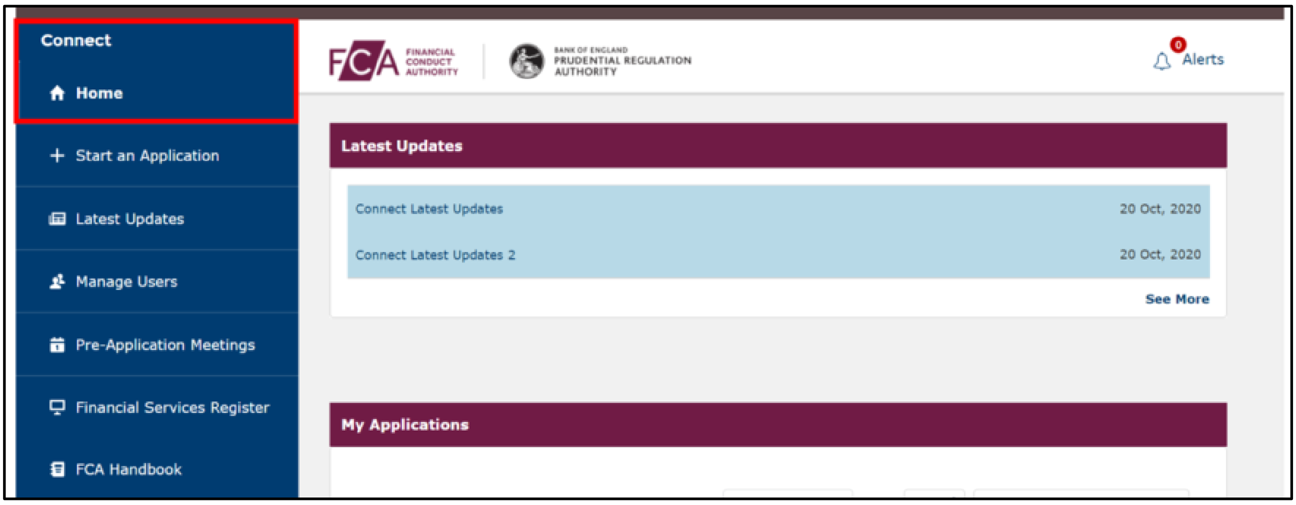
- Enter your email address and password, click on **Login**



- **Agree** to the terms of usage
- You will be asked to enter 3 random numbers from your 6-digit passcode
- Enter these and click on **Next**



- You will enter the **Connect home page**



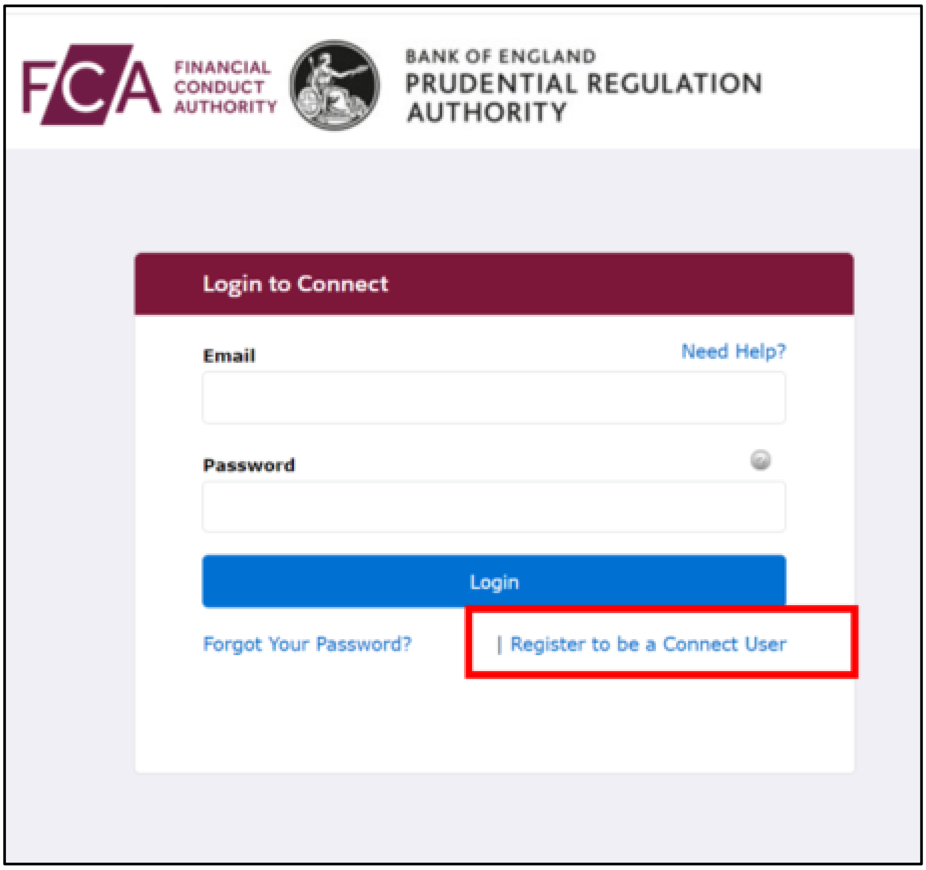
New Connect Users

To register to use **Connect** you will either need an appropriate Control Function (CF) or Senior management function or the firm's Registration Key to access the Connect site.

You will need to identify a Principal User or Firm Administrator who will be the person in your firm responsible for managing the system.

The Principal User will then be able to set up new users, amend permissions, etc.

- Click on the link to **Register to be a Connect User**



- **Agree** to the terms of usage
- You will be directed to a page where you will register for Connect
- Enter your details: name, surname, email address, phone number and the response to a security question, then select **Submit**
- You will receive an email from us – follow the link to activate your account, then set up your Connect password and passcode
- Return to the **Login to Connect** page and log in using your details

2. The Principal User role

If your firm is enrolled with the FCA/PRA, a Principal User will already be assigned.

If your Firm is **NOT** enrolled with the FCA, follow the **Unregulated Firm Enrolment** process –you will be assigned the Principal User role by default.

You should refer to your Firm's Principal User in the first instance to obtain access to submit STS Notifications.

If you are unsure who your Firm's Principal User is, contact firm.queries@fca.org.uk.

Follow this process to assign the Principal User role to:

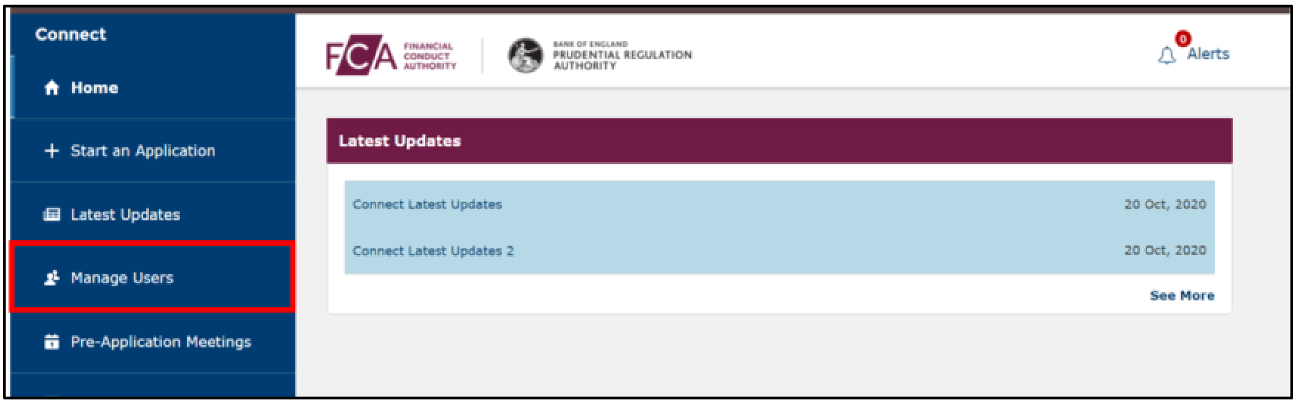
- an existing user, or

- a new user

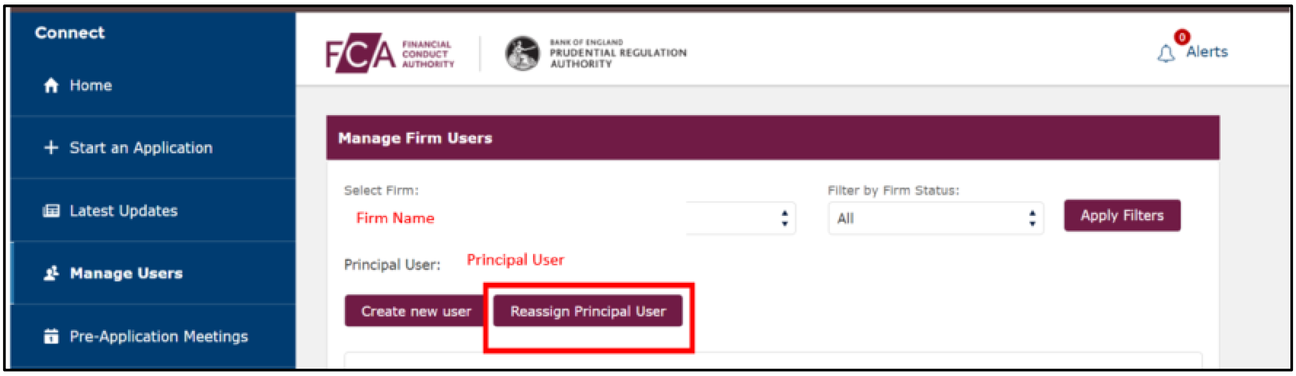
Assign the Principal User role to an existing user

From the Connect homepage:

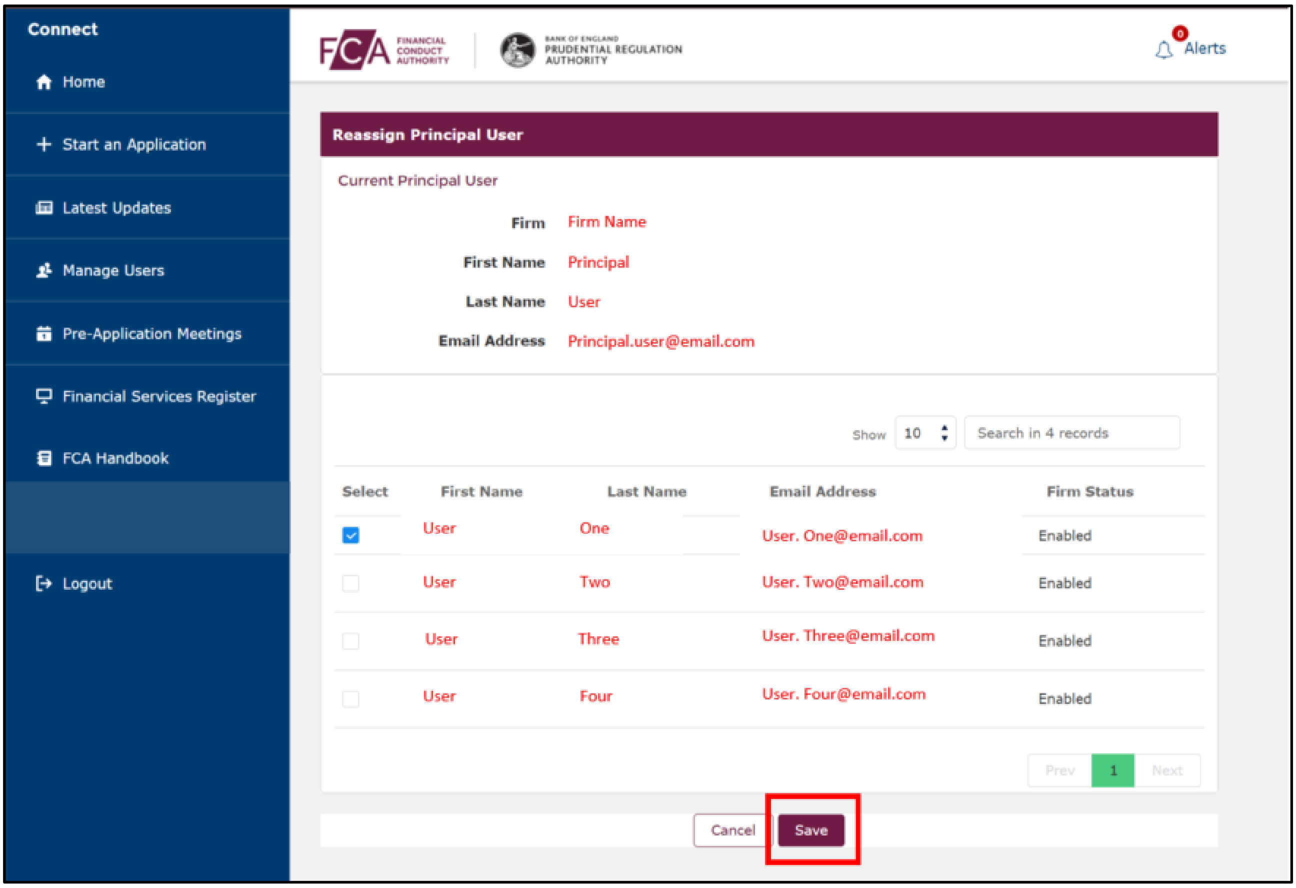
- Click on **Manage Users**



- Select **Reassign Principal User**



- Select the user from the list and **save**

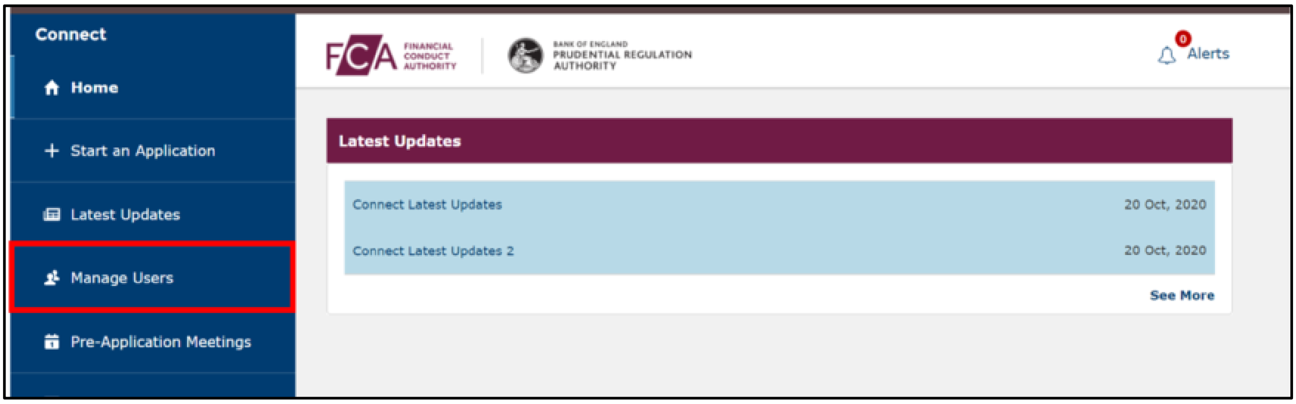


- Confirm you wish to re-assign the Principal User role by clicking **Yes**

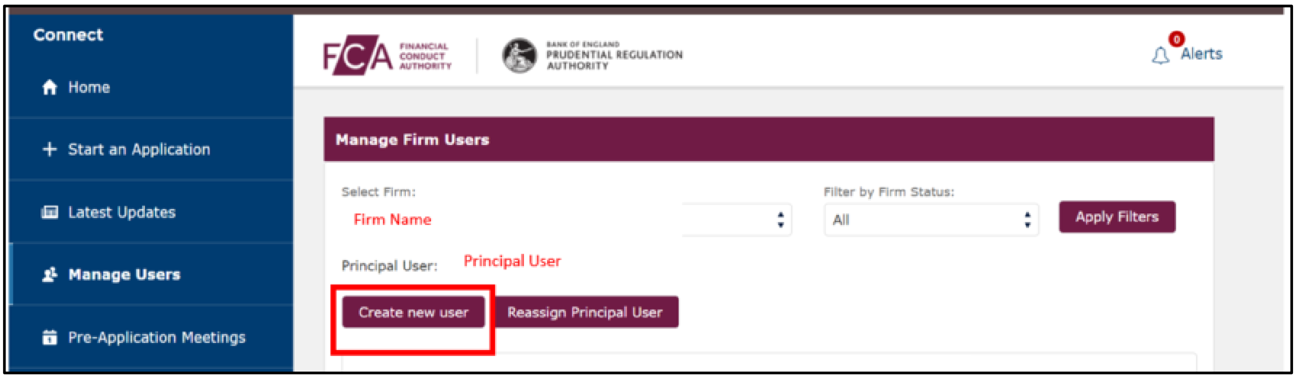
Assign the Principal User role to a new user

From the Connect homepage:

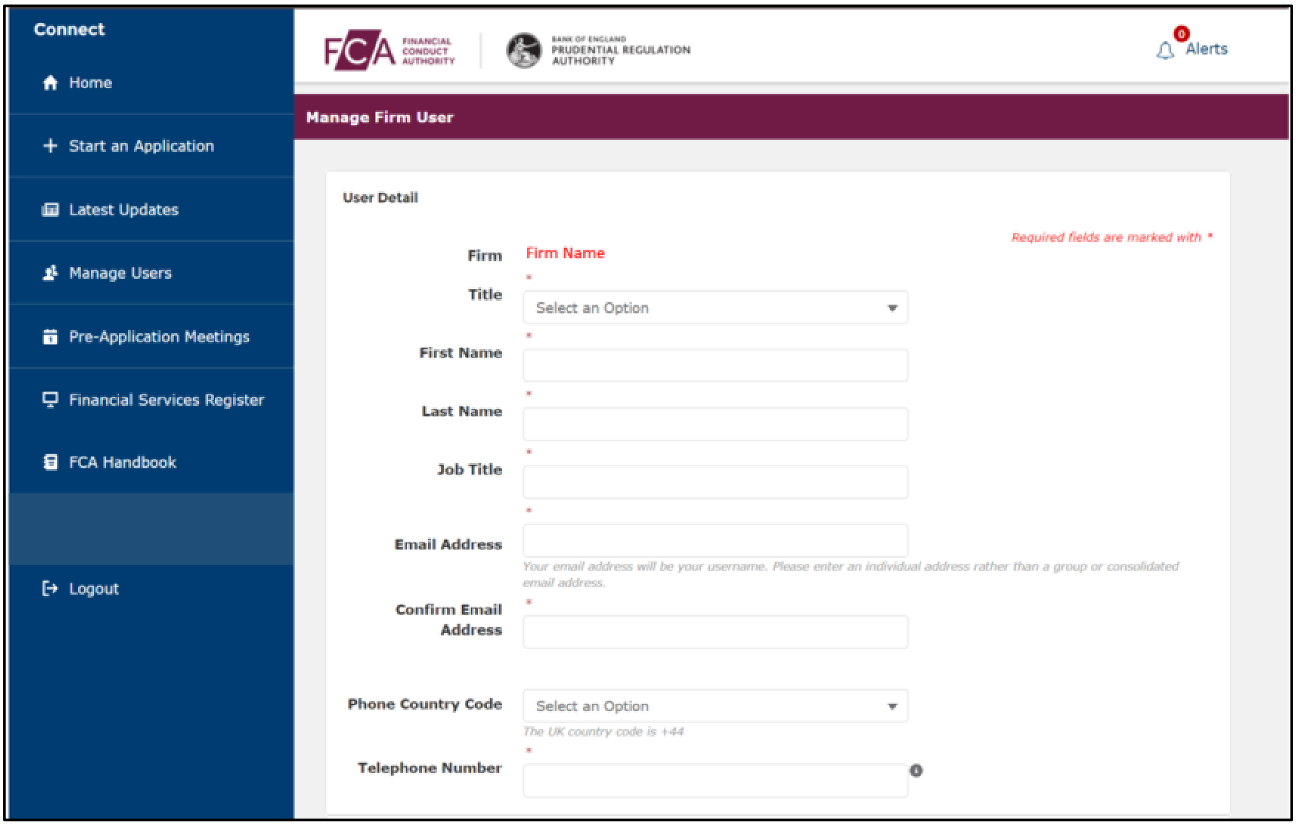
- Click on **Manage Users**



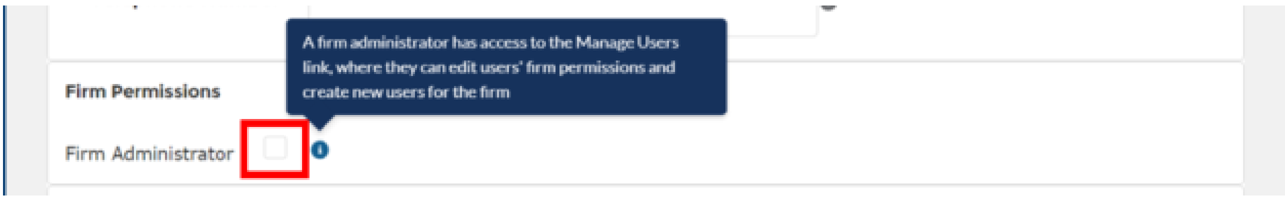
- Select **Create new user**



- Enter details of the new Principal User, including title, name, job title, email address and telephone number. Fields marked with an asterisk (*) are mandatory.

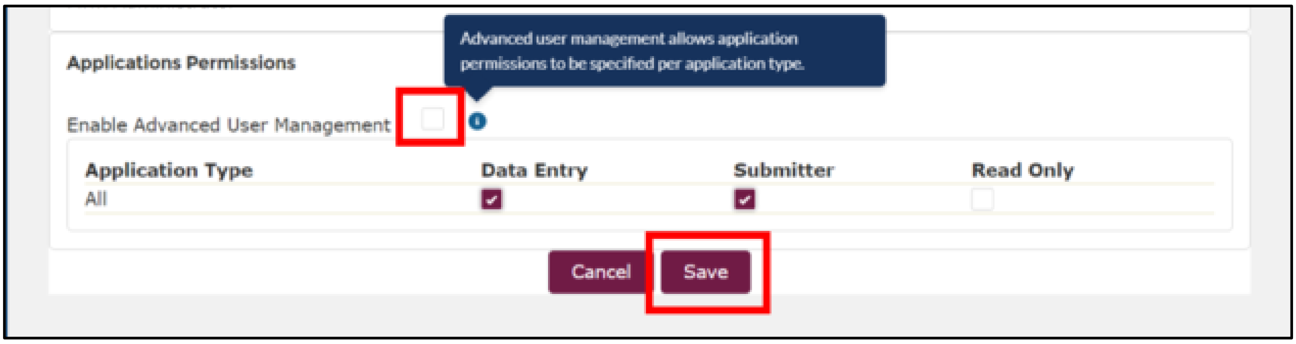


- Tick the **Firm Administrator** box to grant the new user access to the Manage Users link, where they can edit users' firm permissions and create new users for the firm



- Tick the **Enable Advanced User Management** box to allow application permissions to be specified per application type e.g. Securitisation Notification

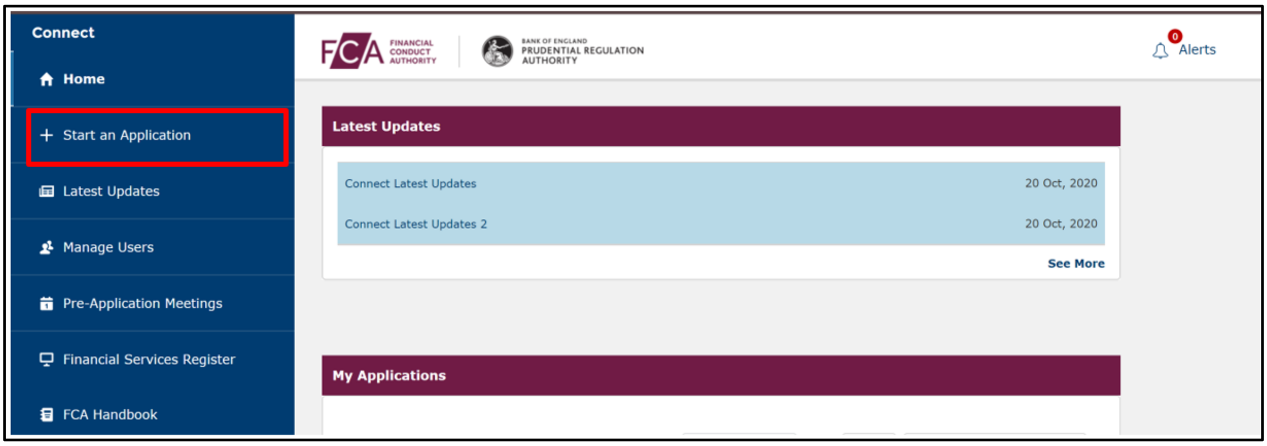
- Then click **Save**



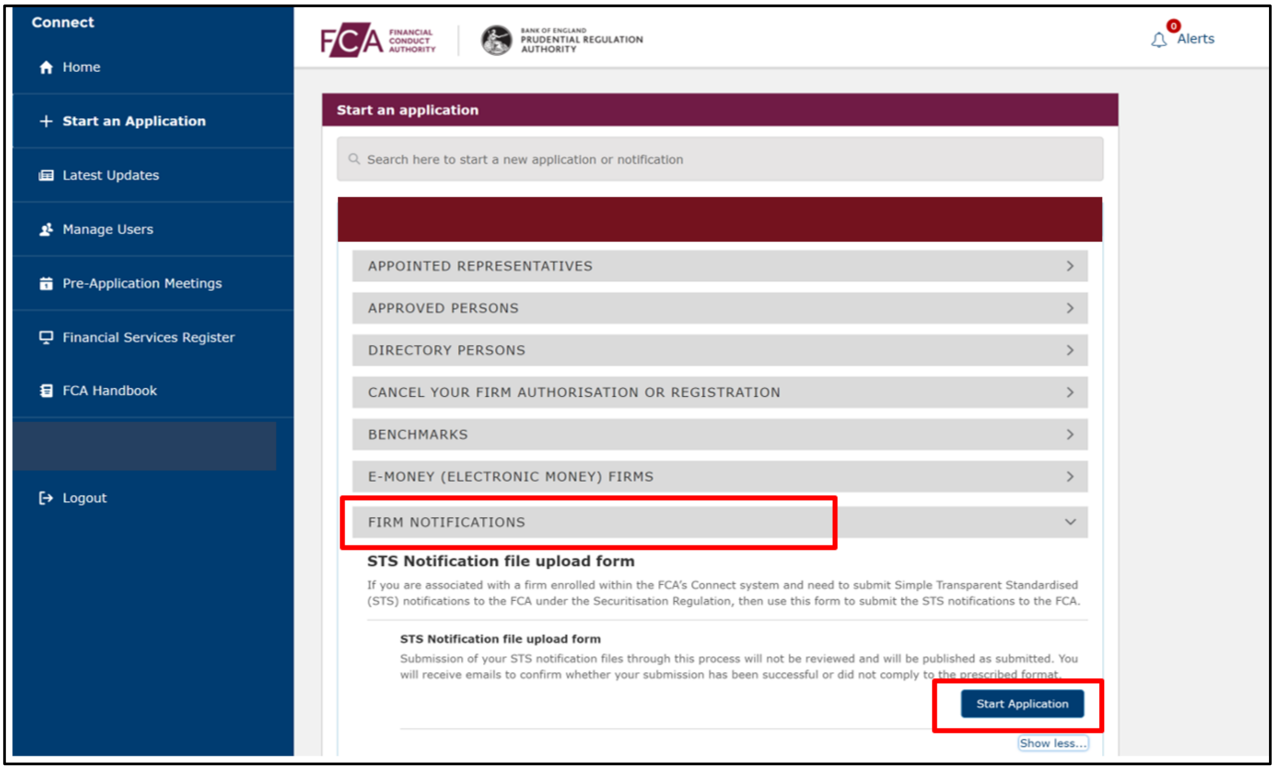
3. Submitting STS Notifications

From the Connect homepage:

- Select **Start an Application**
- If you report for more than 1 firm, you will see your Firm Selection screen
- **Select the firm** you wish to submit STS Notifications on behalf of



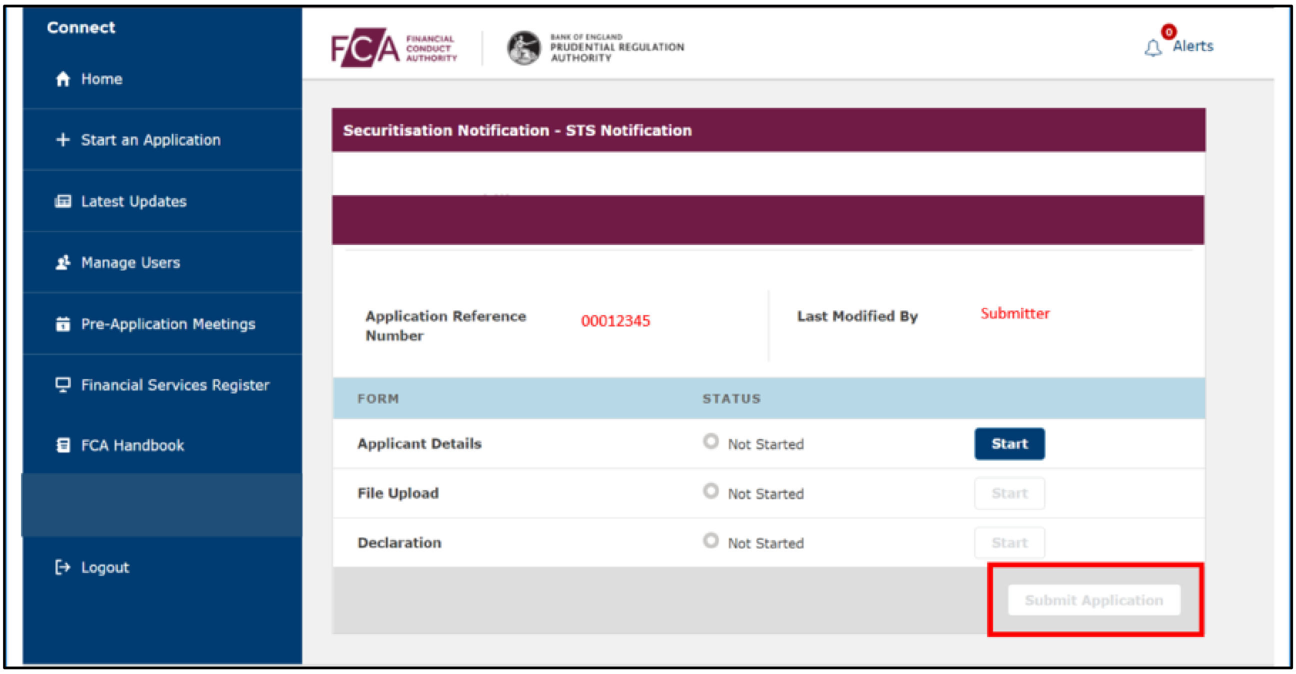
- Click on **Firm Notifications**
- Select **STS Notification file upload form**
- Then click on **Start Application**



- For the following steps, you will need the Submitter Details and the STS notification templates

- For guidance on how to complete the templates, go to the securitisation page on our website

- When you have completed the Applicant Details, uploaded the files and agreed the Declaration, click on **Submit Application**



- You will receive an email acknowledging your submission and a follow-up email confirming the submission was successful or unsuccessful (detailing the issue)

4. Unregulated Firm Enrolment

This application is for originators and sponsors, as defined under the UK Securitisation Regulation, to enrol with the FCA for purposes of submitting to the FCA any STS notifications pursuant to Article 27 of the UK Securitisation Regulation.

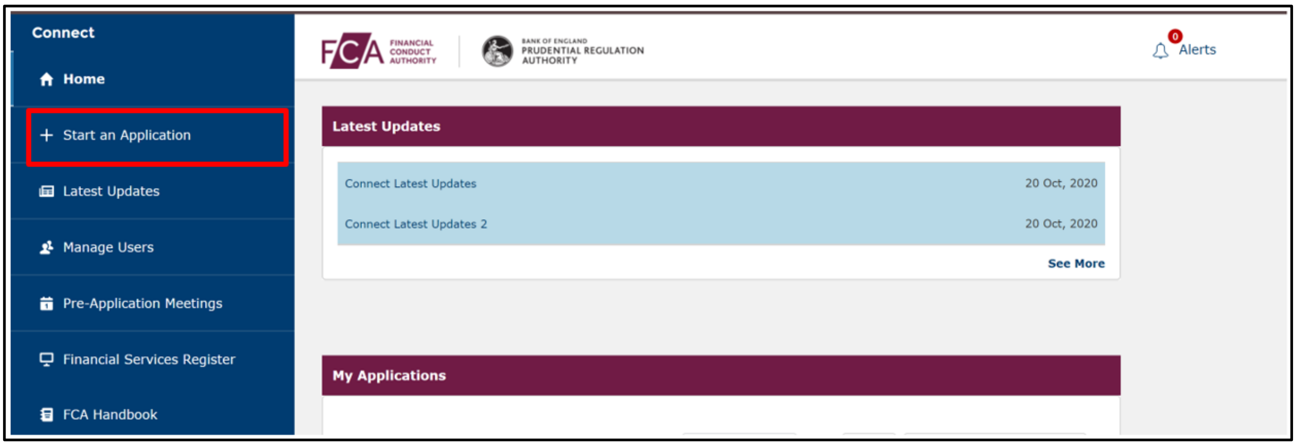
The form asks for details of the firm seeking to enrol and for details on individuals at the firm that will submit STS notifications on behalf of the firm.

We would expect the enrolment form to be submitted by an individual who is a Director registered at Companies House or who holds a comparable senior role at that firm. If the form is not sent by such a submitter, your enrolment may be delayed.

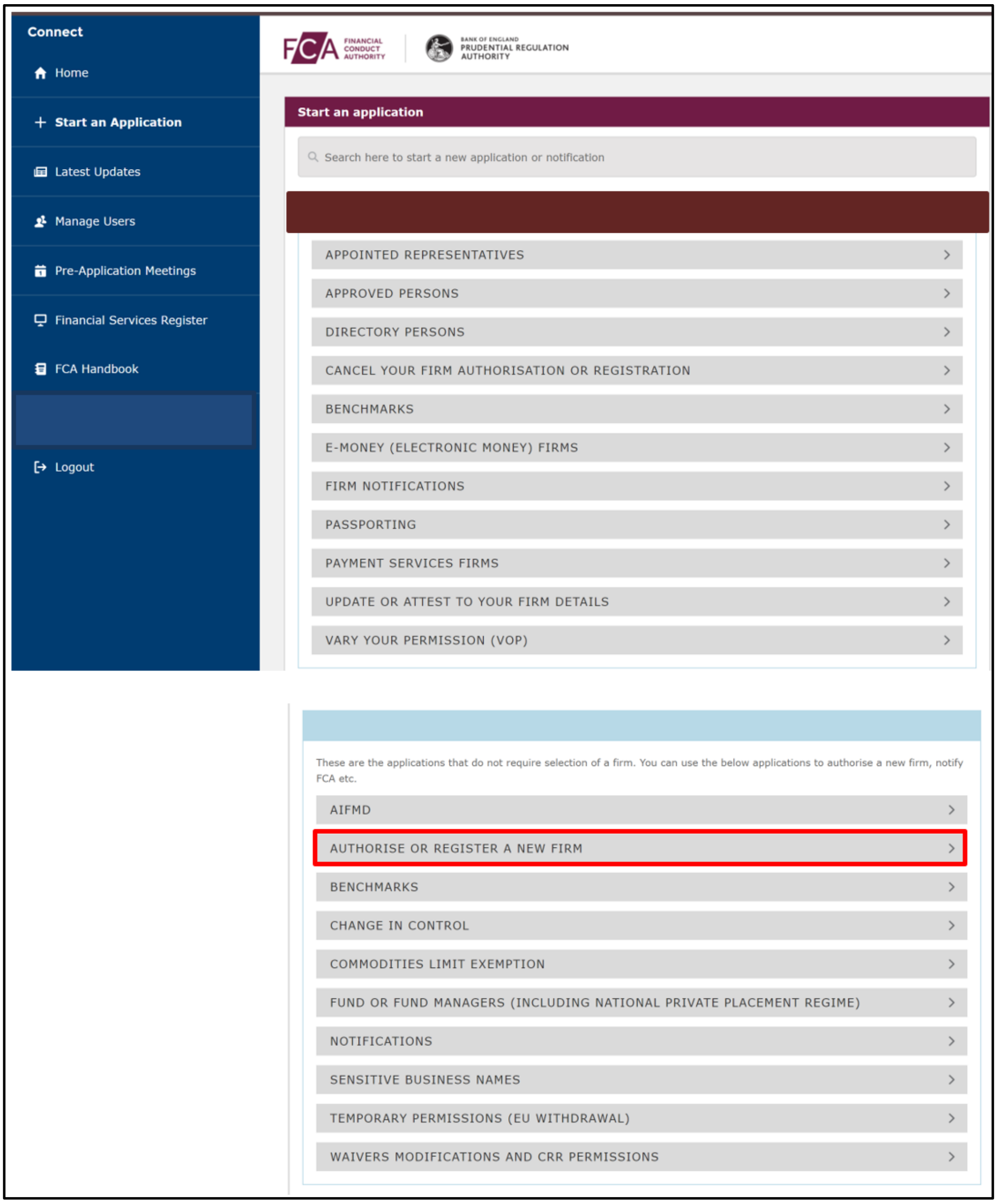
As part of the enrolment process, you will need to check first whether the firm is already enrolled with the FCA. After doing a firm search, and once you have confirmed that the firm is not already enrolled with the FCA, this application will be allowed to progress. Please ensure you have the Legal Entity Identifier (LEI) of the firm to complete the enrolment step.

From the Connect homepage:

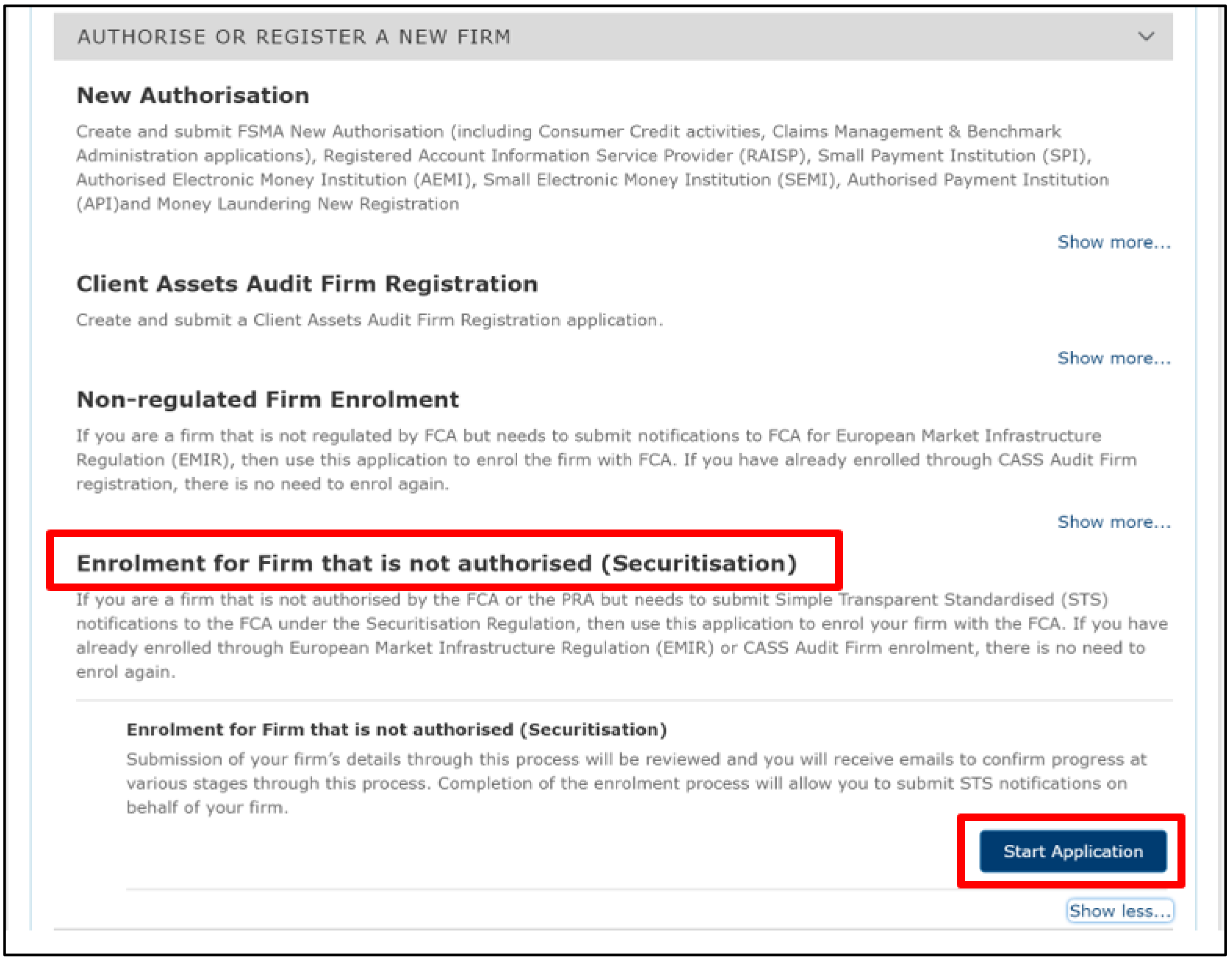
- Select **Start an Application**



- Scroll down to **Authorise or Register a new Firm**

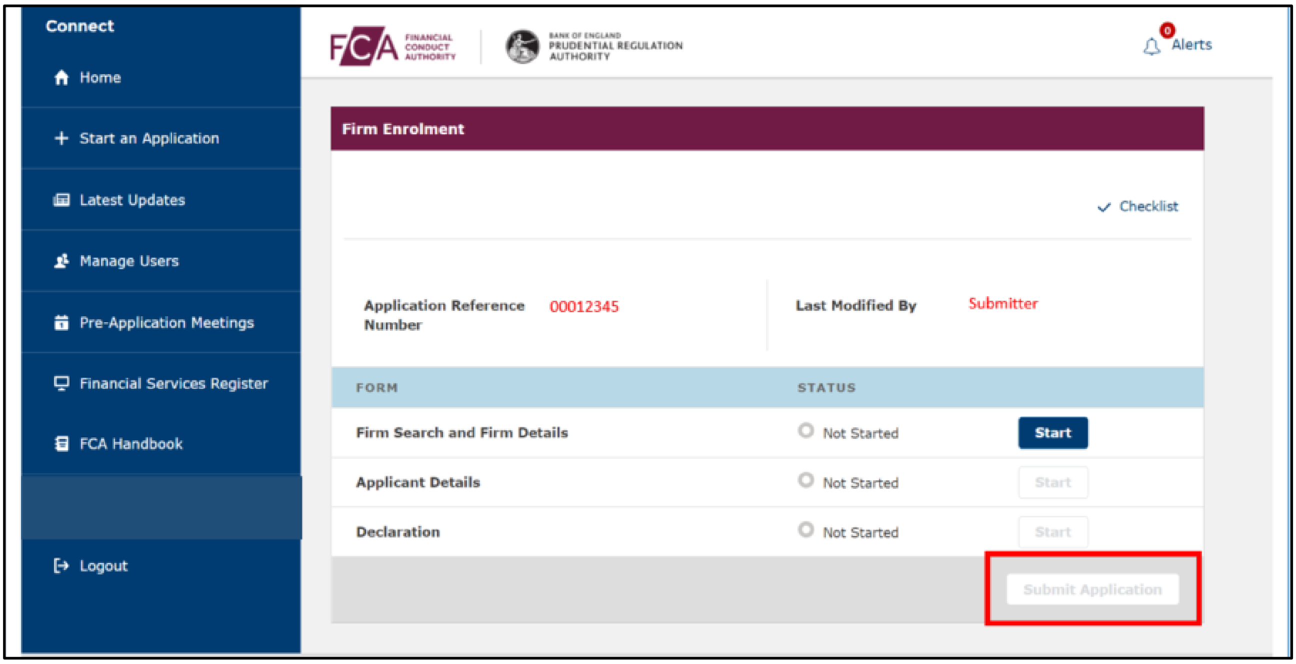


- Select **Enrolment for Firm that is not authorised (Securitisation)**
- Then click on **Start Application**



You will need the following details to complete the next steps:

- applicant details
- firm details (firm name and address registered on Companies House, type of firm eg LLP, Ltd company, sole trader)
- Legal Entity Identifier (LEI) and Companies House Registration Number (if applicable)
- When you've completed the Firm Search and Firm Details, Applicant Details and agreed the Declaration, click on **Submit Application**



- You will receive an email acknowledging your application and a follow-up email confirming successful or unsuccessful enrolment (detailing the issue, eg additional information required)
- Once your firm is enrolled, follow the process to **submit STS Notifications**