

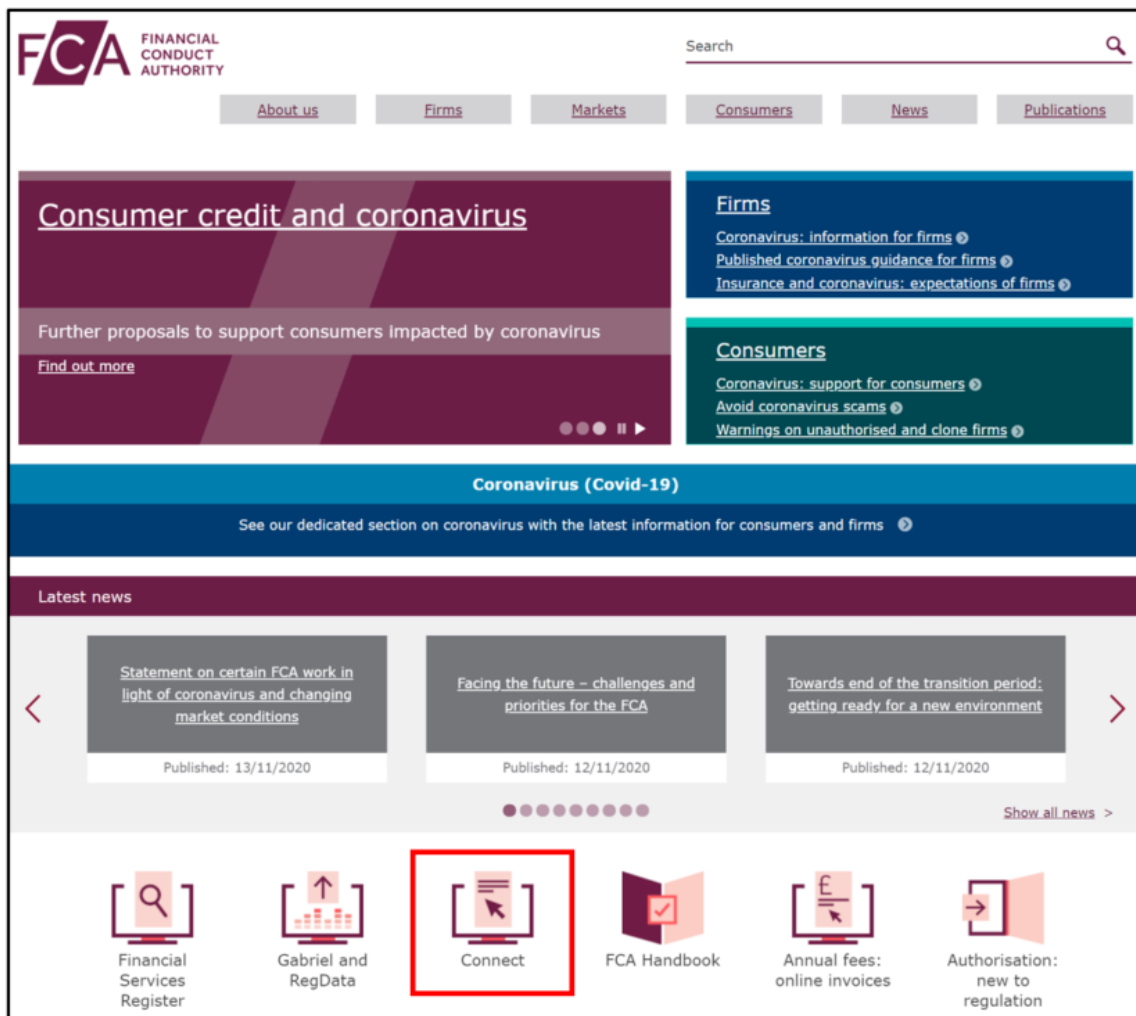
STS Notifications user guide

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

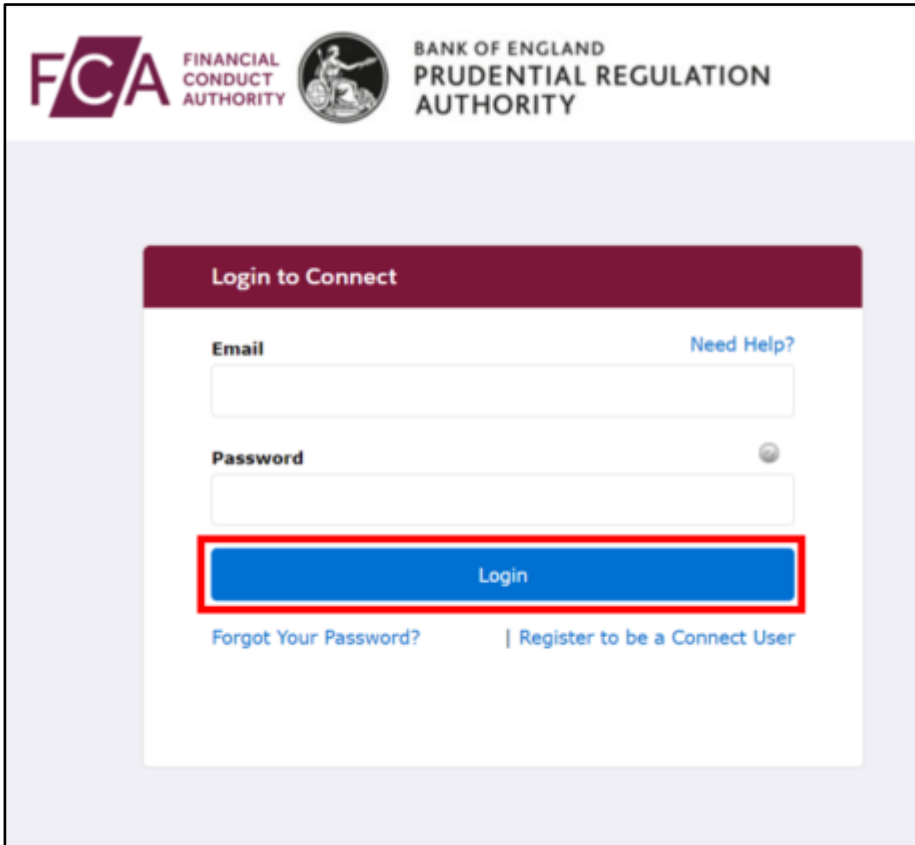


- On the Connect landing page, you will find helpful information and guidance before you log in

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

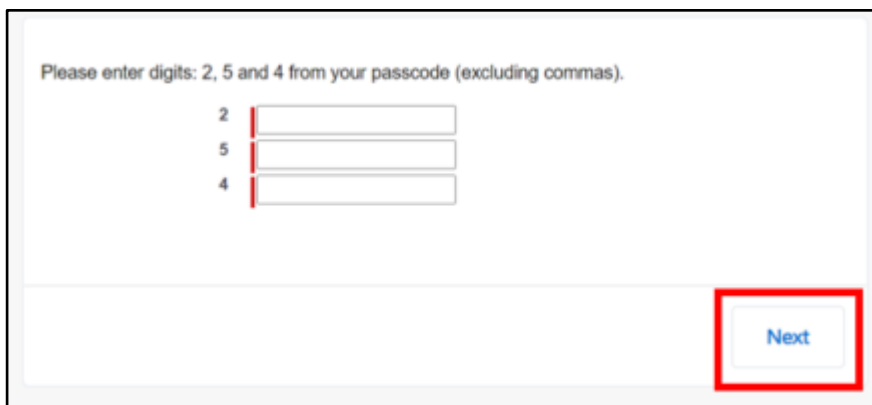
Existing Connect Users

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



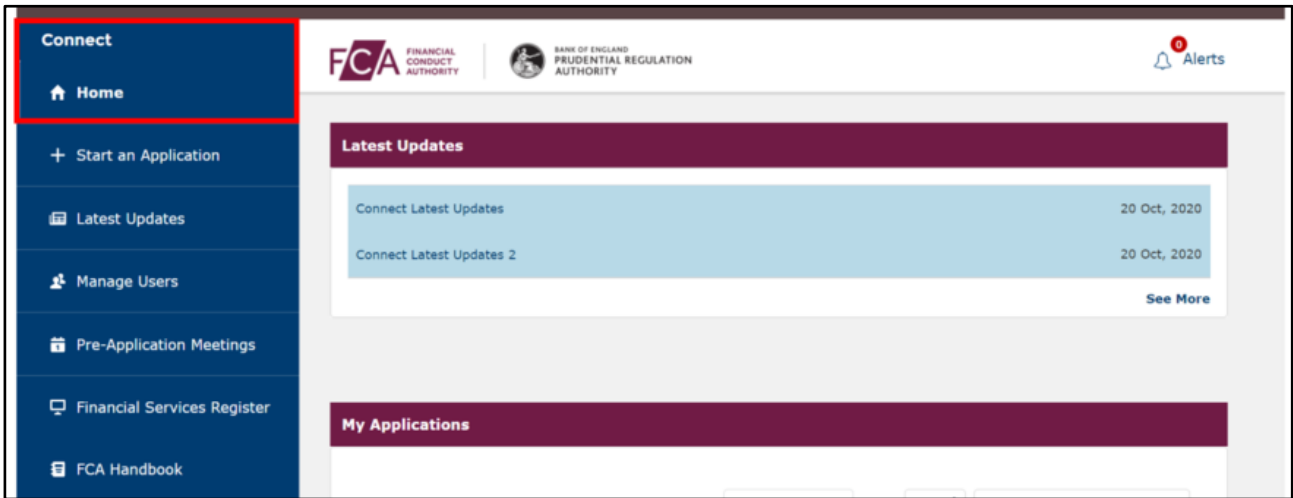
The screenshot shows the 'Login to Connect' interface. At the top left are the logos for the FCA (Financial Conduct Authority) and the Bank of England Prudential Regulation Authority. The main form area has a dark red header with the text 'Login to Connect'. Below this, there are two input fields: 'Email' and 'Password'. To the right of the 'Email' field is a link 'Need Help?'. Below the 'Password' field is a small eye icon. A blue 'Login' button is centered below the fields and is highlighted with a red rectangular border. At the bottom of the form, there are two links: 'Forgot Your Password?' and '| Register to be a Connect User'.

- **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**



The screenshot shows a verification screen with the instruction: 'Please enter digits: 2, 5 and 4 from your passcode (excluding commas)'. Below this instruction are three input fields, each preceded by a red vertical bar and the digit '2', '5', and '4' respectively. At the bottom right of the screen, there is a blue 'Next' button highlighted with a red rectangular border.

- 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:

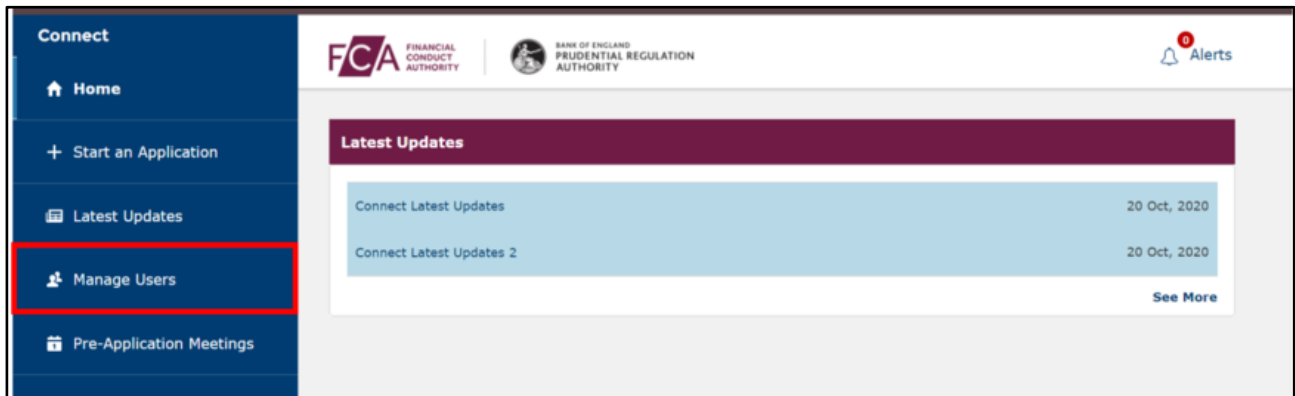
- an existing user, or

- a new user

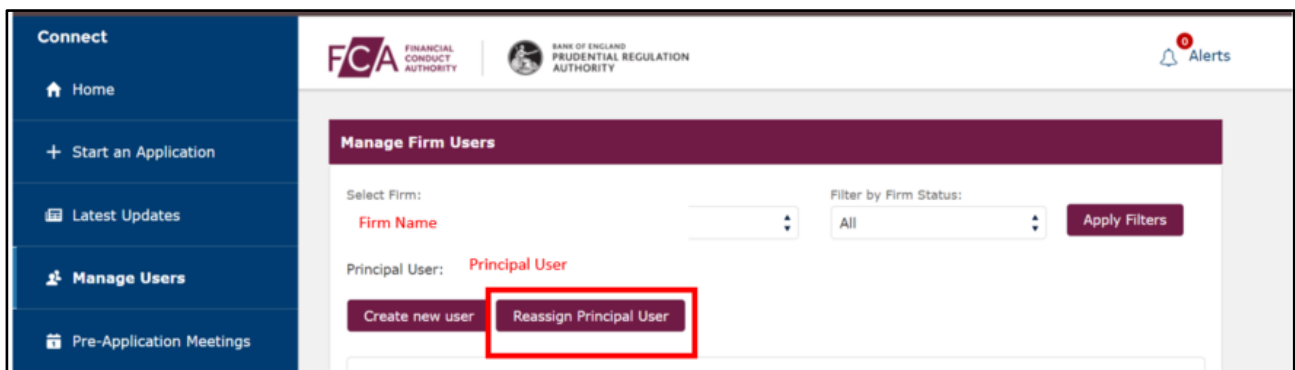
Assign the Principal User role to an existing user

From the Connect homepage:

- Click on **Manage Users**



- Select **Reassign Principal User**



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

Reassign Principal User

Current Principal User

Firm: Firm Name

First Name: Principal

Last Name: User

Email Address: Principal.user@email.com

Show 10 Search in 4 records

Select	First Name	Last Name	Email Address	Firm Status
<input checked="" type="checkbox"/>	User	One	User.One@email.com	Enabled
<input type="checkbox"/>	User	Two	User.Two@email.com	Enabled
<input type="checkbox"/>	User	Three	User.Three@email.com	Enabled
<input type="checkbox"/>	User	Four	User.Four@email.com	Enabled

Prev 1 Next

Cancel Save

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

Reassign Principal User

You have selected to re-assign the Principal User role. Do you wish to continue?

No Yes

Assign the Principal User role to a new user

From the Connect homepage:

- Click on **Manage Users**

Connect

Home

Start an Application

Latest Updates

Manage Users

Pre-Application Meetings

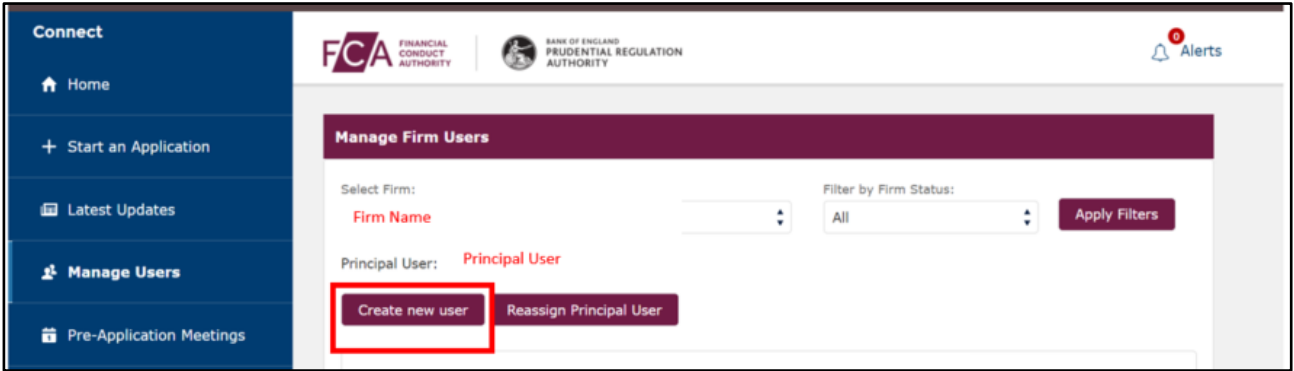
Latest Updates

Connect Latest Updates 20 Oct, 2020

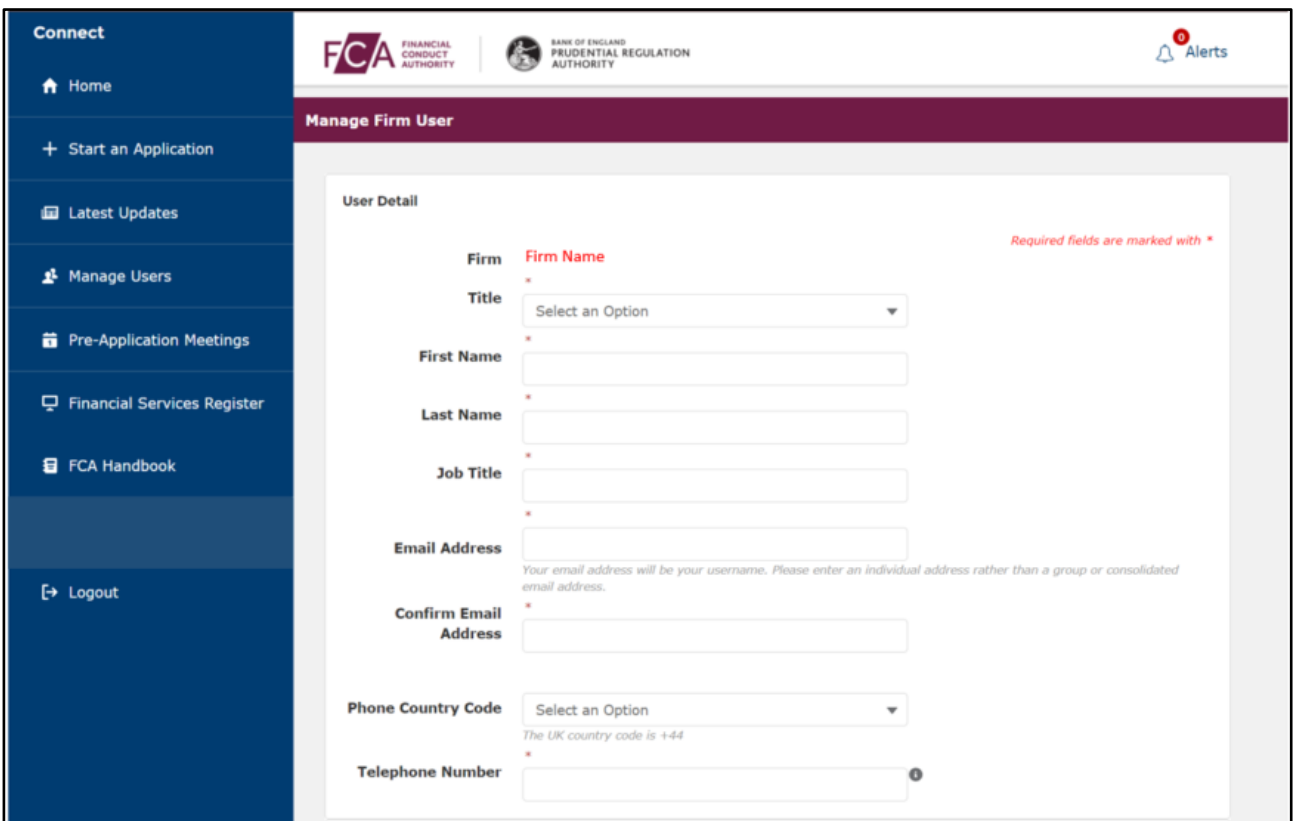
Connect Latest Updates 2 20 Oct, 2020

See More

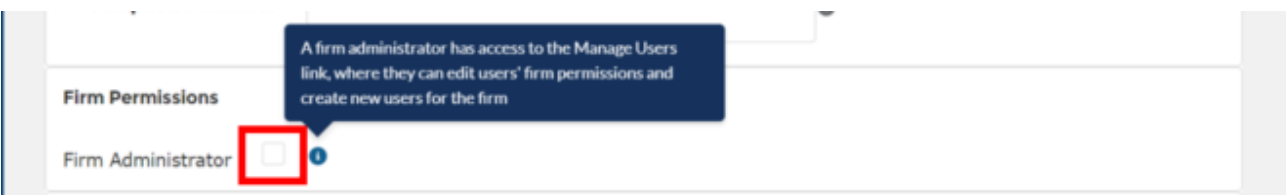
- Select **Create new user**



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

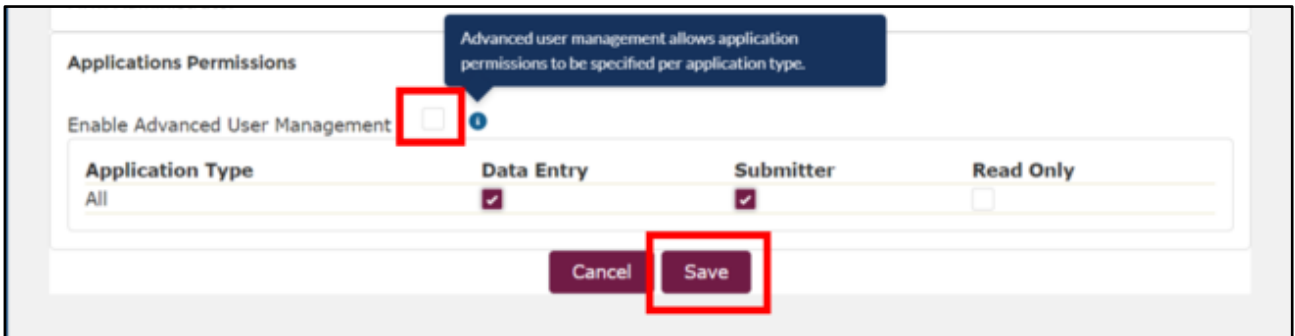


- Tick the **Firm Administrator** box to grant the new user access to the Manage Users link, where they can edit users' firm permissions and create new users for the firm



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

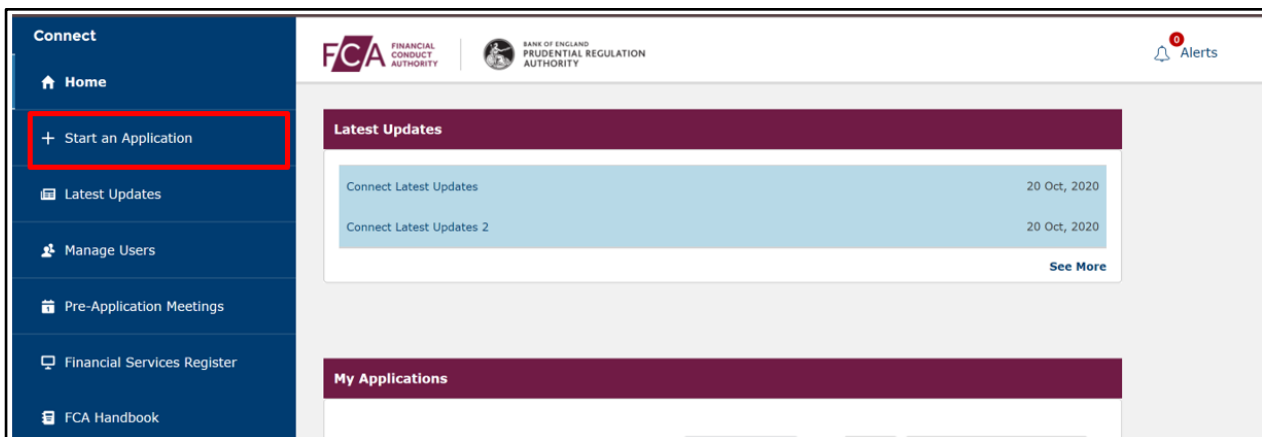
- Then click **Save**



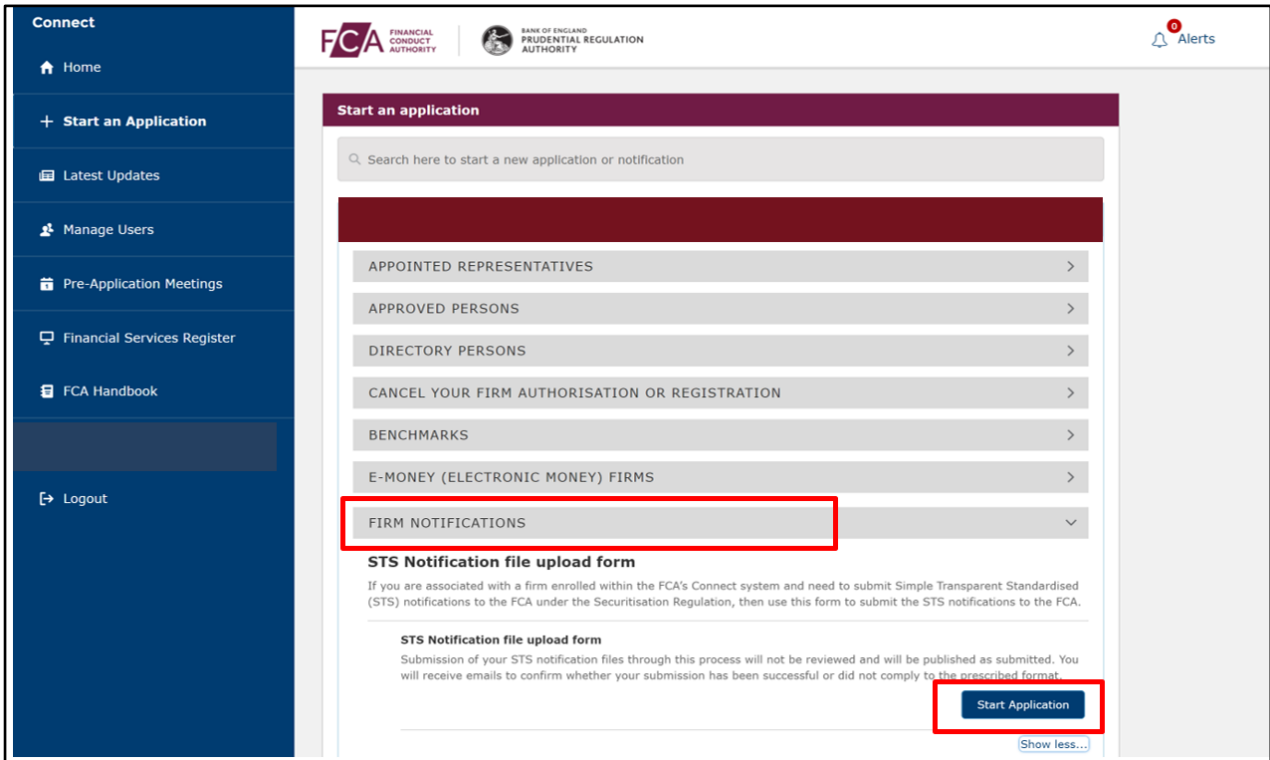
3. Submitting STS Notifications

From the Connect homepage:

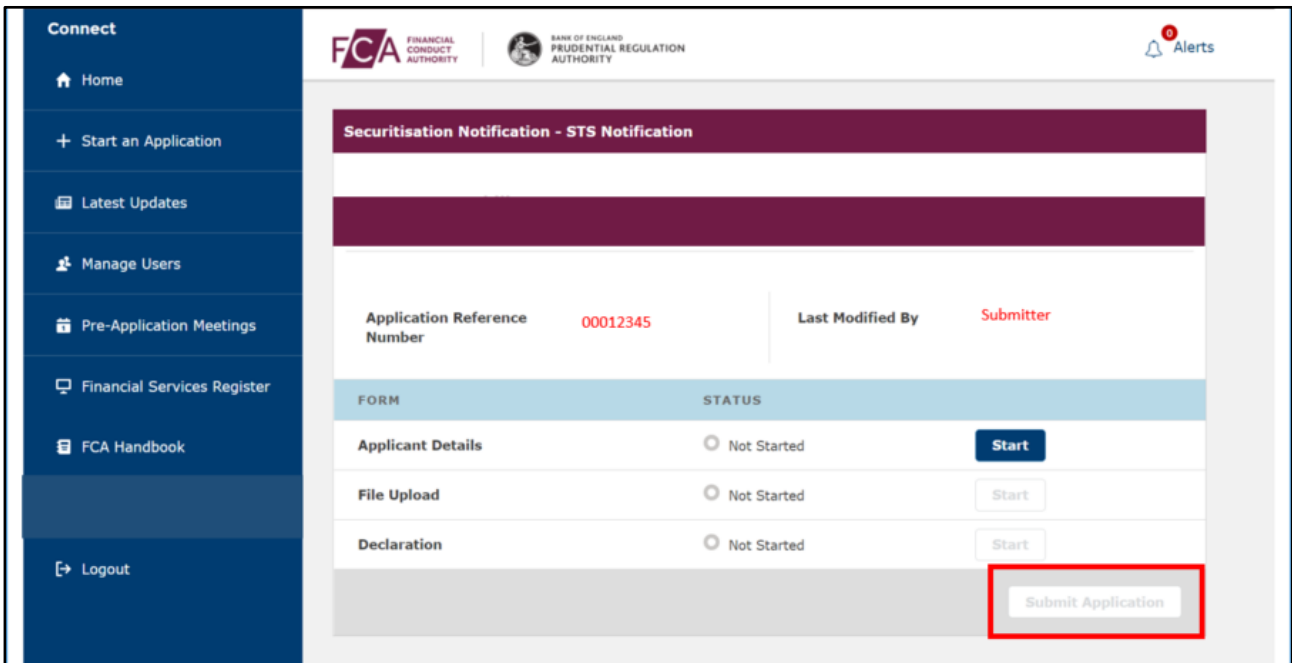
- Select **Start an Application**
- If you report for more than 1 firm, you will see your Firm Selection screen
- **Select the firm** you wish to submit STS Notifications on behalf of



- 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.

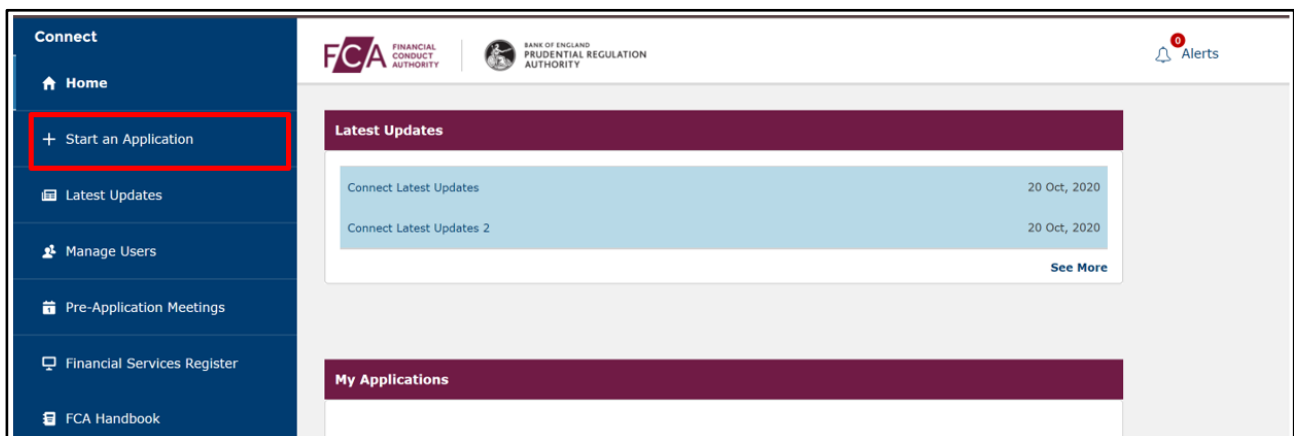
The form asks for details of the firm seeking to enrol and for details on individuals at the firm that will submit STS notifications on behalf of the firm.

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**

Connect

- Home
- + Start an Application**
- Latest Updates
- Manage Users
- Pre-Application Meetings
- Financial Services Register
- FCA Handbook
- Logout

Start an application

Search here to start a new application or notification

- APPOINTED REPRESENTATIVES >
- APPROVED PERSONS >
- DIRECTORY PERSONS >
- CANCEL YOUR FIRM AUTHORISATION OR REGISTRATION >
- BENCHMARKS >
- E-MONEY (ELECTRONIC MONEY) FIRMS >
- FIRM NOTIFICATIONS >
- PASSPORTING >
- PAYMENT SERVICES FIRMS >
- UPDATE OR ATTEST TO YOUR FIRM DETAILS >
- VARY YOUR PERMISSION (VOP) >

These are the applications that do not require selection of a firm. You can use the below applications to authorise a new firm, notify FCA etc.

- AIFMD >
- AUTHORISE OR REGISTER A NEW FIRM >**
- BENCHMARKS >
- CHANGE IN CONTROL >
- COMMODITIES LIMIT EXEMPTION >
- FUND OR FUND MANAGERS (INCLUDING NATIONAL PRIVATE PLACEMENT REGIME) >
- NOTIFICATIONS >
- SENSITIVE BUSINESS NAMES >
- TEMPORARY PERMISSIONS (EU WITHDRAWAL) >
- WAIVERS MODIFICATIONS AND CRR PERMISSIONS >

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

AUTHORISE OR REGISTER A NEW FIRM ▼

New Authorisation

Create and submit FSMA New Authorisation (including Consumer Credit activities, Claims Management & Benchmark Administration applications), Registered Account Information Service Provider (RAISP), Small Payment Institution (SPI), Authorised Electronic Money Institution (AEMI), Small Electronic Money Institution (SEMI), Authorised Payment Institution (API) and Money Laundering New Registration

[Show more...](#)

Client Assets Audit Firm Registration

Create and submit a Client Assets Audit Firm Registration application.

[Show more...](#)

Non-regulated Firm Enrolment

If you are a firm that is not regulated by FCA but needs to submit notifications to FCA for European Market Infrastructure Regulation (EMIR), then use this application to enrol the firm with FCA. If you have already enrolled through CASS Audit Firm registration, there is no need to enrol again.

[Show more...](#)

Enrolment for Firm that is not authorised (Securitisation)

If you are a firm that is not authorised by the FCA or the PRA but needs to submit Simple Transparent Standardised (STS) notifications to the FCA under the Securitisation Regulation, then use this application to enrol your firm with the FCA. If you have already enrolled through European Market Infrastructure Regulation (EMIR) or CASS Audit Firm enrolment, there is no need to enrol again.

Enrolment for Firm that is not authorised (Securitisation)

Submission of your firm's details through this process will be reviewed and you will receive emails to confirm progress at various stages through this process. Completion of the enrolment process will allow you to submit STS notifications on behalf of your firm.

[Start Application](#)

[Show less...](#)

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**

The screenshot shows the FCA's 'Firm Enrolment' application interface. On the left is a dark blue sidebar with navigation options: Home, Start an Application, Latest Updates, Manage Users, Pre-Application Meetings, Financial Services Register, FCA Handbook, and Logout. The main content area has a white background with a dark blue header for 'Firm Enrolment'. Below the header is a checklist icon. The application details show 'Application Reference Number' as 00012345 and 'Last Modified By' as Submitter. A table lists the application forms and their status:

FORM	STATUS	Start
Firm Search and Firm Details	<input type="radio"/> Not Started	<input type="button" value="Start"/>
Applicant Details	<input type="radio"/> Not Started	<input type="button" value="Start"/>
Declaration	<input type="radio"/> Not Started	<input type="button" value="Start"/>

At the bottom right, a 'Submit Application' button is highlighted with a red rectangular box.

- 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**