

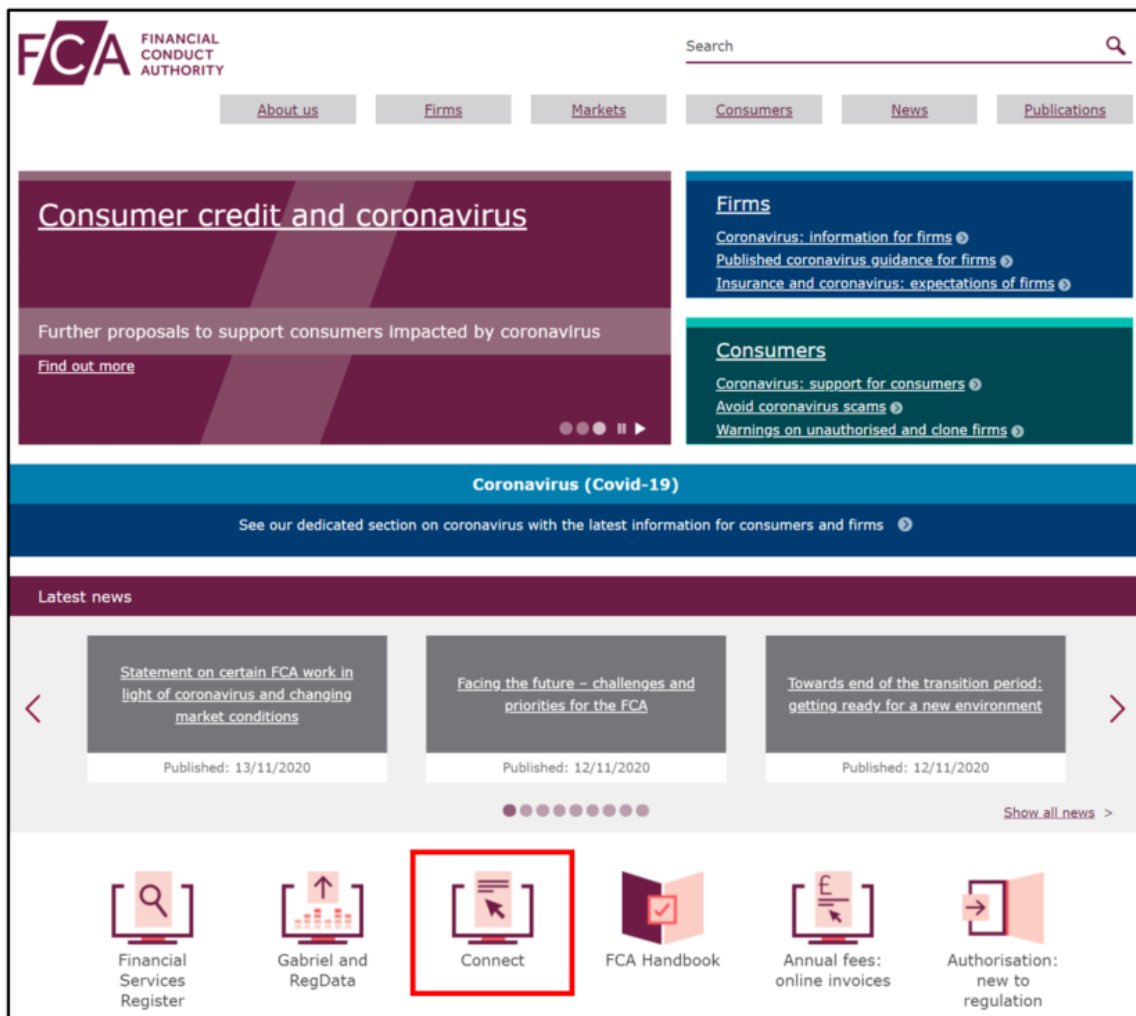
STS Notifications user guide

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

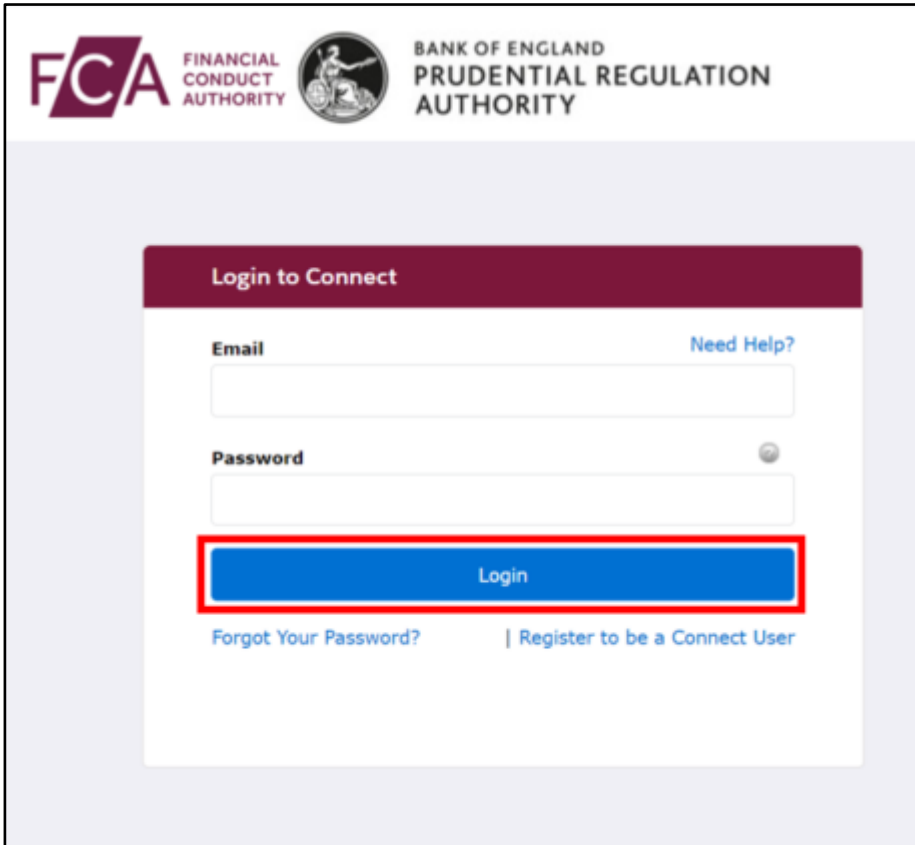


- On the Connect landing page, you will find helpful information and guidance before you log in

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

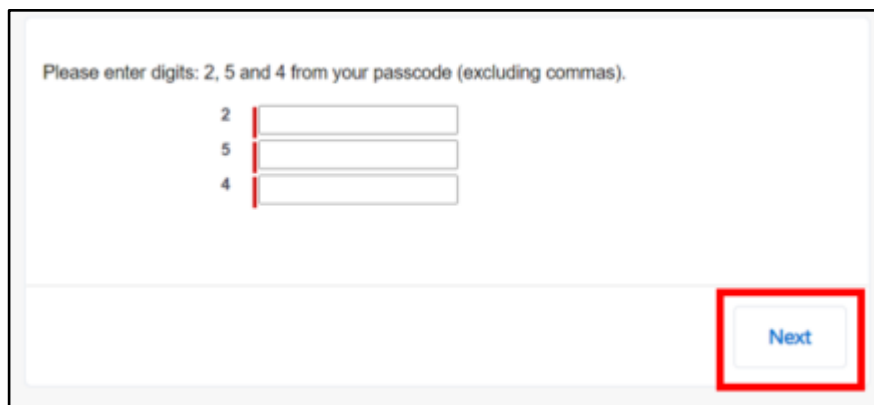
Existing Connect Users

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



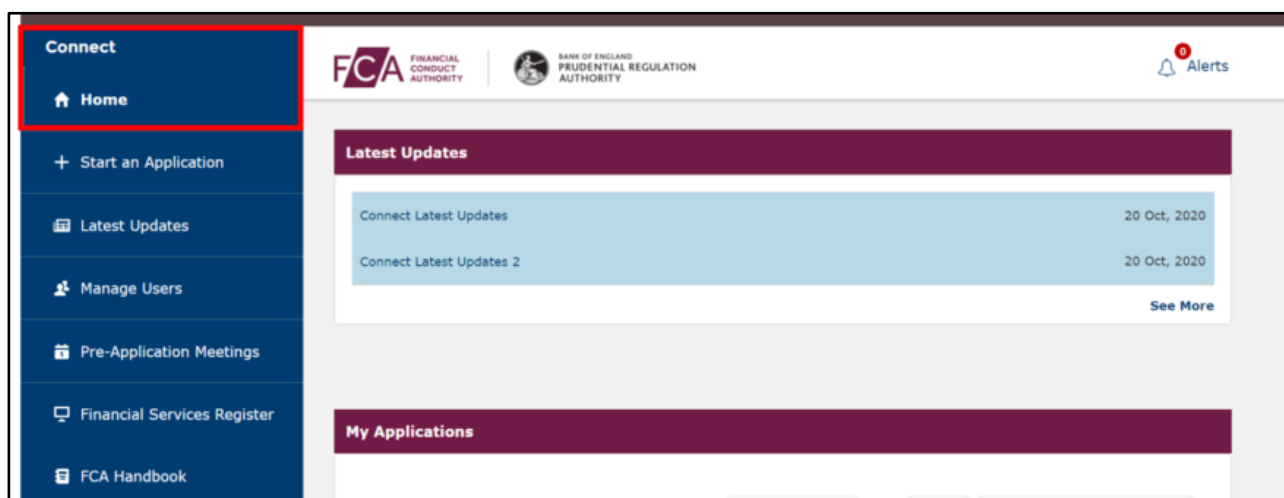
The screenshot shows the 'Login to Connect' interface. At the top, the logos for the Financial Conduct Authority (FCA) and the Bank of England Prudential Regulation Authority are displayed. Below the logos is a white box with a maroon header that says 'Login to Connect'. Inside this box, there are two input fields: 'Email' and 'Password'. To the right of the 'Email' field is a link that says 'Need Help?'. Below the 'Password' field is a small eye icon. A blue 'Login' button is positioned below the password field and is highlighted with a red rectangular border. At the bottom of the white box, 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 passcode verification screen. At the top, it says 'Please enter digits: 2, 5 and 4 from your passcode (excluding commas)'. Below this text are three input fields, each preceded by a red vertical bar and the digit it corresponds to: '2', '5', and '4'. 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**

The screenshot shows the 'Login to Connect' interface. At the top, the FCA (Financial Conduct Authority) and Bank of England Prudential Regulation Authority logos are displayed. The main content area is a white box with a maroon header that says 'Login to Connect'. Below this header, there are two input fields: 'Email' and 'Password'. To the right of the 'Email' field is a blue link that says 'Need Help?'. Below the 'Password' field is a blue button that says 'Login'. At the bottom of the login box, there are two links: 'Forgot Your Password?' on the left and 'Register to be a Connect User' on the right. The 'Register to be a Connect User' link is highlighted with a red rectangular border.

- **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:

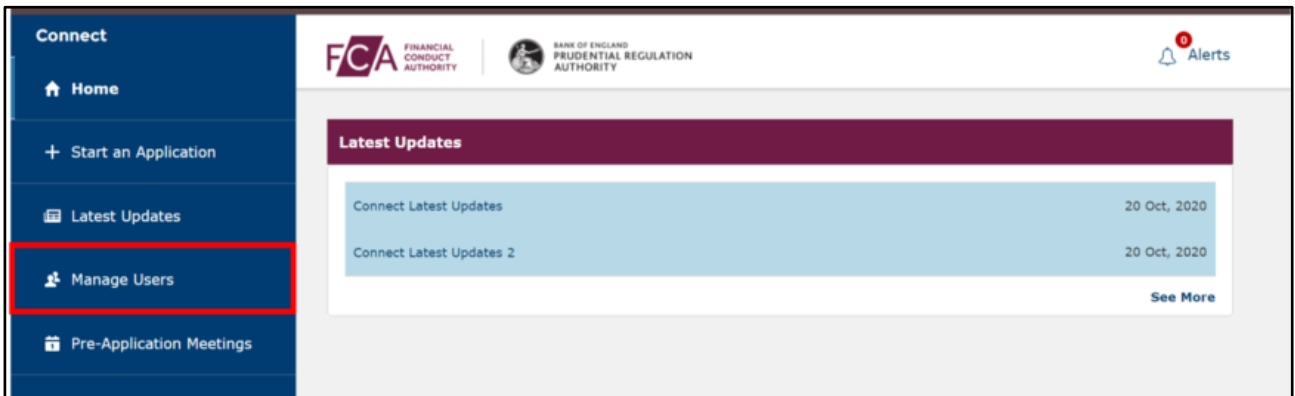
- an existing user, or

- a new user

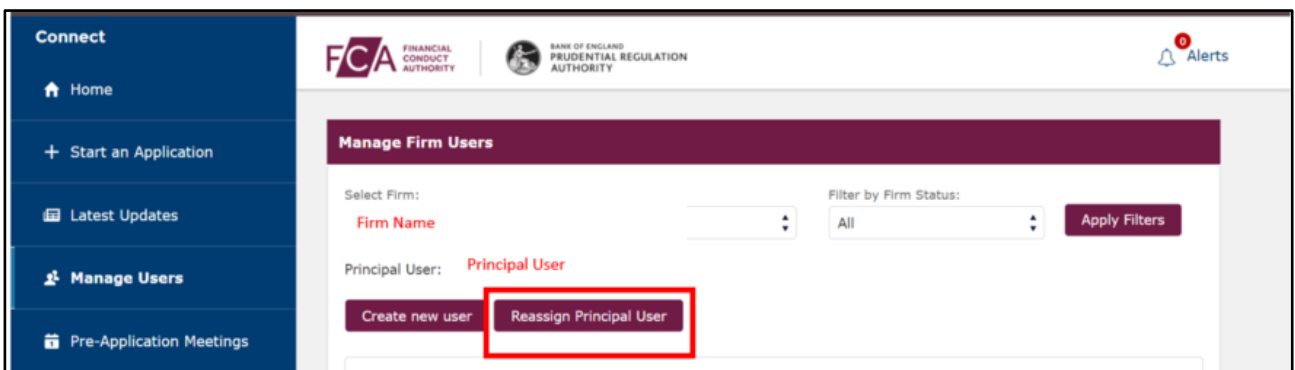
Assign the Principal User role to an existing user

From the Connect homepage:

- Click on **Manage Users**



- Select **Reassign Principal User**



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

Connect

Home

+ Start an Application

Latest Updates

Manage Users

Pre-Application Meetings

Financial Services Register

FCA Handbook

Logout

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Alerts

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
☒	User	One	User.One@email.com	Enabled
☐	User	Two	User.Two@email.com	Enabled
☐	User	Three	User.Three@email.com	Enabled
☐	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**

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Alerts

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**

Applications Permissions

Advanced user management allows application permissions to be specified per application type.

Enable Advanced User Management ☒

Application Type	Data Entry	Submitter	Read Only
All	☒	☒	☐

Cancel 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

Connect

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Latest Updates

Connect Latest Updates 20 Oct, 2020

Connect Latest Updates 2 20 Oct, 2020

[See More](#)

My Applications

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

Connect

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- Manage Users
- Pre-Application Meetings
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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**

STS Notification file upload form

If you are associated with a firm enrolled within the FCA's Connect system and need to submit Simple Transparent Standardised (STS) notifications to the FCA under the Securitisation Regulation, then use this form to submit the STS notifications to the FCA.

STS Notification file upload form

Submission of your STS notification files through this process will not be reviewed and will be published as submitted. You will receive emails to confirm whether your submission has been successful or did not comply to the prescribed format.

Start Application

Show less...

- 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**

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Securitisation Notification - STS Notification

Application Reference Number: 00012345 | Last Modified By: Submitter

FORM	STATUS	
Applicant Details	Not Started	Start
File Upload	Not Started	Start
Declaration	Not Started	Start

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.

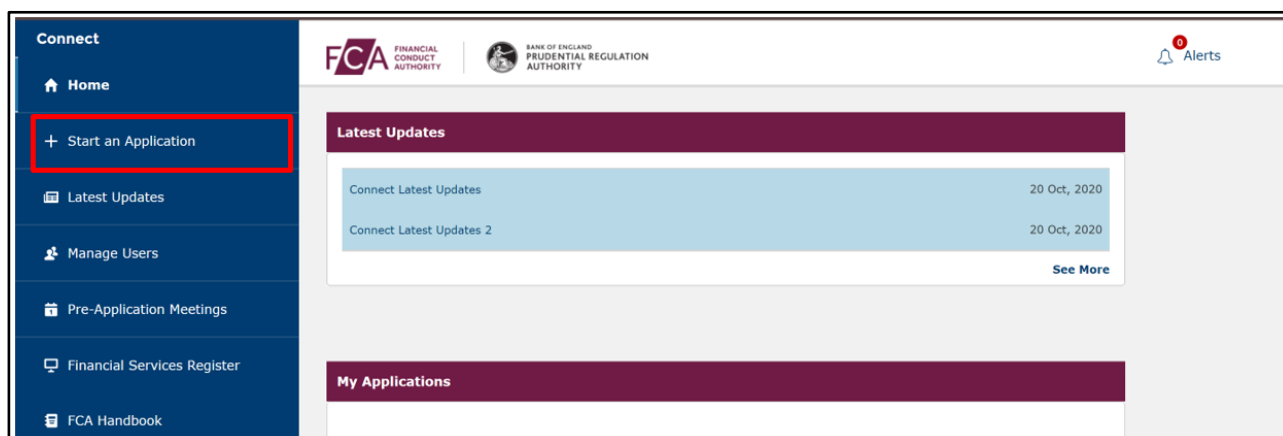
The form asks for details of the firm seeking to enrol and for details on individuals at the firm that will submit STS notifications on behalf of the firm.

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.

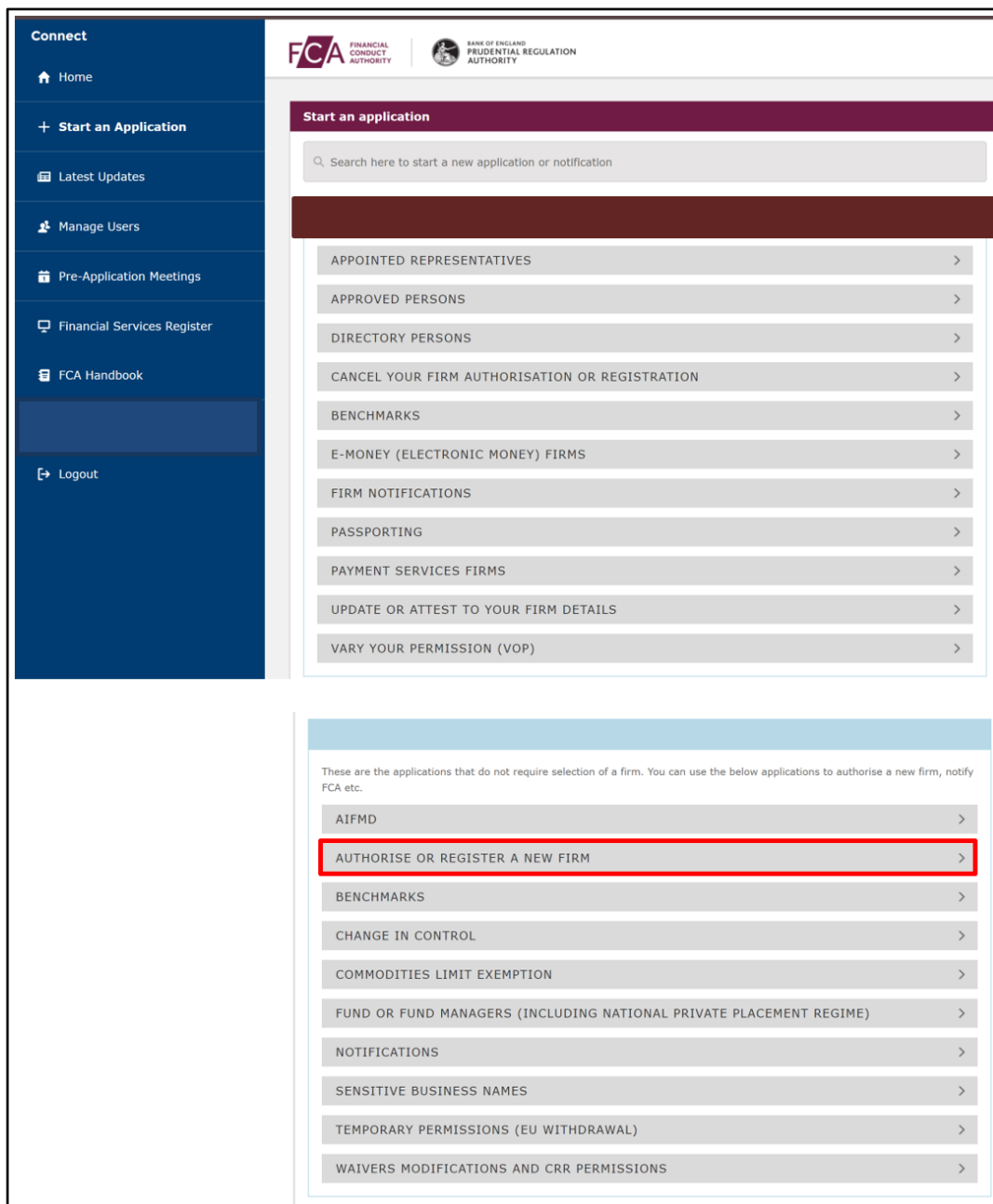
As part of the enrolment process, you will need to check first whether the firm is already enrolled with the FCA. After doing a firm search, and once you have confirmed that the firm is not already enrolled with the FCA, this application will be allowed to progress. Please ensure you have the Legal Entity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



The screenshot shows the FCA 'Start an application' page. On the left is a dark blue sidebar with the 'Connect' header and links for Home, Start an Application, Latest Updates, Manage Users, Pre-Application Meetings, Financial Services Register, FCA Handbook, and Logout. The main content area has a purple header 'Start an application' and a search bar. Below is a list of application types, each with a right-pointing arrow. The second section, titled '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.', contains another list of application types, with 'AUTHORISE OR REGISTER A NEW FIRM' highlighted by a red rectangle.

Connect

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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**

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Firm Enrolment

✓ Checklist

Application Reference Number: 00012345 | Last Modified By: Submitter

FORM	STATUS
Firm Search and Firm Details	☐ Not Started Start
Applicant Details	☐ Not Started Start
Declaration	☐ Not Started Start

[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**