

Connect OFR Registration User Guide

Overseas Funds Regime Registration and Enrolment

This user guide will help you;

- Register for Connect as a New User
- Submit the **Overseas Operator Enrolment** application on Connect and become the **Principal User (PU)** for your firm.

Use this Guide if you are;

- An Existing Operator, that has been assigned a landing slot to make an application in respect of your Recognised EEA (European Economic Area) UCITS in TMR to the OFR (Overseas Funds Regime).
- An Overseas Operator looking to apply to the FCA for recognition of a qualifying fund under OFR.

Register for Connect as a New User

Before you start:



Only **One** application should be submitted per **Operator**. There can only be one **PU** for a firm at any time. Additional users will need to be added once the Operator's application has been approved.

Information regarding **Connect**, video tutorials and user guides can be found [here](#).

Information regarding the **Multi-factor Authentication System** and how it works can be found [here](#).

Information on how to [Track my Application](#).



You will firstly need to go to the FCA website for connect registration and click on "Register for access to Connect as an unauthorised firm"

[Register for access to Connect as an unauthorised firm](#)



You will fill in your details on the **"New User Registration Page"** and click **"Submit"**.



FCA CONNECT - New User Registration Page

User Detail

Required fields are prefixed with a red line

Title ▼

First Names

Last Name

Job Title

Email Address
Your email address will be your username. Please enter an individual address rather than a group or consolidated email address.

Confirm Email Address
The contact information of your firm.

Phone Country Code ▼
The UK country code is +44

Telephone Number

Mobile Number

Fax

Security Question ▼

Security Question Answer
Answer must be greater than 6 characters.

☐ I'm not a robot  reCAPTCHA
[Privacy](#) [Terms](#)

For further information about how to complete the above challenge or if you are experiencing difficulties, please refer to [Google reCaptcha support](#).



These details must belong to you. Accounts should not be made for "generic" mailboxes or used as a "shared" account.

These details will be used to pre-populate the **"Applicant Details"** section of future applications.

You will then shortly after receive an automated email with a link to set up your password and the **Multi-Factor** authentication system.

Information for a Principal User



After you have registered for Connect and if you become the Principal User for your firm, you should make sure that:

- Access to Connect is only given to individuals that have the authority to amend and submit applications
- Appropriate access rights are given to users for the functions they need on Connect
- Staff user accounts are disabled when users no longer need access to Connect

Further information on user management can be found [here](#).

How to submit the **Overseas Operator Enrolment** application on Connect.

Important information to note;



- If your application is approved, you will become the principal user of your firm and you will be able to add further users if required.
- As this application is to register your firm into OFR, no other user will be able to view or make amendments to it.

Before you start;

This form must only be submitted by yourself if you have the appropriate authority to Register your firm for recognition in the UK and become the Principal User (PU).

You must be in a position to confirm that you are an employee or director of your firm and not a third party.

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

- Legal Entity Identifier (LEI) of the firm; or, the FCA issued Firm Reference Number (FRN) if applicable.
- Firm details (Registered firm name and contact details, Regulator details and website page demonstrating the firm's registration)

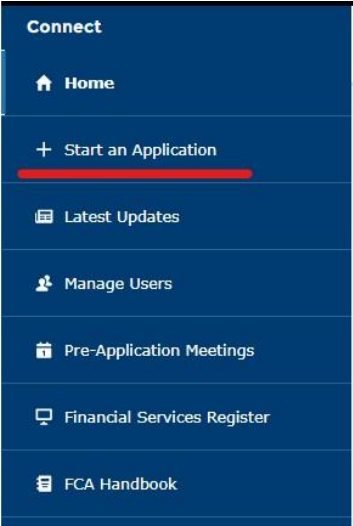
Please use the [FCA Register](#) to obtain your FRN.

Once you have submitted your application and it has been approved you will receive an email confirming you have been registered as the Principal User (PU) of your firm. The PU permissions include the ability to re-assign the PU to another user, to add and edit users, and the ability to de-recognise the firm from our records.

Further information on PU permissions and Connect administration can be found on our [help guide](#).



In the event you leave your firm, as the Principal User on Connect, you will need to ensure that the permission is transferred to another Firm User, who is also an employee or Director. Details on how to do so can be found in the [user management guide](#).



1 Locating the Form

When you are logged into Connect, you will see a blue column on the left side of your screen which will have several options to choose from. You will need to click on **"Start an application"**.

Through the list of FCA Applications, click the arrow next to **"Authorise or Register a New Firm"**, then **"show more"** under the text for **"Overseas Operator / Fund Management Company Firm Enrolment"** and lastly **"Start Application"**.

[Show more...](#)

Overseas Operator / Fund Management Company Firm Enrolment
Investment funds established outside the UK must be recognised in the UK to be marketed to the general public. Funds established in countries other than the UK must be recognised by us, the Financial Conduct Authority (FCA), under section 271A FSMA (Overseas Funds Regime); section 272 FSMA or must be entered into the temporary marketing permissions regime (TMPPR).

If you are a firm that is not regulated by the FCA but wants to submit one of the above notifications, use this application form to enrol your firm with the FCA.

Firm Enrolment
Completion of the enrolment process will allow you to submit Overseas Funds Regime (OFR) notifications on behalf of your firm.

[Help](#) [Start Application](#)

Before you start

This form must be submitted by a person ('The Applicant') with the appropriate authority to Register the firm for recognition in the UK and become the Principal User (PU).

They must be in a position to confirm they are an employee or director of the firm and not a third party.

The Applicant needs the following details to complete the next steps:

- Legal Entity Identifier (LEI) of the firm; or, the FCA issued Firm Reference Number (FRN) if applicable.
- Firm details (Registered firm name and contact details, Regulator details and website page demonstrating the firm's registration)

Please use the [FCA Register](#) to obtain your FRN.

Post this notification, the Applicant will receive a notification, confirming they have been registered as the Principal User (PU) of the firm. The PU permissions include the ability to re-assign the PU to another user, to add and edit users, and the ability to de-recognise the firm from our records.

Further information on PU permissions and connect administration can be found on our [help guide](#).

[Start Application](#)

A text box will open titled **"Before you start"**. Once the information has been read, click **"Start Application"**.

This information can be viewed again under the **"Checklist"** button at any time.

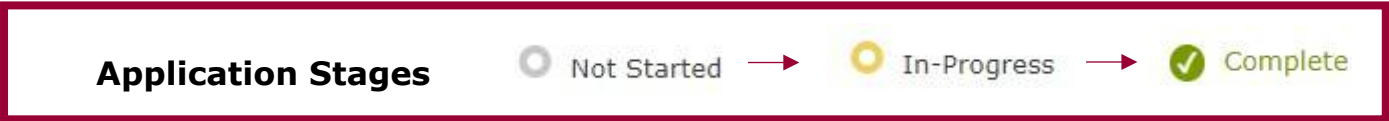
2 Navigating through the Form

There will be 3 sections within the Firm Enrolment application.

- **Firm Details**
- **Applicant Details**
- **Declaration**

You can view the Application Reference Number as well as use the **“Help”** and **“Checklist”** buttons. The **“Submit Application”** button will be greyed out until all 3 sections have been marked as **“Complete”**

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



Current Status: In-Progress | Last Modified By: Janine Lovey

Step 1 (active) | Step 2

Buttons: Back to Application, Previous, Save, Save and Next

Search By: ☐ FRN ☐ LEI

Using the **“Back to Application”** button will take you to the **“Firm Enrolment”** page as seen above.

Using **“Previous”** will help you navigate between Step 1, 2 etc. within a section.

“Saving” will save and store the information you have entered without validating it so you can exit the form and come back.

“Save and Next” will save the information you have entered, validate it and take you back to the **“Firm Enrolment”** page if there are no errors.

3 “Firm Details” Step 1

* Search By

☐ FRN

☐ LEI

There will be the option to search for your firm using the **Firm Reference Number (FRN)** or a **Legal Entity Identifier (LEI)**. This section will be used as the **Business Address** for your firm and we will publish this on the **Financial Services (FS) Register**.

A **FRN** can only be used if your firm is known to the FCA as an **“Operator”** under **TMPR**. When the correct firm has been found and after clicking **“Confirm”**, the details as held by the FCA will pre-populate the form.



FRNs for Authorised Firms or those Marketing under NPPR cannot be used.

TMPR Operators that are already known to the FCA will appear on the FS register as seen here.

Where an **Operator** has an **FRN under TMPR**, this must be used instead of an **LEI**.

When using a **LEI**, if it is connected to a Firm known to the FCA as an **“Operator”** under **TMPR**, then the details will pre-populate the form with those held in our records.

Firm	
FRN	Name
123456	Operator Firm
Confirm	



GLEIF manages a network of partners, the LEI issuing organizations, to provide trusted services and open, reliable data for unique legal entity identification worldwide.

For Operator firms not known to the FCA, the **LEI** used will cross reference **GLEIF** and pre-

Firm status

Check this firm's status and any additional regulatory information.

Status

Authorised Schedule 5 - Operator/depositary/trustee of a temporary recognised scheme

To learn more about this firm and how it is regulated check the full record especially any regulated activities, and any current sub-statuses, restrictions or suspensions.

Sub status

Operator/depositary/trustee of a temporary recognised scheme

Type

Operator

populate the form based on the information available on their platform. This information can be amended.

If an application has already been submitted for your firm, you will be presented with an error message and instructions on what to do next. **“Firm Details” Step 1 (continued)**

The address used for your firm

For Firms **not** will be editable.



For Firms cannot be is incorrect, on the below



Email:

From the UK :
From Abroad : +44 207 066 1000

Firm Details

* Firm Name

Example

FCA Firm Reference Number (FRN)

123456

Firm LEI

1234567890

Firm Address

Building Name/Number

Address Line 1

12 Endeavour Square

Address Line 2

Address Line 3

Address Line 4

Town/City

London

County (if applicable)

Post Code

E20 1JN

Country

UNITED KINGDOM

Phone Number Country Code

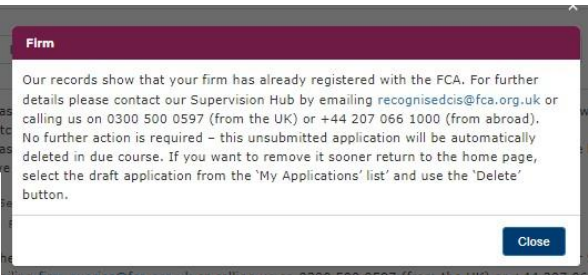
+44

Phone Number

300 500 0597

Email Address

recognisedcis@fca.org.uk



must be the **Business Address**

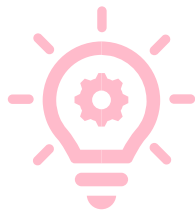
known to the FCA, the fields

known to the FCA, the fields edited. If any of the information you will need to contact the FCA details.

firm.queries@fca.org.uk

0300 500 0597

“Firm Details” Step 2



- If your Home State Regulator has a website that shows your firm’s authorisation, The URL must be entered and display an “Active” status.
- The Regulators name must be entered in full, with no abbreviations.
- E.G “Financial Conduct Authority”, not “FCA”

Firm Details

Current Status

In-Progress

Last Modified By

Janine Lovey

Step 1

Step 2

Back to Application

Previous

Save

Save and Next

Please provide the URL to your home state regulators register confirming your regulatory status.

Regulator Name

Back to Application

Previous

Save

Save and Next

4

“Applicant Details”

Application Timings

The first question will ask if there are any **Timing Factors** that should be considered by the **Case Officer**.

This question provides DropDown options, **“Yes”** & **“No”**.

If **“Yes”** is selected, further information boxes will appear to enter in the appropriate **Date** and the **Reasoning** as demonstrated above.

We (the FCA) will always review the Applications as quickly as possible.

Applicant Details

Use this section to provide the information required about the applicant and any timing factors that it would like us to consider for your application

Application Timings

* Does the applicant have any timing factors that it would like us to consider?

Yes

If Yes, please enter date required?

01-May-2024

* Please provide an explanation for the timing date requested

 Applicant Details

 Applicant Details

Title

First Name(s)

Janine

Last Name

Lovey

Mobile Number

* Email Address

janine.lovey@fca.org.uk

Applicant Details.

These fields will automatically be populated with the details of your **Connect User Profile**, which you entered initially when creating your account.

These details will be used by the **Case Officer** to contact you if there are any additional questions.

Beneath the **Applicant Details**, another **Drop-Down box** will be available to confirm that the **Operator** has not been subject to **Sanctions** by their **Home State Regulator**. If **“No”** is selected, an information box will be made available.

* Please confirm that neither you or your firm are under investigation by your Home State Regulator or have any supervisory sanctions imposed or voluntary restrictions agreed within the past five years.

No

* Please provide details of any supervisory sanctions imposed or voluntary restrictions agreed within the past five years.

5

“Declaration”

This section will outline the **Declaration** of the form which you will need to review and confirm. You will do this by clicking the **Check Box** provided.

Declaration

Current Status

In-Progress

Last Modified By

Janine Lovey

Back to Application

Previous

Save

Save and Next

Declaration

I confirm that the information provided in this application is accurate and complete to the best of my knowledge and that I have read any notes to this form. I will notify the FCA immediately if there is a material change to the information provided.
For the purposes of complying with data protection legislation, please read our privacy notices:
FCA’s privacy notice <https://www.fca.org.uk/data-protection>
Bank of England’s privacy notice <https://www.bankofengland.co.uk/prudential-regulation/authorisations>
These notices will tell you what to expect when the FCA and/or the Bank of England collects personal information, including how and why we use your personal information and who to contact if you have any queries or wish to exercise your rights.

Review & Confirmation

* ☐ I confirm that a permanent copy of this application, signed by myself and the signatories, will be retained for an appropriate period, for inspection at the FCA/PRA’s request.



- The **Signature Date** must be the date of submission.
- Additional Signatories can be added by clicking **“Add Another Signatory”**

Authorised Signatory

This section will be completed partially within the form and with the expectation that it will be printed, signed by the authorised Signatory and then stored.

Authorised Signatory

Authorised Signatory 1

* Signatory Name

Janine Lovey

* Signatory Position

* Signature Date

02-May-2024

Signature (to be signed on the printed version only)

Add Another Signatory

Submit Application

When all three sections have been completed, the **“Submit Application”** button will become available. Another text box will appear for your **Final Confirmation**.

FORM	STATUS	
Firm Details	✔ Complete	Edit
Applicant Details	✔ Complete	Edit
Declaration	✔ Complete	Edit
Application is ready for submission.		Submit Application

Confirm Submit Application

Once the submission of your application/notification has completed, you will remain on the Application Home Page. Here you will be able to select each section of the submitted application/notification and print the hard copies. The application/notification is to be signed by designated signatories and kept for your records. Please use the Application Reference Number in any correspondence.

[Cancel](#)[Submit](#)

Once **“Submitted”**, the screen will return to the **“Firm Enrolment”** page.

Firm Enrolment

[? Help](#) [✓ Checklist](#) [Download PDF](#)

Application Reference Number0003678878

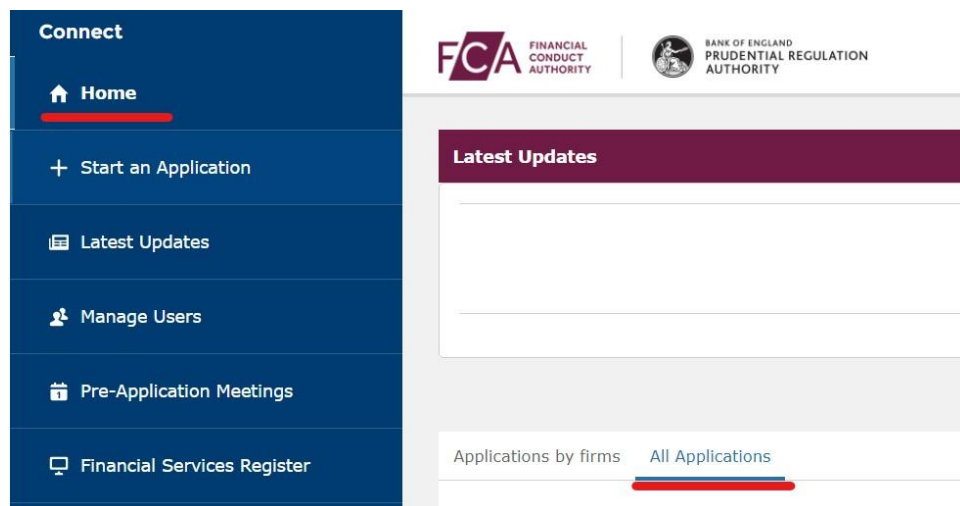
Last Modified ByJanine Lovey

FORM	STATUS	
Firm Details	✔ Complete	View
Applicant Details	✔ Complete	View
Declaration	✔ Complete	View



- The “Edit” buttons will have changed to “View”
- The “Download PDF” option will be available, which will provide a copy of the application.

If you need to re-visit your application at any point you can do so via the "Home" Button and clicking on the relevant Application under **"Application Number"** and lastly, **"View Application"**



Enrolment FAQs

Q. What happens Next?

A. An email confirming receipt of the application will be sent which will include the Application Reference number (ARN) as well as the Case Reference Number (CRN).

Once the application has been assigned to a case officer, you will receive an email with either additional questions or an email to confirm the decision reached.

Q. What happens if the case is approved?

A. You will receive an email to confirm the application has been approved and that you have been assigned as the Principal User (PU)

Q. Do you need to keep a physical copy of my application?

A. Yes. It is outlined in the Declaration that the Firm must print out a physical copy and sign it for record keeping. It may be requested in future or referred to for security.

Q. What details should be used for the "Firm details?"

A. Details entered will be published on the FS Register. The Address Details used must be applicable to the Firm's Business Address and the contact details need to be appropriate for UK Investors if they wish to contact you and discuss any of the funds you market under OFR.

Q. What if the Operator does not have a LEI?

A. Contact RecognisedCIS@fca.org.uk with your Firm Name, explaining the above to get further assistance.

Q. What if the Operator's LEI is not on GLEIF?

A. Contact RecognisedCIS@fca.org.uk with your Firm Name and LEI, explaining the above to get further assistance.

Q. I have used a FRN/LEI of a firm known to the FCA and the details are wrong, how do I amend them?

A. If they are incorrect, please contact via email firm.queries@fca.org.uk or Call 0300 500 0597 (from the UK) / +44 207 066 1000 (from abroad).

Q. I have submitted my application but the details are wrong, what do I do?

A. If they are incorrect, send a reply to the email acknowledging receipt of your application. This will go straight to the case officer.