TeX Register Data Dictionary

This document was created to help facilitate the member in updating their company profile on the TeX Register.

Your company admin is responsible to keep this information up to date and we advise you carry out regular checks to ensure information supplied is still relevant.

You can update your information by logging into your account here https://register.tisaexchange.co.uk/

Contacts		
BAU Contact	Mandatory	The person to whom TeX/other members should refer business as usual matters
Relationship Manager	Mandatory	The key contact for TeX matters - must not be a group email address
Escalation 1st Tier	Mandatory	First tier (Operational Team) - the person to whom TeX/other members should refer operational matters but must not be a group email address or the same details as 2nd tier escalation
Escalation 2nd Tier	Mandatory	Second tier (Senior Management) - the person to whom TeX/other members should refer unresolved or escalation issues but must not be a group email address or the same details as escalation 1st tier.
Agent	If applicable	An agent appointed by the applicant who will deal with TeX and with other members of TeX in relation to TeX
Agent (UK)	If applicable	If the Applicant's office is outside the UK details of the agent who will deal with TeX and with other members of TeX in relation to TeX.

Field on Tex Register	Mandatory	TeX register order	Description	Editable by admin?	Data Type	Example
			INFORMATION NOT SUPPLIED is the default applied to all fields, you are required to update this information against your company profile. If the field does not apply then please change to N/A.			
Name	Mandatory	0	Name of Entity/Brand to appear on the TeX Register. This is how other TeX members will identify this company on the TeX Register so must be unique. If you are an ACD or similar structure (registering a company under an umbrella) then please include this in the name e.g. Link Fund - company name	NO	Text	
Brand name	Optional	1	This will assist TeX members in identifying this company on the TeX Register	YES	Text	200 Characters
Street address	Mandatory	2	Companies/LLPs should give their registered office address (or the address where any mail should go to)	YES	Text	
Town	Mandatory	3	Town	YES	Text	
Postcode	Optional	4	Postcode	YES	Text	

Field on Tex Register	Mandatory	TeX register order	Description	Editable by admin?	Data Type	Example
TeX Membership Type	Mandatory	5	The member category. The categories of membership are: Service Provider; Asset Manager; Multi-Role Member (i.e.. both of the previous categories operating under one legal entity) or Pension Provider. **Service Provider**: a firm who is a product provider (other than an operator of a regulated collective investment scheme or an investment trust savings scheme as described in paragraph (iii) of the FCA Handbook's definition of product provider), an ISA manager (providing funds from more than one fund manager) or a platform service provider (as defined by FCA). A firm falls into the Service Provider category if they meet the FCA definition of a Platform Service as a service which: (a) involves arranging and safeguarding and administering assets; and (b) distributes retail investment products which are offered to retail clients by more than one product provider; but is neither: (c) solely paid for by adviser charges; nor (d) ancillary to the activity of managing investments for the retail client. **Asset Manager**: a firm who is responsible for the maintenance of a fund's register of holders and repurchasing of units that are to be redeemed. This category also includes fund managers who offer an ISA wrapper which includes only their own funds. **Multi-Role Member**: if one over-arching company operates both a Service Provider and an Asset Manager, then they can join as a Multi-Role Member. **Pension Provider**: is a party who is responsible for the provision and administration of a Pension Scheme or if one is appointed for the relevant Pension Scheme, the Pension Administrator.	NO	Picklist	Asset Manager, Multi Role, Pension Provider, Service Provider
Membership Reference	Mandatory	6	Unique company membership reference assigned on registration which should be quoted in all correspondence and must be used when submitting MI	NO	Text	AANNNAANANN
Date of entry to TeX Register	Mandatory	7	The date the registration went live on the TeX register	NO	Date	dd/mm/yyyy
Date Suspended	Optional	8	Date of suspension from TeX register	NO	Date	dd/mm/yyyy
Suspension Ended	Optional	9	Date suspension from TeX register ended	NO	Date	dd/mm/yyyy
Solution Provider	Mandatory if Transfer Process is electronic	10	The electronic solution provider used to facilitate transfers.	NO	Picklist	Actuare, Altus, Calastone, EMX, Euroclear, Origo, SWIFT (direct)

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ISA Manager Reference	Mandatory	11	HMRC ISA manager reference number as listed on the authorised manager list - mandatory for TeX members transferring ISAs electronically, usually 5 characters long alpha/numeric.	YES	Text	ANNNN
Company Number	Mandatory	12	Companies House number of the TeX member, this should be the same as the companies house number against your listing on the FCA register, either 8 digit number or 2 letters followed by 6 digits.	NO	Text	NNNNNNN or AANNNNNN
VAT Number	Mandatory	13	A VAT number is a unique ID that HMRC provides to businesses when they register for VAT. In the UK, VAT numbers are nine digits long and always have the prefix 'GB'. If you're dealing with a supplier in another EU country then its VAT number will follow a different format, with its own unique country code. UK VAT number is 9 numeric - may vary internationally.	YES	Text	GB/NNNNNNNNN
FCA or EEA Number	Mandatory	14	Financial Services Firm Reference Number or equivalent EEA Authority Number – If the Applicant is an entity authorised by the FCA/PRA (if established in the UK) or recognised by the FCA/PRA (if established in the EEA but outside the UK). The FRN is the FCA's Firm Reference Number or equivalent EEA Authority number. This is used to ensure that TeX members shown on the TeX Register have the required permissions to support their TeX membership. Where the register entity is a fund e.g. UCITS then the Firm Reference Number of the issuer is provided. Usually a 6 digit number.	NO	Text	NNNNNN

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FCA Register Status	Mandatory	15	TeX checks that members have regulatory permission for at least one of the following activities: Agreeing to carry on a regulated activity Arranging (bringing about) deals in investments Arranging safeguarding and administration of assets Safeguarding and administration of assets (without arranging) Managing a UCITS Managing an authorised AIF Managing an unauthorised AIF Firms may be authorised for specific activities and product type, it's important to check the FCA website for a full record of what regulated activities each firm has permissions to do.	NO	Text	Approved, Authorised, Authorised - applied to cancel, Authorised - applied to change legal status, Authorised - in administration, Authorised by other – not FCA, EEA Authorised - Applied to Cancel, EEA Authorised - Temporary Permission, No longer authorised, Terminated, Appointed Representative
EEA Passport	Optional	16	EEA passport type - The EU passporting system for banks and financial services companies enables firms that are authorised in any EU or EEA state to trade freely in any other with minimal additional authorisation. These passports are the foundation of the EU single market for financial services.	YES	Picklist	BCD, MIFID, UCITS, N/A
Business Entity BIC	Mandatory if Transfer Process is electronic	17	The Business Entity BIC - BIC (Business Identifier Code) is an international standard for routing business transactions and identifying business parties - required for electronic messaging and supplied by your solution provider	NO	Text	12 Characters
SWIFT DN	Mandatory if Transfer Process is electronic	18	Swift DN (Distinguished Name) - required for electronic messaging and supplied by your solution provider	NO	Text	70 Characters
Nominee Name Format	Optional	19	Please provide an example of your standard Nominee name	YES	Text	255 Characters

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Market Practice Version Supported	Mandatory	20	The UKETRG market practice version your system supports. Currently all members are on version 3.2	NO	Text	v3.2
Free Text	Optional	21	Any further information that would be useful/relevant to your entry on the TeX register	YES	Text	255 Characters
Scope	Optional	22	Information on the scope of your transfers	YES	Text	255 Characters
Agent - scope of authority	Optional	23	If you have an appointed agent please outline their scope of authority	YES	Text	255 Characters
Account Number Format	Mandatory	24	Provide details of your standard format(s) for account numbers within this brand. List the Brand/book details, the account number format and an example of account number format	YES	Text	255 Characters
Transfers Process	Mandatory	25	If you are transferring through TeX electronically or manually	NO	Picklist	Manual, Manual and electronic
Preferred Chase Communication	Optional	26	How you would like other firms to communicate with you when chasing up transfer queries	YES	Picklist	Email, Information not Supplied, Telephone, Web Chat
Chase Contact Info / Process	Optional	27	Provide contact details (if different to BAU contact) and any further useful information on how to chase transfer requests	YES	Text	255 Characters
Acquiring GIA	Mandatory	28	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support GIA please choose N/A	YES	Picklist	Manual, Electronic, N/A
Acquiring ISA	Mandatory	29	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support ISA please choose N/A	YES	Picklist	Manual, Electronic, N/A
Acquiring Pension	Mandatory	30	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support Pension please choose N/A	YES	Picklist	Manual, Electronic, N/A
Ceding GIA	Mandatory	31	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support GIA please choose N/A	YES	Picklist	Manual, Electronic, N/A
Ceding ISA	Mandatory	32	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support ISA please choose N/A	YES	Picklist	Manual, Electronic, N/A
Ceding Pension	Mandatory	33	Do you support this product either electronically or manual. If you support both please choose electronic, if you do not support Pension please choose N/A	YES	Picklist	Manual, Electronic, N/A
Partial Wrapper Transfers Supported	Mandatory	34	Do you support part of a portfolio transfer (a customer's whole account containing multiple investments) (either manually or electronically or both)?	YES	Picklist	Yes, No, N/A

Field on Tex Register	Mandatory	TeX register order	Description	Editable by admin?	Data Type	Example
Partial Asset Transfers Supported	Mandatory	35	Do you support the transfer of part of an asset/investment (either manually or electronically or both)?	YES	Picklist	Yes, No, N/A
Encash All Supported	Mandatory	36	Do you as the ceding party accept an electronic instruction to sell all the assets/investments and transfer as cash (either manually or electronically or both)?	YES	Picklist	Yes, No, N/A
Book Costs Supported	Mandatory	37	Do you, as the ceding party, provide book cost details (original purchase price) in the transfer process (this is needed for tax purposes) (either manually or electronically or both)?	YES	Picklist	Yes, No, N/A
LISA Transfer Supported	Mandatory	38	Can transfer a lifetime ISA (either manually or electronically or both)	YES	Picklist	Yes, No, N/A
JISA/CTF Transfer Supported	Mandatory	39	Can transfer a junior ISA and/or Child Trust Fund (either manually or electronically or both)	YES	Picklist	Yes, No, N/A
IUH Transfer Supported	Mandatory	40	Can you support IUH transfers (either manually or electronically or both)? An Intermediate Unit Holder is an entity that holds unitised investments on behalf of a third party acting as a nominee for the end customer	YES	Picklist	Yes, No, N/A
Transfer Notes	Optional	41	Any additional notes or instructions for transfers	YES	Text	255 Characters
Common Rejection Reasons	Optional	42	List of the main reasons as to why your transfers are rejected	YES	Text	255 Characters
Electronic conversion requests supported	Mandatory	43	If your member category is Asset Manager - please update to 'Yes' if you are ready to accept and respond to electronic conversion instruction messages. If your member category is Service Provider or Pension provider then update this field to 'Yes' if you are ready to accept and respond to electronic portfolio transfer instructions that contain at least one 'convert and transfer' instruction. If your member category is Multi-role and this differs based on service type please update 'Yes' and add any additional information required within the Transfer notes section. Please select N/A if not relevant to your business.	YES	Picklist	Yes, No, N/A
If acting in the capacity as asset manager share class conversion	Mandatory if TeX membership type = Asset manager or Multi-Role	44	If you are an asset manager how do you support conversions, Manual or Electronic? If you support both Electronic & Manual please choose 'Electronic'. If this is not relevant to your business select N/A.	YES	Picklist	Manual, Electronic, N/A
SCC submission email	Optional	45	Email address to use for share class conversions, this field will only accept a valid email address - any other text should be input in the notes fields.	YES	Email Address	50 Characters

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SCC submission link	Optional	46	URL to use for share class conversions, , this field will only accept a valid URL - any other text should be input in the notes fields.	YES	URL	50 Characters
SCC submission fax	Optional	47	Phone number to use for share class conversions	YES	Phone Number	50 Characters
SCC submission notes	Optional	48	Any additional notes or instructions for share class conversions	YES	Multi-line text	