
DRAFT STATUTORY INSTRUMENTS

2024 No.

The Registrar (Identity Verification and Authorised
Corporate Service Providers) Regulations 2024

Part 2

Identity verification

Chapter 1

Introduction

Interpretation of Part 2

4. In this Part—

“former name” means a name by which the individual was formerly known for business purposes;

“required evidence” means evidence of a type specified in registrar’s rules under [regulation 5\(2\)\(b\)](#);

“required personal information” means, in respect of an individual—

- (a) the individual’s name;
- (b) any former names of the individual;
- (c) the individual’s date of birth, and
- (d) any other types of personal information required in registrar’s rules under [regulation 5\(2\)\(a\)](#) about the individual;

“reverification notice” means a notice that the registrar may give to an individual under [regulation 13\(1\)](#) which states—

- (a) the individual’s name;
- (b) that the individual will cease to be an individual whose identity is verified⁽¹⁾ unless within the period of 42 days beginning with the date on which the notice is given—
 - (i) the individual is given a notice under [regulation 8\(1\)](#), or
 - (ii) a reverification statement is delivered to the registrar in respect of the individual;
- (c) the maximum period within which the individual must deliver an application under [regulation 6\(2\)](#), if the individual wishes to have their identity verified by the registrar;

- (d) the date of the notice;

“reverification statement” means a statement by an ACSP which—

- (a) states the name of the individual to which it relates;

⁽¹⁾ See section 1110A(1) of the Companies Act 2006 for the meaning of “identity is verified”.

- (b) states the individual's unique identifier⁽²⁾;
- (c) confirms that the ACSP has reverified the individual's identity in accordance with these Regulations;
- (d) specifies the ACSP's supervisory authority or authorities;
- (e) states the date on which the ACSP became satisfied that the individual's required personal information is true, and
- (f) includes a statement confirming that the ACSP has delivered, or is delivering at the same time as the statement, the information referred to in [regulation 11](#).

Chapter 2

Registrar's rules

Requirements in registrar's rules

5.—(1) The registrar must specify in rules the types of contact information to be provided by an individual who makes an application under [regulation 6](#) or a request mentioned in [regulation 9](#).

(2) The registrar may specify in rules—

- (a) any types of personal information about an individual not mentioned in paragraphs (a) to (c) of the definition of “required personal information” (see [regulation 4](#)), and
- (b) any types of evidence,

which must be delivered to the registrar in an application under [regulation 6](#) or to an ACSP in connection with a request mentioned in [regulation 9](#).

(3) The registrar may specify in rules any additional types of steps an individual may be required by the registrar to take in order for their application under [regulation 6](#) or request mentioned in [regulation 9](#) to be determined.

(4) The registrar and an ACSP may treat types of evidence specified in rules under [paragraph \(2\)\(b\)](#) as sufficient proof that an individual's required personal information is true.

(5) Rules under [paragraph \(3\)](#) may, in particular, specify that an individual may be required to—

- (a) attend a meeting with the registrar or an ACSP, in person or otherwise;
- (b) obtain from a third party meeting a description set out in the rules confirmation that the individual's required personal information is true.

Chapter 3

Procedure for identity verification or reverification by the registrar

Application for verification and reverification

6.—(1) An individual may apply to the registrar for verification of their identity if the individual is not an individual whose identity is verified.

(2) An individual may apply to the registrar for reverification of their identity if they have been given a reverification notice.

(3) An application under [paragraph \(1\)](#) or [\(2\)](#) must—

- (a) be in writing;
- (b) state the required personal information about the individual;
- (c) include any required evidence;

(2) See section 1082(1) of the Companies Act 2006 for the meaning of “unique identifier”.

- (d) state the required contact information;
 - (e) in the case of an application under [paragraph \(1\)](#), state, if known, any unique identifier that the applicant previously had allocated to them which has been discontinued, and
 - (f) in the case of an application under [paragraph \(2\)](#), state the applicant's unique identifier.
- (4) An individual who makes an application under [paragraph \(2\)](#) must comply before or on its delivery with any requirements included in the reverification notice under [regulation 13\(3\)\(a\)\(i\)](#) or [\(b\)\(i\)](#).

Determination of application

7.—(1) On delivery of an application under [regulation 6](#), the registrar must as soon as reasonably practicable determine the application.

(2) The applicant's identity is verified if the registrar is satisfied that the required personal information in the application under [regulation 6](#) is true.

(3) If the registrar considers it necessary for the applicant to take additional steps mentioned in rules made under [regulation 5\(3\)](#) for their application to be determined, the registrar must give a notice to the applicant specifying those required additional steps.

(4) The registrar is under no duty under [paragraph \(1\)](#) to make a determination unless any additional steps notified under [paragraph \(3\)](#), or included in a reverification statement in accordance with [regulation 13\(3\)\(b\)\(i\)](#), have been taken by the applicant.

(5) The registrar may consider other information and evidence in addition to that contained in the application when determining it.

Notice of outcome of application

8.—(1) If the registrar determines an application made under [regulation 6](#) in the applicant's favour the registrar must give the applicant a notice stating that they are an individual whose identity is verified.

(2) The notice must state—

- (a) the name of the applicant;
- (b) the date of the notice, and
- (c) the unique identifier allocated to the applicant.

(3) If an applicant applied to the registrar for verification under [regulation 6\(1\)](#), the applicant becomes an individual whose identity is verified on the date of the notice.

(4) If the registrar refuses an application made under [regulation 6](#), the registrar must give the applicant a notice that their application has been unsuccessful.

Chapter 4

Verification and reverification statements by an ACSP

Verification or reverification by an ACSP

9.—(1) [Paragraph \(2\)](#) applies to an individual whose identity is not verified.

(2) An ACSP verifies the individual's identity in accordance with these Regulations if—

- (a) the individual requests that the ACSP verifies their identity;
- (b) the individual provides the ACSP with the information and evidence referred to in [regulation 6\(3\)\(b\)](#) to [\(e\)](#), and
- (c) the ACSP becomes satisfied that the required personal information is true.

- (3) Paragraph (4) applies to an individual whose identity is verified.
- (4) An ACSP re-verifies the individual's identity in accordance with these Regulations if—
- (a) the individual is given a re-verification notice;
 - (b) the individual requests that the ACSP re-verifies their identity;
 - (c) the individual provides the ACSP with the information and evidence referred to in regulation 6(3)(b) to (d) and (f);
 - (d) the individual complies with any requirements included in the re-verification notice under regulation 13(3)(a)(ii) and (b)(ii), and
 - (e) the ACSP becomes satisfied that the required personal information is true.
- (5) For the purpose verifying or re-verifying an individual's identity under this regulation, the ACSP may consider other information and evidence in addition to that provided by the individual under paragraphs (2)(b) or (4)(c) and (d) (as applicable).

Verification statement and re-verification statement

10.—(1) If an ACSP verifies or re-verifies an individual's identity in accordance with regulation 9, the ACSP may deliver to the registrar a verification statement⁽³⁾ or a re-verification statement (as applicable).

- (2) A verification statement must—
- (a) state the name of the individual to which it relates;
 - (b) state the date on which the ACSP became satisfied that the required personal information is true, and
 - (c) include a statement confirming that the ACSP has delivered, or is delivering at the same time as the statement, the information referred to in regulation 11.

Provision of information upon delivery of verification statement and re-verification statement

11. The information referred to in regulation 10(2)(c) and paragraph (f) of the definition of "re-verification statement" (see regulation 4) is—

- (a) the individual's date of birth;
- (b) the required contact information;
- (c) a description of the information and evidence which formed the basis on which the ACSP became satisfied that the required personal information is true, and
- (d) the ACSP's unique identifier.

Notice of delivery of a verification statement or re-verification statement

12.—(1) Where a verification statement has been delivered in accordance with regulation 10, the registrar must give a notice to the individual in respect of whom the verification statement was delivered, which must state—

- (a) the individual's name;
- (b) the date of the delivery of the verification statement, and
- (c) the unique identifier allocated to the individual.

(3) See section 1110A(2) of the Companies Act 2006 for the definition of "verification statement".

(2) Where a reverification statement has been delivered in accordance with [regulation 10](#), the registrar must give a notice to the individual in respect of whom the reverification statement was delivered confirming the date of its delivery to the registrar.

Chapter 5

Ceasing to be an individual whose identity is verified

Reverification notice

13.—(1) The registrar may give an individual whose identity is verified a reverification notice if the registrar has reasonable cause to believe that information or evidence falling in [paragraph \(2\)](#) is misleading, false or deceptive in a material particular.

- (2) Information or evidence falling in [this paragraph](#) is information or evidence—
- (a) which was delivered to the registrar by or on behalf of the individual in an application under [regulation 6](#);
 - (b) other than that referred to in [sub-paragraph \(a\)](#) which was relied upon by the registrar when making a determination of the application under [regulation 7](#);
 - (c) which was delivered to an ACSP by or on behalf of the individual in connection with a request referred to in [regulation 9](#);
 - (d) other than that referred to in [sub-paragraph \(c\)](#) which was relied upon by an ACSP when determining the request.
- (3) The reverification notice may include requirements on the individual—
- (a) to deliver, or cause to be delivered, information and evidence of a type mentioned in rules made under [regulation 5\(1\)](#) and [\(2\)](#) as is specified by the registrar in the notice, to—
 - (i) the registrar, if the individual wishes to make an application under [regulation 6\(2\)](#);
 - (ii) any ACSP that is requested by the individual to reverify their identity (see [regulation 9\(4\)](#));
 - (b) to take such additional steps of a type mentioned in rules made under [regulation 5\(3\)](#) as specified by the registrar in the notice, for the purpose of—
 - (i) a determination being made by the registrar under [regulation 7\(1\)](#);
 - (ii) a determination being made by an ACSP of a request by the individual to reverify their identity.
- (4) The registrar may by notice in writing extend the periods mentioned in paragraphs (b) and (c) of the definition of “reverification notice” (see [regulation 4](#)).

Ceasing to be verified

14.—(1) An individual to whom a reverification notice is given under [regulation 13](#) ceases to be an individual whose identity is verified at the end of the specified period, unless—

- (a) the individual is given a notice under [regulation 8\(1\)](#) within that period, or
- (b) a reverification statement is delivered to the registrar in respect of the individual within that period.

(2) In [paragraph \(1\)](#) “the specified period” means the period specified in the reverification notice or that period as extended by notice under [regulation 13\(4\)](#).

(3) Where someone ceases to be an individual whose identity is verified as a result of [paragraph \(1\)](#), the registrar must give the individual a notice.

- (4) The notice must state—

- (a) the individual's name;
- (b) the date on which the individual ceased to be an individual whose identity is verified, and
- (c) that the unique identifier allocated to the individual is discontinued as of that date.

Chapter 6

Records kept by an ACSP

Records kept by an ACSP

15.—(1) This regulation applies to a person who is or has been an ACSP (“a relevant person”).

(2) A relevant person must keep records in connection with the verification and reverification of an individual's identity under these Regulations in accordance with [this regulation](#).

(3) The records must be kept in respect of every individual—

- (a) on behalf of whom a relevant person has delivered a verification statement or a reverification statement, and
- (b) in respect of whom the relevant person did not become satisfied as mentioned in [regulation 9\(2\)\(c\)](#) or [\(4\)\(e\)](#), as applicable.

(4) The records must be kept for the period of 7 years from—

- (a) in the case of an individual to which [paragraph \(3\)\(a\)](#) applies, the date stated in accordance with [regulation 10\(2\)\(b\)](#) or paragraph (e) of the definition of “reverification statement” (see [regulation 4](#)), as applicable,
- (b) in the case of an individual to which [paragraph \(3\)\(b\)](#) applies, the date on which the relevant person decided not to deliver a verification statement or a reverification statement, as applicable, in relation to the individual.

(5) In respect of every individual mentioned in [paragraph \(3\)](#) the records must include—

- (a) any records of requests referred to in [regulation 9](#);
- (b) all information and evidence the relevant person considered when determining such requests.

Offences in relation to record keeping

16.—(1) It is an offence for a person to fail, without reasonable excuse, to comply with [regulation 15](#).

(2) Where the offence is committed by a firm, every officer of the firm who is in default also commits the offence.

(3) A person guilty of an offence under [this regulation](#) is liable—

- (a) on conviction on indictment, to imprisonment for a term not exceeding two years or a fine (or both);
- (b) on summary conviction—
 - (i) in England and Wales, to imprisonment for a term not exceeding the general limit in a magistrates' court or a fine (or both);
 - (ii) in Scotland, to imprisonment for a term not exceeding 12 months or a fine not exceeding the statutory maximum (or both) and, for continued contravention, a daily default fine not exceeding one-fifth of the statutory maximum;
 - (iii) in Northern Ireland, to imprisonment for a term not exceeding 6 months or a fine not exceeding the statutory maximum (or both) and, for continued contravention, a daily default fine not exceeding one-fifth of the statutory maximum.

