

INDIVIDUAL APPLICATION FORM

For principal individuals (including co. secretaries and those with 25% or more shareholding) of firms and individuals authorised to provide advice on Mortgages, General Insurance and Pure Protection

If you require any assistance in completing the form, please do not hesitate to contact the Broker Services Team on **01249 467500**. Send the completed form and supporting documents to:

Broker Services Team
PRIMIS Mortgage Network
No 2 Methuen Park
Bath Road
Chippenham
Wiltshire
SN14 0GB

Contact details: Telephone: 01249 467500 FAX: 01249 467582
PRIMIS Mortgage Network is a trading name of Advance Mortgage Funding Limited. Registered in England & Wales number: 2217569

PRIMIS Mortgage Network is a trading name of First Complete Ltd. Registered in England number 05415236.
Registered office: Newcastle House, Albany Court, Newcastle Business Park, Newcastle Business Park, Newcastle Upon Tyne, Tyne & Wear, NE4 7YB

First Complete Limited is authorised and regulated by the Financial Conduct Authority (FRN: 435779) for mortgage and non-investment insurance advice.

Advance Mortgage Funding Limited is authorised and regulated by the Financial Conduct Authority (FRN: 308005) for mortgage and non-investment insurance advice.

Full Name of Applicant	
Name of PRIMIS Mortgage Network AR	
Network (First Complete or Advance Mortgage Funding)	
Applicant Telephone Number	
Applicant Email Address	

INFORMATION TO BE SUPPLIED

(PHOTOCOPIES ARE ACCEPTABLE. ORIGINALS MAY BE REQUESTED AT A LATER DATE)

Please ensure that you sign **both** declarations on pages **15 & 18** before returning. Failure to do so will delay your application

CHECKLIST	ENCLOSED		NOT APPLICABLE
Exam Certificates	Y	N	
Credit Report with credit score (dated within the last month)	Y	N	
Identification (copy of passport or driving licence)	Y	N	
Proof of Residency (copy of a utility bill dated within the last 3 months)	Y	N	

Do you have permission to work in the UK?	Y	N
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If yes, please indicate if the following applies:

British/EU National		Work Permit		Working Visa		
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Visa Expiry Date

Personal identification details

Section One

1.02	Title (e.g. Mr, Mrs, Ms, etc)	
1.03	Surname	
1.04	ALL forenames	
1.05	Name commonly known by	
1.06	Date of birth (dd/mm/yyyy)	
1.07	National Insurance number	
1.08	Previous name	
1.09	Date of name change	
1.10 a	Nationality	
b	Passport number (if National Insurance number not available)	
1.11	Place of birth	



I have supplied further information related to this page in Section 6 YES NO

1.12 a Private address

[Redacted address field]

b

Postcode

c Dates resident at this address
(mm/yyyy)

From

[Redacted date field]

To

PRESENT

(If address has changed in the last three years, please provide addresses for the previous three years.)

1.13 a Previous address 1

[Redacted address field]

b

Postcode

c Dates resident at this address
(mm/yyyy)

From

[Redacted date field]

To

[Redacted date field]

1.14 a Previous address 2

[Redacted address field]

1 b

Postcode

c Dates resident at this address
(mm/yyyy)

From

[Redacted date field]

To

[Redacted date field]



I have supplied further information related to this page in Section 6

YES

NO

Individual Activities

Section 2

Please give the name of every company/partnership, other than the application for membership, of which you are currently a director/partner/controller or have been in the last five years. (If none write none)

Company/Partnership name	Principle activity	Date Appointed	Still current?	
			Y	N
			Y	N
			Y	N
			Y	N

Please confirm what your employment status will be once authorised through the Network? (Employed/Self-Employed)	E	S/E
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Are you currently acting as a supervisor for any trainee advisers?	Y	N
Are you currently registered as a trainee adviser?	Y	N
If you are currently a trainee, what dates were you originally registered?		

*Please provide details of all documentation to support your progress to date through training procedures.
Please ensure that at least one referee is your current supervisor*

Have you previously been authorised to sell mortgages and protection products	Y	N
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Please list estimated number:	12 Months	24 Months
Of total Mortgage cases that you have <i>submitted</i> during the last 12/24 months		
Of total Mortgage cases that have been <i>completed</i> during the last 12/24 months		
Of total Protection cases that you have <i>submitted</i> during the last 12/24 months		
Of total Protection cases that have been <i>completed</i> during the last 12/24 months		
Of total General Insurance cases that you have <i>submitted</i> during the last 12/24 months		
Of total General Insurance cases that have been <i>completed</i> during the last 12/24 months		

Arrangement and controlled functions **Section 3**

3.01	Nature of the arrangement between the candidate and the network		<i>a Mortgage, Protection & General Insurance</i>	<input type="checkbox"/>
			<i>b Pure Protection</i>	<input type="checkbox"/>
			<i>c General Insurance</i>	<input type="checkbox"/>
			<i>d Mortgage</i>	<input type="checkbox"/>

3.02	a	Significant influence functions	<table style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 5%;">CF 1</td><td style="width: 90%;">Director function</td><td style="width: 5%; text-align: center;"><input type="checkbox"/></td></tr> <tr><td>CF 2</td><td>Non-executive director function</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>CF 3</td><td>Chief executive function</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>CF 4</td><td>Partner function</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td>CF 5</td><td>Director of an unincorporated association function</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td>Sole Trader</td><td style="text-align: center;"><input type="checkbox"/></td></tr> <tr><td></td><td>Adviser</td><td style="text-align: center;"><input type="checkbox"/></td></tr> </table>	CF 1	Director function	<input type="checkbox"/>	CF 2	Non-executive director function	<input type="checkbox"/>	CF 3	Chief executive function	<input type="checkbox"/>	CF 4	Partner function	<input type="checkbox"/>	CF 5	Director of an unincorporated association function	<input type="checkbox"/>		Sole Trader	<input type="checkbox"/>		Adviser	<input type="checkbox"/>
CF 1	Director function	<input type="checkbox"/>																						
CF 2	Non-executive director function	<input type="checkbox"/>																						
CF 3	Chief executive function	<input type="checkbox"/>																						
CF 4	Partner function	<input type="checkbox"/>																						
CF 5	Director of an unincorporated association function	<input type="checkbox"/>																						
	Sole Trader	<input type="checkbox"/>																						
	Adviser	<input type="checkbox"/>																						

3.03	Insurance mediation Will the candidate be responsible for Insurance mediation at the firm? (Note: Yes can only be selected if the individual is applying for (CF1, 3-5 or Sole Trader)	YES <input type="checkbox"/> NO <input type="checkbox"/>
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Employment history in the past 5 years

Section 4

N.B.: ALL gaps must be accounted for

If any of your employment history makes reference to your health, you will need to provide your consent for the network to process your special category data. The consent statement can be found under the Supplementary Information page in Section 6.

4.01 Employment details (1) †

a	Period (mm/yyyy)	From		To		Current
b	Nature of employment	a	Employed			<input type="checkbox"/>
		b	Self-employed			<input type="checkbox"/>
		c	Not employed			<input type="checkbox"/>
		d	Full-time education			<input type="checkbox"/>
	If c or d is ticked, please give details					
c	Name of employer					
d	Nature of business					
e	Previous / other names of employer					
f	Last known address of employer					
g	Is/was employer regulated by a regulatory body?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>	Name of regulatory body
h	Is/was employer an <i>appointed representative/tied agent</i> ?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>	If yes, of which <i>firm</i> ?
i	Position held					
j	Responsibilities					
k	Reason for leaving:	a	Resignation			<input type="checkbox"/>
		b	Redundancy			<input type="checkbox"/>
		c	Retirement			<input type="checkbox"/>
		d	Termination/dismissal			<input type="checkbox"/>
		e	End of contract			<input type="checkbox"/>
		f	Other			<input type="checkbox"/>
	Specify					

4.02 Employment details (2) †

a	Period (mm/yyyy)	From		To	
b	Nature of employment	<i>a</i>	Employed		<input type="checkbox"/>
		<i>b</i>	Self-employed		<input type="checkbox"/>
		<i>c</i>	Not employed		<input type="checkbox"/>
		<i>d</i>	Full-time education		<input type="checkbox"/>
	If <i>c</i> or <i>d</i> is ticked, please give details				
c	Name of employer				
d	Nature of business				
e	Previous / other names of employer				
f	Last known address of employer				
g	Is/was employer regulated by a regulatory body?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
				Name of regulatory body	
h	Is/was employer an <i>appointed representative/tied agent</i> ?	YES	<input type="checkbox"/>	NO	<input type="checkbox"/>
				If yes, of which <i>firm</i> ?	
i	Position held				
j	Responsibilities				
k	Reason for leaving:	<i>a</i>	Resignation		<input type="checkbox"/>
		<i>b</i>	Redundancy		<input type="checkbox"/>
		<i>c</i>	Retirement		<input type="checkbox"/>
		<i>d</i>	Termination/dismissal		<input type="checkbox"/>
		<i>e</i>	End of contract		<input type="checkbox"/>
		<i>f</i>	Other		<input type="checkbox"/>
	Specify				

4.03 Employment details (3) †

a	Period (mm/yyyy)	From	<input type="text"/>	To	<input type="text"/>
b	Nature of employment	a	Employed	<input type="checkbox"/>	
		b	Self-employed	<input type="checkbox"/>	
		c	Not employed	<input type="checkbox"/>	
		d	Full-time education	<input type="checkbox"/>	
	If c or d is ticked, please give details	<input type="text"/>			
c	Name of employer	<input type="text"/>			
d	Nature of business	<input type="text"/>			
e	Previous / other names of employer	<input type="text"/>			
f	Last known address of employer	<input type="text"/>			
g	Is/was employer regulated by a regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Name of regulatory body	
				<input type="text"/>	
h	Is/was employer an <i>appointed representative/tied agent</i> ?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	If yes, of which <i>firm</i> ?	
				<input type="text"/>	
i	Position held	<input type="text"/>			
j	Responsibilities	<input type="text"/>			
k	Reason for leaving:	a	Resignation	<input type="checkbox"/>	
		b	Redundancy	<input type="checkbox"/>	
		c	Retirement	<input type="checkbox"/>	
		d	Termination/dismissal	<input type="checkbox"/>	
		e	End of contract	<input type="checkbox"/>	
		f	Other	<input type="checkbox"/>	
	Specify	<input type="text"/>			



I have supplied further information related to this page in Section 6† YES NO

Criminal Proceedings

When answering the questions in this section you should include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if the candidate is subject to the law of England and Wales, you must disclose spent convictions and cautions (other than a protected conviction or caution).

Please note: a Disclosure Check may be required should you answer yes to any questions in the criminal proceedings section.

If you answer **yes** to any of the following questions relating to criminal proceedings, you will need to provide your consent for the network to process your Criminal Record data. The consent statement can be found under the Supplementary Information page in Section 6.

<p>5.01 a</p> <p>Has the <i>candidate</i> ever been convicted of any offence (whether spent or not and whether or not in the <i>United Kingdom</i>):</p> <p style="margin-left: 40px;">i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or</p> <p style="margin-left: 40px;">ii. Relating to <i>companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing?</i></p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>b</p> <p>Is the <i>candidate</i> the subject of any current criminal proceedings whether in the UK or elsewhere?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>c</p> <p>Has the <i>candidate</i> ever been given a caution in relation to any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.02</p> <p>Has the <i>candidate</i> any convictions for any offences (whether spent or not and whether or not in the United Kingdom) other than those in 5.01above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.03</p> <p>Is the <i>candidate</i> the subject of any ongoing criminal proceedings?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.04</p> <p>Has the <i>candidate</i> been ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?</p> <p>In answering question 5.04, you should include all matters even where the <i>candidate</i> was not the subject of the investigation.</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>5.05</p> <p>Has any firm at which the candidate holds or has held a position of influence ever:</p>	
<p>a</p> <p>Been convicted of any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>b</p> <p>Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>
<p>c</p> <p>Been the subject of any criminal proceeding which has not resulted in a conviction?</p>	<p>YES <input type="checkbox"/> NO <input type="checkbox"/></p>

d Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation?

YES NO

In answering question 5.05, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of 5.05.d, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings.

Civil Proceedings

5.06 Has the *candidate*, ever been the subject of a judgement debt or award against the candidate?

Please give a full explanation of the events in questions, ensuring that it adheres to the Disclosure note at the beginning of this form.

YES NO

You should include all County Court Judgement(s), (CCJ's) made against the candidate, whether satisfied or not and

- i. The sum and date of all judgement debts, awards or CCJ's (whether satisfied or not); and
- ii. The total number of all judgement debts, awards or CCJ's ordered.

5.07 Has the candidate ever been party to any civil proceedings which resulted in any order against the candidate (other than a judgement debt or award referred to in 5.03 above)? (You should include, for example, injunctions and employment tribunal proceedings)

YES NO

5.08 Is the *candidate* aware of:

a Any proceedings that have begun or anyone's intention to begin proceedings against the candidate, for a CCJ, or another judgement debt?

YES NO

b More than one set of proceedings, or anyone's intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt?

YES NO

c Anyone's intention to claim more than £1,000 of CCJ's or judgement debts in total from the candidate?

YES NO

5.09 Does the *candidate* have any **current** judgement debts (including CCJ's) made under a court order still outstanding, whether in full or part?

YES NO

5.10 Has the candidate ever failed to satisfy any such judgement debts (including CCJ's) made under a court order still outstanding, whether in full or part, within one year of the order being made?

YES NO

5.11	Has the <i>candidate</i> ever:	
a	Filed for the candidate's own bankruptcy or had a bankruptcy petition served on the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
b	Been adjudged bankrupt?	YES <input type="checkbox"/> NO <input type="checkbox"/>
c	Been the subject of bankruptcy restrictions order (including an interim bankruptcy order) or offered a bankruptcy restrictions undertaking?	YES <input type="checkbox"/> NO <input type="checkbox"/>
d	Made any arrangements with the candidate's creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland, a trust deed)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
e	Had assets sequestrated?	YES <input type="checkbox"/> NO <input type="checkbox"/>
f	Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against the candidate or result in any kind of agreement with the candidate?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.12	Does the <i>candidate</i> , or any undertaking under their management, have any outstanding financial obligations arising from <i>regulated activities</i> , which have been carried out in the past (whether or not in the UK or overseas)?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.13	Has the candidate ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.14	Is the candidate currently;	
a	Party to any civil proceedings? (including those covered in 5.09 above)	YES <input type="checkbox"/> NO <input type="checkbox"/>
b	Aware of anybody's intention to begin civil proceedings against the candidate? (You should include any ongoing disputes whether or not such dispute is likely to result in any order against the candidate)	YES <input type="checkbox"/> NO <input type="checkbox"/>
5.15	Has any firm at which the candidate holds or has held a position of influence ever been:	
a	Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?	YES <input type="checkbox"/> NO <input type="checkbox"/>
b	The subject of a judgement debt or award against the firm? (you should include all CCJ's made against the firm, whether satisfied or not)	YES <input type="checkbox"/> NO <input type="checkbox"/>
c	Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 5.12.a and 5.12.b above?	YES <input type="checkbox"/> NO <input type="checkbox"/>

5.16 Is any firm at which the candidate currently holds or has held, within the last 12 months from the date of submission of the form, a position of influence currently;

a A party to civil proceedings?

YES NO

b Aware of anyone's intention to begin civil proceedings against them?

YES NO

5.17 Has any company, partnership or unincorporated association of which the *candidate* is or has been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

YES NO

Business and Employment Matters

5.18 Has the *candidate* ever been?

a Disqualified from acting as a director, or similar position (one where the candidate acts in a management capacity or conducts the affairs of any company, partnership or unincorporated association)?

YES NO

b The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against the *candidate*)?

YES NO

c The subject of any investigation which has led or might lead to disciplinary proceedings?

YES NO

d Notified of any potential proceedings of a disciplinary nature against the candidate?

YES NO

e The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (this question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time)

YES NO

5.19 Has the *candidate* ever been refused entry to, or been dismissed, suspended or requested to resign from, any profession, vocation, office or employment or from any fiduciary office or position of trust whether or not remunerated?

YES NO

5.20 Does the *candidate* have any material written complaints made against the candidate by the candidate's clients or former clients in the last five years which the candidate has accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

YES NO

Regulatory Matters

5.21 In relation to activities regulated by the FCA and or PRA or any other regulatory body has :

- The candidate, or;
- Any Company, Partnership, or unincorporated associate of which the candidate is or has been a controller, director, senior manager, partner or company secretary, during the candidates association with the entity and for a period of three years after the candidate ceased to be associated with it, ever -

a	Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership, or any other permission granted by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
b	Been criticised, censored, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
c	Received a warning, (whether public or private) that such disciplinary or interventional action may be taken against the candidate or firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
d	Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against the candidate or firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
e	Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
f	Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the secretary of state, or any other authority, under any such legislation?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
g	Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
h	Decided after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body , not to proceed with it?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
i	Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
j	Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
k	Been convicted of any criminal offence, censured, disciplined or publically criticised by any inquiry, by the Takover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions)?	YES <input type="checkbox"/>	NO <input type="checkbox"/>

5.22

In relation to activities regulated by the FCA/PRA or any other regulatory body, has the *candidate* or any firm of which the candidate holds or has held a position of influence at any time during and within one year of the candidate's association with the firm ever:

- a** Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations?
- b** Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against the *candidate*?
- c** Been found to have performed a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval?
- d** Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against the *candidate*?
- e** Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulation 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business?
- f** Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 FSMA, or received a warning notice proposing that such a direction or order be made, or received a private warning?

	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>

Other Matters

- 5.23** Is the candidate, in the role to which the application relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of the controlled function for which approval is being sought?
- 5.24** As the candidate, are you aware of any other information relevant to this application that we might reasonably expect to be informed of?
- 5.25** Has the candidate ever had a property repossessed?

	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>
	YES <input type="checkbox"/>	NO <input type="checkbox"/>

NON-DISCLOSURE OF ANY ADVERSE INFORMATION WILL RESULT IN YOUR APPLICATION BEING DECLINED.

Supplementary information **Section 6**

- 6.00**
- If there is any other information the *candidate* or the *firm* considers to be relevant to the application, it must be included here.
 - If this application relates to a Significant influence controlled function then please provide full details of
 - why the candidate is competent and capable to carry out the controlled function(s) applied for.
 - why the appointment complements the firm's business strategy, activity and market in which it operates.
 - how the appointment was agreed including details of any discussions at governing body level (where applicable).
 - Please also include here any additional information indicated in previous sections of the Form.
 - Please include a list of all directorships currently or previously held by the *candidate* in the past 10 years (where *director* has the meaning given in the *Glossary*.)
 - If there is insufficient space, please continue on a separate sheet of paper and clearly identify the section and question to which the additional information relates.
 - Full details must be provided here if there were any issues that could affect the Fitness and Propriety of the individual that arose when leaving an employer listed in section 4 or if any question has been answered 'yes' in section 5.

Question	Information

Special Category Data/Criminal Record Data Consent Declaration

I consent for PRIMIS Mortgage Network to process my special category data/criminal record data for the purposes described in the [Privacy Notice](#). Please note that without the consent of all affected parties we will not be able to process your application.

Print Full Name:	
Signature:	
Date:	

MONTHLY INCOME & EXPENDITURE

Pages 10 and 11 of this form need to reflect your current personal financial position. If your personal finances are typically conducted with a partner, with joint accounts, outgoings, assets and liabilities, you may choose to disclose your partner's income to enable a more relevant assessment of your financial position to be made. Please use notes to advise of any joint financial position/share.

INCOME	DETAILS	£
Own monthly income (net of tax)		
Partner's monthly income (net of tax)		
Other income (please provide full details)		
TOTAL monthly income		

EXPENDITURE	DETAILS	£
Mortgage/Rent/secured lending		
Unsecured Loan Repayments (please specify lender)		
Credit Cards/Store Cards (please specify each one)		
General Household expenditure i.e. utility bill, council tax, food etc.		
Other repayments (please specify)		
Cost for any other properties		
TOTAL monthly expenditure		

Have you been in arrears with the following credit commitments in the last 12 months?			Secured loans		Y	N
Mortgages	Y	N	Credit cards		Y	N
Personal loans	Y	N	Finance agreements		Y	N
In the last 5 years, have you entered into any individual arrangements with creditors or a debt management plan?					Y	N

If you have answered yes to any of the above, please provide further information including details of what steps you are taking to resolve the situation.

ASSETS & LIABILITIES

COMPLETION NOTES

The statement identifies the most common personal assets and liabilities. Others, which are not specifically identified, should be included with a short description.

* Contents should be shown at insured value.

* Motor vehicles should be shown at estimated market value.

* Investments should include only readily realisable securities, unit trusts and packaged products. You should include the current value of any investment used as a vehicle to repay a mortgage loan. You should not include the value of any personal pensions nor any value for the goodwill or assets of your firm, unless it is in the form of a readily realisable security.

* If you have given any personal guarantees to a third party, e.g. to secure business liabilities these should be described and the maximum liability disclosed. Any other contingent liabilities should also be included; e.g. prospective calls on Lloyds' names.

* Please provide a detailed breakdown of your investments.

ASSETS	£	LIABILITIES	£	SECURED AGAINST HOME?		
				Secured	Y	N
House		Outstanding Mortgage		Secured	Y	N
Second Home		Loan/Mortgage		Secured	Y	N
Property 3		Loan/Mortgage		Secured	Y	N
Property 4		Loan/Mortgage		Secured	Y	N
Office Property		Loan/Mortgage		Secured	Y	N
Realisable value of your firms contents		Credit card balance(s)				
Realisable value of your personal contents		Other loan(s)				
Motor vehicle(s)		Motor vehicle finance/ loan(s)				
Bank balance(s)		Overdraft(s)				
Debtors		Creditors				
Investments		Outstanding Financial Services Debts				
Cash deposits (please specify)		Income Tax (please give payment due)				
Savings		Personal Guarantees				
Other (please specify)		Other (please specify)				
TOTAL assets		Total Liabilities Guarantees (please specify)				

ACCOUNTANT DETAILS (If you have been self employed within the last 5 years)

Title		First Name		Surname	
Address of Accountant					
				Post Code	
Telephone number					
Email address					

I confirm that the information given herein is true, correct, completed to the best of my knowledge and belief and shall be the basis of my application to PRIMIS MORTGAGE NETWORK. I agree to the taking up of references or making any enquiries it shall deem necessary in considering this application. Checks may include at the networks discretion, any or all of the following; credit bureau referencing (including electronic identity verification), former employment referencing, professional referencing (e.g. solicitors, accountants) and criminal records checks. Certain of the aforementioned referencing may involve separate express permission and interaction being requested of the applicant.

I confirm that no material facts, which may be relevant to my application, have been withheld. I am aware, that knowingly or recklessly giving PRIMIS MORTGAGE NETWORK information, which is false or misleading, could lead to termination or variation of Appointed Representative (AR) status, which may be granted.

I understand that this application is not a binding agreement to join PRIMIS MORTGAGE NETWORK and I further understand that I will not be authorised to act in any way, until my application has been successful and that authorisation has been confirmed in writing by PRIMIS MORTGAGE NETWORK.

I understand that PRIMIS MORTGAGE NETWORK may decline the application at their sole discretion and shall have no duty to me to disclose the ground(s) for the declination. I understand that PRIMIS MORTGAGE NETWORK will only be responsible in accordance with Section 39(1) of the Financial Services And Markets Act 2000 for any business that I undertake as Adviser/Appointed Representative (AR) acting on their behalf.

References will be taken up for a minimum of the last 5 years. NB If a reference or outstanding information is not received within 30 business days of appointment this may result in the suspension of your authorisation until such a time as the reference/information is received. Information provided by you on this form together with any other information provided by you, or a third party on your behalf will be "personal data" for the purposes of the Data Protection Act 1998.

The data will be processed by PRIMIS MORTGAGE NETWORK, and will be used for the purposes of:

- i) Determining whether we wish to enter into a contract with you;
- ii) If we enter into a contract with you, for matters relating to the operation of that contract.

The information given in this form will be "personal data" for the purposes of current data protection legislation. The personal data will be used by PRIMIS MORTGAGE NETWORK in fulfilling its regulatory responsibilities to FCA and complying with other relevant legislation. This could involve disclosing the personal data to third parties and other bodies, such as other regulators, law enforcement bodies, or other entities within our group. It will not however, be disclosed for any other purpose without permission. Full details of how PRIMIS MORTGAGE NETWORK will use "personal data" can be found in the [Privacy Notice](#).

I consent to PRIMIS MORTGAGE NETWORK carrying out a review of my status, to adhere to the "fitness and propriety" requirements.

I confirm my commitment to comply with all government regulation and legislation and to comply with any processes agreed with PRIMIS MORTGAGE NETWORK.

I declare that if any of the information I have given on this form changes before the application process is completed, I will advise PRIMIS MORTGAGE NETWORK immediately.

7.01 Candidate's full name

7.02 Signature

Date

Please also ensure that you have signed on page15 giving your explicit consent to process any special category data you may have disclosed.