

SIGNIFICANT CONTROLLER APPLICATION FORM

VERSION CONTROL TRACKER

| Version Number | Date |
|----------------|-------------|
| 1.0 | August 2023 |

INDIVIDUAL APPLICATION FORM

For principal individuals (Director/Partner/Designated Member/Sole Trader/Managers) of firms who wish to be 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 467 591**. 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 467 591
 E-mail: brokerserviceteam@primis.co.uk

PRIMIS Mortgage Network is a trading name of Advance Mortgage Funding Ltd. Registered in England & Wales number: 2217569

PRIMIS Mortgage Network is a trading name of First Complete Ltd. Registered in England & Wales number: 05416236.

Registered office: Newcastle House, Albany Court, Newcastle Business Park, Newcastle Business Park, Newcastle Upon Tyne, Tyne & Wear, NE4 7YB

PRIMIS Mortgage Network is a trading name of Personal Touch Financial Services Ltd: 03406454

PRIMIS Mortgage Network is a trading name of TenetLime Ltd. Registered in England & Wales number: 04785816

Registered office: Howard House, 3 St Mary's Court, Blossom Street, York YO24 1AH

Advance Mortgage Funding Ltd. is authorised and regulated by the Financial Conduct Authority (FRN: 305008) for mortgage and non-investment insurance advice.

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

Personal Touch Financial Services is authorised and regulated by the Financial Conduct Authority (FRN: 187834) for mortgage and non-investment insurance advice

TenetLime Ltd is authorised and regulated by the Financial Conduct Authority (FRN: 311266) for mortgage and non-investment insurance advice.

Applicant's full name:

Enterprise joining:

Network joining

☐

First Complete

☐

Advanced Mortgage
Funding

☐

Personal Touch
Financial Services

Position applied for:

☐

Selling Principal

☐

Non Selling Principal

LICENCES REQUIRED

If you are to be in a selling role, please indicate the product licences required (Please tick all boxes that you require):

☐

N/A

☐

General Insurance

☐

Mortgage

☐

Protection

☐

Equity Release

CHECKLIST

Please enclose the following documentation with your application form:

- Copy of passport, certified by either a PRIMIS Mortgage Network employee or a PRIMIS Mortgage Network FCA registered individual. If you do not hold a British, EU, EEA or Swiss passport please provide relevant evidence demonstrating you can work in the UK.
- Proof of address for your current address dated within the last 3 months (e.g. utility bill or bank statement).
- Copies of all your financial services qualification certificates, certified by either a PRIMIS Mortgage Network employee or a PRIMIS Mortgage Network FCA registered individual.
- Credit report, competed under current residential address and dated within the same month of application submission to the network.
- Evidence of income – If you are currently employed – please provide 3 months' payslips and your P60. If you are currently self-employed, please provide the last two years accounts or for applicants who file their own self-assessment returns on-line (tax year overview document and tax calculations), for applicants that use third parties and therefore commercial software to file returns (tax year overview and a copy of the tax computation filed by the third party with the HMRC) and for applicants that complete their tax returns on paper/posted – (SA302s or system generated docs).

DATA PROTECTION

All of the information supplied by you and any third parties in connection with this application will be held by PRIMIS Mortgage Network as Data Controller under the Data Protection Act 2018 and the General Data Protection Regulations.

In addition to this, PRIMIS Mortgage Network may use your personal details to perform a Standard Disclosure check the Disclosure and Barring Service. The return would be sent directly to you and PRIMIS Mortgage Network may request a copy for our vetting and application requirements. Information obtained via a Disclosure and Barring Service will be stored separately to any other of your personal information and only for a maximum of 6 months before being destroyed securely. By submitting the application to us you give your consent for us to apply for this on your behalf and the processing of your sensitive data in this way.

Should you change your mind before your application is complete we will retain your personal information for 6 months to enable us to deal with any regulatory and commercial actions such as de-registration with the regulator and/ or panel providers, to deal with any associated queries or, where relevant, if you re-apply. Please note, we have different retention policies where your application is declined by PRIMIS Mortgage Network and for when you join us and then leave; please contact us if you require this information.

References will be taken up for a minimum of the last 6 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 2018.

The data will be processed by PRIMIS Mortgage Network, and will be used for the purposes of:

- Determining whether we wish to enter into a contract with you;
- 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.

Where we talk about PRIMIS Mortgage Network in this form we mean First Complete Ltd, Advance Mortgage Funding Ltd and Personal Touch Financial Services Ltd, the employing companies of LSL Property Services Group.

CRIMINAL CONVICTIONS

We ask for these details from you in order that we may comply with our regulatory obligations and all information supplied within the application form will be used as described above.

In addition to this, PRIMIS Mortgage Network may use your personal details to perform a Standard Disclosure check with the Disclosure and Barring Service. The return would be sent directly to you and the onus is then yours to grant a copy to PRIMIS Mortgage Network for our vetting and application requirements. Information obtained via a Disclosure and Barring Service will be stored separately to any other of your personal information and only for a maximum of 6 months before being destroyed securely. By submitting this application to us you give your consent for us to apply for this on your behalf and the processing of your sensitive data in this way.

HOW TO GET MORE INFORMATION

If you would like any further information on your rights under the General Data Protection Regulations or further details on how we use your information please write to:

The Data Protection Officer

PRIMIS Mortgage Network,
3700 Parkside
Birmingham Business Park
Birmingham

B37 7YT

If you have any complaints about the way we have handled your personal information, please contact the Data Protection Officer at the address above.

You also have the right to refer your complaint to the Information Commissioner.

DECLARATION

I have read and understood the provisions set out above and I hereby consent for PRIMIS Mortgage Network to process my special category data/criminal record data for the purposes described in the Privacy Notice.

(Please Note: Without the consent of all affected parties we will not be able to process your application)

Signature:

Name:

Date:

DISCLOSURE – PLEASE READ CAREFULLY

This application form asks for a variety of information about you and your employment history along with details about your previous financial, personal and business conduct. This information will be used to assess whether you meet the Financial Conduct Authorities ‘good repute’ and ‘fit and proper’ requirements. The information that you provide will be verified via referencing and other third party checks.

It is extremely important that you complete this form fully and accurately. More minor and more historic adverse information will often not impact our decision to appoint you if it is properly disclosed. However, identified non-disclosure will almost always cause your application to be unsuccessful.

If you are in any doubt about whether a matter should be disclosed to us, then you should include the details either as part of this form or in separate correspondence with us prior to the submission of your application.

Please tick the box to confirm that you have read and understood the disclosure requirements and that you will provide full and comprehensive information to us.

☐

YOUR DETAILS

Title (Mr/Mrs/Miss/Ms/Other)

All forenames:

Surname:

Former names:

Date of name change:

Reasons for name change:

Date of birth:

National insurance number:

Nationality:

Place of birth:

Home telephone. number:

Mobile number:

Current E-mail address (required to process your application form):

E-mail address on appointment (if this differs from current e-mail):

Please provide details of your last 3 years address history and include proof of address for your current address dated within the last 3 months:

Current Address

Postcode

From (mm/yy)

To (mm/yy)

Previous Address

Postcode

From (mm/yy)

To (mm/yy)

Previous Address

Postcode

From (mm/yy)

To (mm/yy)

Previous Address

Postcode

From (mm/yy)

To (mm/yy)

Do you own any properties other than your current address?

☐

Yes

☐

No

If 'Yes', please provide the full postal address and current use of the property in the **Additional Information section**.

EMPLOYMENT STATUS

Please confirm what your employment status will be once authorised through PRIMIS Mortgage Network

Employed

☐

Self-employed

☐

INDUSTRY STATUS

PROFESSIONAL QUALIFICATIONS

Please list the individual industry credits/modules you hold (e.g. Cemap1, CF1) and enclose copies of your certificates, certified by either a PRIMIS Mortgage Network employee or a PRIMIS Mortgage Network FCA Approved Person (e.g. Practice Principal).

| Name of credit/module (e.g. FPC1, MAQ, Cemap 1, CF2, J01, R02 etc.) | Awarding Body (e.g. CII, IFS, Calibrand, AIFA etc.) | Date achieved (mm/yy) |
|--|---|--------------------------|
| | | |
| | | |
| | | |

INDUSTRY EXPERIENCE

Are you or have you ever been registered with the FCA, PRA or FSA?

☐ Yes

☐ No

If 'Yes', please confirm your Individual Registration Number (IRN).

Are you assessed as competent under your current Training & Competence scheme?
(If 'No', please explain why in the **Additional Information section**)

☐ Yes

☐ No

Please complete the boxes below for any products you have sold, detailing whether it was on an advised or non-advised basis, the dates you sold these products & the company/employer this was through. If you have multiple periods selling certain products, then please use the **Additional Information section**.

| Product | Advised | Non-advised | Date started selling (mm/yy) | Date ceased selling (mm/yy) | Company/ Employer | Competency achieved |
|---------|---------|-------------|---------------------------------|--------------------------------|----------------------|------------------------|
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

BUSINESS CONDUCT/CONFLICT OF INTEREST

DISCIPLINARY HISTORY

- | | | | |
|-----|---|------------------------------|-----------------------------|
| 1) | Have you ever been dismissed/asked to leave by an employer, or if self-employed, had your contract terminated? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 2) | Have you ever resigned whilst under investigation or suspension? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3) | Have you ever received any warnings either verbal or written? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 4) | Have you ever been removed from a Lender or Provider Panel? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 5) | Have you ever received a Warning letter form a lender or Provider Panel? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 6) | Has there ever been an investigation or review carried out on you or business conducted by you? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 7) | Have you ever been suspended or had your licences suspended? (e.g by an employer, network, lender or provider) | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 8) | Have you ever had an application declined by an employer, network, provider or lender which you have applied to? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 9) | Have you ever been asked to undertake any additional training, including increased supervision as part of any Training & Competency Scheme? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 10) | Have you ever had any complaints upheld against you? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 11) | Have you ever received a material breach in relation to your regulated activities? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

If yes, please provide full details in the **Additional Information section**.

MISCELLANEOUS

- 12) If you have a trading name, please indicate the full name.

| |
|--|
| |
| |

- | | | | |
|-----|---|------------------------------|-----------------------------|
| 13) | Have you ever previously applied to PRIMIS Mortgage Network? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 14) | Do you refer regulated business? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 15) | Will you be accepting any introductions of business? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 16) | Have you and/or your business ever sold (advised or otherwise) products (for example, Arch Cru, ARM, unregulated collective investment schemes (UCIS), life settlement funds, or any other unregulated products) which have come under specific scrutiny by the FCA or any other regulatory body? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

If 'Yes' please provide full details of the product(s) involved, the number of clients and the amount invested in the **Additional Information section**.

CONFLICT OF INTEREST

- | | | | |
|-----|--|------------------------------|-----------------------------|
| 17) | Do you have a relative, partner/spouse or close friend employed by a provider, distributor, supplier or competitor of PRIMIS Mortgage Network? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 18) | Do you have a relative, partner/spouse or close friend with a significant shareholding, a Directorship or other business interest in a provider, distributor, supplier of competitor of PRIMIS Mortgage Network? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 19) | Do you have any involvement or shareholding in another financial services company? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

If you have answered 'Yes' to any of these questions, please provide details in the **Additional Information section**

EMPLOYMENT HISTORY & EXPERIENCE

Please provide details of your employment/work history for the last 10 years with no gaps. Please detail all periods of your employment history (full or part time), self-employment, unemployment and/or education details; starting with your most recent.

If you have been claiming Job Seeker Allowance for any periods in the last 10 years, please provide the address of the Benefit Office used and the dates of claiming in the Additional Information section.

CURRENT EMPLOYMENT

Can we reference this period of employment immediately?

(If 'No' Please clarify the reasons in the Additional Information section)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Postcode:

Telephone No:

Email:

Nature of Business:

Position Held:

Responsibilities:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

PREVIOUS EMPLOYMENT

Can we reference this period of employment immediately?
(If 'No' Please clarify the reasons in the **Additional Information section**)

☐

Yes

☐

No

Company Name:

Dates of Employment

From (mm/yy)

To (mm/yy)

CONTACT DETAILS

Address:

Nature of Business:

Position Held:

Postcode:

Telephone No:

Responsibilities:

Email:

Is/was this employment full-time or part-time?

☐

Full time

☐

Part time

Is/was this employment governed by a regulatory body?

☐

Yes

☐

No

If 'Yes', name of regulatory body:

Is/was the firm an appointed representative?

☐

Yes

☐

No

If 'Yes', name of regulated firm:

EMPLOYMENT STATUS:

☐

Employed

☐

Self-employed

☐

Unemployed

☐

Education

REASON FOR LEAVING:

☐

Resignation

☐

Redundancy

☐

Retirement

☐

End of contract

☐

Termination/ Dismissal*

☐

Other*

*Please provide details in additional Information section.

OTHER BUSINESS INTERESTS

Are you a shareholder in any company where your shareholding exceeds 25% of the total shares issued?

☐

Yes

☐

No

Do you or have you ever acted as a sole trader, been a partner, director or company secretary?

☐

Yes

☐

No

If you have answered 'Yes' to either of the questions above, please complete the details below. If necessary, please continue in the **Additional Information section**.

| Name of Business | Trading address of Business | Dates of Trading | | Role (e.g. partner, shareholder) | Main Trading Activity | What is happening/ happened to this Business? |
|------------------|-----------------------------|------------------|------------|----------------------------------|-----------------------|---|
| | | From (mm/yy) | To (mm/yy) | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |

Do you have any outstanding debts/liabilities or personal guarantees in respect of the Business/Businesses detailed above?

☐

Yes

☐

No

☐

N/A

Are any of your Businesses insolvent? (i.e. do the liabilities outweigh the assets)

☐

Yes

☐

No

☐

N/A

Will you be receiving leads from the Business(es) detailed above?

☐

Yes

☐

No

☐

N/A

Please confirm if there is any outstanding tax liability which is not paid to date? (e.g. Corporation Tax, PAYE etc.)

☐

Yes

☐

No

☐

N/A

If you have answered 'Yes' to any of the questions detailed above, please provide details in the **Additional Information section**

ACCOUNTANT

Please provide contact details below of your accountant:

Name:

Is the accountant Chartered?

☐

Yes

☐

No

Address:

How long have they acted for you?

From (mm/yy)

To (mm/yy)

Postcode:

Telephone No:

Fax No:

Email:

FITNESS AND PROPRIETY

The following questions are prescribed information required by the Financial Conduct Authority. Please answer them by ticking the appropriate box. Where a 'Yes' box is ticked, please provide full details in the Additional Information section.

1.01 CRIMINAL PROCEEDINGS

When answering the questions in this section the candidate should include matters whether in the UK or overseas .

Because you are applying for a regulated role, you must include spent and unspent convictions and cautions in this section.

1.01.1

- a) Have you ever been convicted of any criminal offence (whether spent or not and whether or not in the United Kingdom):
- ☐ Yes ☐ No
- 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
- ii) Relating to 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?
- b) Are you currently the subject of any criminal proceedings, whether in the UK or elsewhere?
- ☐ Yes ☐ No
- c) Have you ever been given a caution in relation to any criminal offence?
- ☐ Yes ☐ No

1.01.2

Do you have convictions for any offences other than those in **1.01.1** above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?

If the answer to questions **1.01.1a** or **1.01.2** is 'Yes', please provide an official certificate of conviction or equivalent document if and so far as it is available from the UK or, where applicable, another country. Please attach a copy of this form as an Additional Supporting Document.

1.01.3

Are you the subject of any ongoing criminal investigation?

1.01.4

Have you 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?

In answering question **1.01.4**, you should include all matters even where you were not the subject of the investigation.

Has any firm at which you hold or have held a position of influence ever:

- a) Been convicted of any criminal offence? (Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form.)
- ☐ Yes ☐ No
- b) Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence?
- ☐ Yes ☐ No
- c) Been the subject of any criminal proceeding which has not resulted in a conviction?
- ☐ Yes ☐ No
- 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 **1.01.5**, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of **1.01.5d**, 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.

1.02 CIVIL PROCEEDINGS

1.02.1

Have you ever been the subject of a judgment debt, or award, against you?

☐

Yes

☐

No

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

You should include all County Court Judgment(s) (CCJs) made against you, whether satisfied or not); and

- i) The sum and date of all judgment debts, awards or CCJs (whether satisfied or not); and
- ii) The total number of all judgment debts, awards or CCJs ordered.

1.02.2

Have you ever been party to any civil proceedings which resulted in any order against you (other than a judgment debt or award referred to in **1.02.1** above)? (You should include, for example, injunctions and employment tribunal proceedings.)

☐

Yes

☐

No

1.02.3

Are you aware of:

- a) Any proceedings that have begun or anyone's intention to begin proceedings against you, for a CCJ or another judgment debt?
- 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 judgment debt?
- c) Anybody's intention to claim more than £1,000 of CCJs or judgment debts in total from you?

☐

Yes

☐

No

☐

Yes

☐

No

☐

Yes

☐

No

1.02.4

Do you have any current judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?

☐

Yes

☐

No

1.02.5

Have you ever failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made?

☐

Yes

☐

No

1.02.6

Have you ever:

- a) Filed for your own bankruptcy or had a bankruptcy petition served on you?
- b) Been adjudged bankrupt?
- c) Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order) or offered a bankruptcy restrictions undertaking?
- d) Made any arrangements with your creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?
- e) Had assets sequestrated?
- 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 you or result in any kind of agreement with you?

☐

Yes

☐

No

☐

Yes

☐

No

☐

Yes

☐

No

☐

Yes

☐

No

☐

Yes

☐

No

☐

Yes

☐

No

1.02.7

Do you, or any undertaking under their management, have any outstanding financial obligations arising from regulated activities, which have been carried out in the past (whether or not in the UK or overseas)?

☐

Yes

☐

No

1.02.8

Have you ever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct?

☐

Yes

☐

No

1.02.9

Are you currently:

a) Party to any civil proceedings (including those covered in 1.02.7 above)?

☐

Yes

☐

No

b) Aware of anybody's intention to begin civil proceedings against you?
(You should include any ongoing disputes whether or not such dispute is likely to result in any order against you.)

☐

Yes

☐

No

1.02.10

Has any firm at which you hold or have held a position of influence ever been:

a) Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?

☐

Yes

☐

No

b) The subject of a judgment debt or award against the firm? (You should include all CCJs made against the firm, whether satisfied or not.)

☐

Yes

☐

No

c) Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in **1.02.10a** and **1.02.10b** above?

☐

Yes

☐

No

1.02.11

Is any firm at which you currently hold or have held, within the last 12 months from the date of the submission of this 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

1.02.12

Has any company, partnership or unincorporated association of which you 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

1.03 BUSINESS AND EMPLOYMENT MATTERS

1.03.1

Have you ever been:

a) Disqualified from acting as a director or similar position (one where you act 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 you)?

☐

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 you?

☐

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

1.03.2

Have you ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment or from any fiduciary office or position of trust whether or not remunerated?

☐

Yes

☐

No

1.03.3

Do you have any material written complaints made against you by your clients or former clients in the last 5 years which you have accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme?

☐

Yes

☐

No

1.04 REGULATORY MATTERS

1.04.1

In relation to activities regulated by the FCA or any other regulatory body, have:

- You, or
 - Any company, partnership or unincorporated associate of which you are – or have been – a controller, director, senior manager, partner or company secretary, during your association with the entity and for a period of 3 years after you 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?
- b) Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body?
- c) Received a warning (whether public or private) that such disciplinary or interventional action may be taken against you or the firm?
- d) Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against you or the firm?
- 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)?
- 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?
- g) Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?
- 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?
- i) Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?
- 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?
- k) Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions).

☐

Yes

☐

No

☐

Yes

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No

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Yes

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No

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Yes

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Yes

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Yes

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No

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Yes

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No

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Yes

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No

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Yes

☐

No

1.04.2

In relation to activities regulated by the FCA or any other regulatory body, Have you or any firm at which you hold or have held a position of influence at any time during and within one year of your association with the firm ever:

- | | | |
|--|------------------------------|-----------------------------|
| a) Been found to have carried on activities for which authorisation or registration by the FCA or any other regulatory body is required without the requisite authorisations? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| b) Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against you? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 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? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| d) Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against you? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| e) Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA of the identity of a person acting in a position of influence over its electronic money or payment services business? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 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? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

1.05 OTHER MATTERS

1.05.1

Are you, 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 functions for which approval is now being sought?

Please include details of any financial or non-financial interests or relationships of you and their close relatives to members of the management body and key function holders in the same institution, the parent institution and subsidiaries and shareholders? For the purposes of this question "management body" has the meaning in Directive 2014/65/EU.

☐ Yes ☐ No

1.05.2

Are you or the firm aware of any other information relevant to this notification that we might reasonably expect from you?

☐ Yes ☐ No

Please use the Additional Information section to provide any information relating to the questions in this section and enclose copies of any relevant correspondence.

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

MONTHLY INCOME & EXPENDITURE

Pages 21-23 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.

CURRENT MONTHLY INCOME

MONTHLY INCOME

Average net income

Partner's net income (if applicable)

OTHER MONTHLY INCOME (E.G. RENT, PENSION, BENEFITS ETC.)

Please specify:

Please specify:

Please specify:

Total combined incomes

ASSETS

House (main residence)

Second property

Third property

Car(s)

Cash: Bank/Building society

INVESTMENTS

Type of investment

Type of investment

Type of investment

OTHER ASSETS (EXCLUDING HOUSE CONTENTS AND PENSION FUNDS)

Please specify:

Total assets

TOTALS

Total Income

Total Expenditure

Net Figure

CREDIT COMMITMENTS

Have you been in arrears with the following credit commitments in the last 12 months?

| | | | | | |
|--------------------|------------------------------|-----------------------------|---------------|------------------------------|-----------------------------|
| Mortgages | <input type="checkbox"/> Yes | <input type="checkbox"/> No | Secured loans | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Personal loans | <input type="checkbox"/> Yes | <input type="checkbox"/> No | Credit cards | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Finance agreements | <input type="checkbox"/> Yes | <input type="checkbox"/> No | | | |

In the last 5 years, have you entered into any individual arrangement with creditors or currently have a debt arrangement in place?

☐ Yes ☐ No

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

OUTGOINGS AND LIABILITIES

MORTGAGES

Main residence* – Lender:

Second property* – Lender:

Third property* – Lender:

*Please include any additional property addresses to the Additional information section

LOANS

Lender:

Lender:

Lender:

CREDIT/STORE CARDS

Provider:

Provider:

Provider:

OTHER OUTGOINGS (E.G. RENT, HIRE PURCHASE PLANS, MAINTENANCE)

Please specify:

Please specify:

HOUSEHOLD EXPENSES (E.G. UTILITIES, FOOD, AND OTHER LIVING COSTS)

Total monthly cost:

BANK OVERDRAFTS IN USE

Agreed limit:

Provider:

Provider:

FINANCIAL SERVICES DEBTS

Name of company:

PERSONAL GUARANTEES

Purpose/creditor:

TAX

Paid to Date

Y

N

N/A

Date due (mm/yy)

Income

Corporation

PAYE

TOTALS

Totals:

Monthly
payment (£)Outstanding
liability (£)Monthly
payments (£)Outstanding
liabilities (£)

DISCLOSURE

PRIMIS Mortgage Network require all relevant information to be disclosed.

Please note, this application and the fitness and propriety section asks questions of fact rather than what you may consider as being justified and some questions include the word ‘ever’ meaning the required answers are not restricted to a specified period.

If in doubt, please contact the Broker Services Team via the details provided below.

Telephone: 01249 467 591

E-mail: brokerserviceteam@primis.co.uk

PRIMIS Mortgage Network will not proceed with an application if we consider information has been deliberately withheld, is false, misleading or incomplete facts have been provided. We reserve the right to report any concerns to the Local authorities and/or the Regulator.

APPLICANT’S DECLARATION

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 6 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.

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.

Signature:

Name:

Date:

PRINCIPAL'S DECLARATION

Please tick/complete all relevant boxes, and read/complete the declaration below

Employment status: ☐ Employed ☐ Self-employed

Training status: ☐ Academy ☐ Experienced

If 'Academy' what is the mentor's name:

Proposed course date:

Proposed appointment date:

I confirm the contents of this application have been fully completed by the applicant, and to the best of my knowledge all relevant details have been disclosed.

☐

I confirm I have verified this person is eligible to work in the UK

☐

FIRM PRINCIPAL (ONLY REQUIRED IF APPLICATION IS FOR AN INDIVIDUAL JOINING AN EXISTING FIRM)

Signature:

Name:

Date:

REGIONAL SALES DIRECTOR

(ONLY REQUIRED IF THIS APPLICATION RELATES TO A NEW APPOINTED REPRESENTATIVE FIRM)

Signature:

Name:

Date:

ADDITIONAL INFORMATION

Please provide additional information below ensuring you make it clear which section / question it is in relation to.