

**Application for Authorisation

Controllers appendices - Individual**

**Full name of applicant firm**

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**Important information you should read before completing this form**

The FCA and Bank of England process personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notices available on our websites:

* FCA : [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy)
* Bank of England: <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

 **It is important that you provide accurate and complete information and disclose all relevant information. If you do not, you may be committing a criminal offence, it may increase the time taken to assess your application and may call into question your suitability to be authorised.**

**Terms in this form**

In this form we use the following terms:

* **‘we’, 'our', or ‘us’** refers to the appropriate regulator
* **‘the FCA’** refers to the Financial Conduct Authority
* **‘the PRA’** refers to the Prudential Regulation Authority
* **‘Applicant firm’** refers to the firm applying for authorisation
* **‘You’** refers to the person(s) signing the form as controller

**Purpose of this form**

This appendix collects information about the controller of the applicant firm.

**Filling in the form**

**1** If you are using your computer to complete the form:

* use the TAB key to move from question to question and press SHIFT TAB to move back to the previous question
* print out the completed form and sign the declaration in Section 5

**2** If you are filling in the form by hand:

* use black ink
* write clearly
* sign the declaration in section 5

**3** If you leave a question blank or do not sign the declaration or do not attach the required supporting information and do not tell us why, we will have to treat the application as incomplete, which will increase the time taken to assess this application.

**4** If there is not enough space on the forms, you may need to use separate sheets of paper. Clearly mark each separate sheet of paper with the relevant question number.

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| 1 | Your details |

 **1.1 First names**

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 **1.2 Surname**

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 **1.3 Any previous surnames or first names. Please include details of when you changed them**

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 **1.4 Name you are commonly known by, if different**

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 **1.5 Date of birth (dd/mm/yy)**

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 **1.6 Place of birth**

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 **1.7 National insurance number**

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 **1.8 Passport number, if national insurance number is not applicable.**

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 **1.9 Your nationality**

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 **1.10 Have you ever had a different nationality? If yes, you must give your previous nationality.**

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| 2 | Your address |

 **2.1 Current private address**

If you live outside the UK and do not have an UK address you must provide your address outside the UK and tick the box below.

[ ]  I live outside the UK and have no UK address.

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| Address |       |
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|  |
| Country |       |
| Postcode |       |

 **2.2 When did you move into this address (mm/yy)?**

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 If you moved into this address less than three years ago, please give previous addresses for the last three years. There is space to write three addresses; please use a separate piece of paper if you need more space.

**Previous address 1**

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| Address |       |
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|  |
| Country |       |
| Postcode |       |

**Previous address 2**

|  |  |
| --- | --- |
| Address |       |
|  |
|  |
| Country |       |
| Postcode |       |

**Previous address 3**

|  |  |
| --- | --- |
| Address |       |
|  |
|  |
| Country |       |
| Postcode |       |

Please indicate how many separate sheets of paper you have used

|  |  |
| --- | --- |
| Number of additional sheets |       |

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| 3 | Other directorships |

 **3.1 You must give details of any directorships you hold in the UK or outside the UK.**

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| --- | --- | --- | --- | --- |
| Name of undertaking |  | Nature of business |  | Place of business |
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| 4 | About your fitness and propriety |

 **Criminal Proceedings**

 **4.1 Have you ever been convicted, in the UK or elsewhere, of any offence involving fraud, theft, false accounting or other dishonesty?**

[ ]  **No** [ ]  **Yes**

 **4.2 Have you ever been convicted, in the UK or elsewhere, of any offence related 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, insider dealing or compensation claims?**

[ ]  **No** [ ]  **Yes**

 **4.3 Have you ever been convicted, in the UK or elsewhere, of any offences other than those listed in 4.1 and 4.2 that are not spent?**

Do not include traffic offences unless these traffic offences resulted in a ban from driving or involved driving without insurance.

[ ]  **No** [ ]  **Yes**

 **4.4 Are you the subject, in the UK or elsewhere, of any current criminal investigation or proceedings?**

[ ]  **No** [ ]  **Yes**

**4.5** **For an individual controller who is not currently approved to hold a Senior Management Function by the FCA/PRA, has a criminal record check been carried out within the last 6 months?**

[ ]  **No** [ ]  **Yes** [ ]  **N/A**

For individual controllers that are not currently approved to hold a Senior Management Function by the FCA/PRA, a standard Disclosure and Barring Service (DBS) check should be carried out. If the individual is based in Scotland, Northern Ireland or outside of the United Kingdom, they’ll need to request an equivalent criminal record check. Evidence of the check should be readily available upon request.

**If answering no or n/a, please provide a reason below.**

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**Civil proceedings**

 **4.6 Are you or have you ever been the subject, in the UK or elsewhere, of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (CCJ) or other judgement debts?**

[ ]  **No** [ ]  **Yes**

 **4.7 Are you aware of anybody's intention, in the UK or elsewhere, to take any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (CCJ) or other judgment debts against you?**

[ ]  **No** [ ]  **Yes**

 **4.8 Do you have any judgement debts (including CCJs), in the UK or elsewhere, made under a court order still outstanding, in full or in part?**

[ ]  **No** [ ]  **Yes**

 **4.9 Have you ever failed to satisfy any judgment debts (including CCJs), in the UK or elsewhere, within one year of the order being made?**

[ ]  **No** [ ]  **Yes**

 **4.10 Are you or have you ever been the subject in the UK or elsewhere of any bankruptcy proceedings, or proceedings for the sequestration of your estate?**

[ ]  **No** [ ]  **Yes**

 **4.11 Have you ever entered into a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed) or other agreement, in the UK or elsewhere, in favour of your creditors?**

[ ]  **No** [ ]  **Yes**

 **4.12 Do you or any undertaking under your management have any outstanding financial obligations arising from regulated activities, carried on in the past, in the UK or elsewhere?**

[ ]  **No** [ ]  **Yes**

 **4.13 Have you or any undertaking under your management ever been found guilty of carrying on any unauthorised regulated activities or been investigated for possible carrying on of unauthorised regulated activities?**

[ ]  **No** [ ]  **Yes**

 **4.14 Are you or have you ever been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?**

[ ]  **No** [ ]  **Yes**

 **4.15 Have you ever, in the UK or elsewhere, been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust, whether or not remunerated?**

[ ]  **No** [ ]  **Yes**

 **4.16 Have you ever, in the UK or elsewhere, been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?**

[ ]  **No** [ ]  **Yes**

 **4.17 Have you ever, in the UK or elsewhere, been disqualified by a court from acting as a director of a company or from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association?**

[ ]  **No** [ ]  **Yes**

**4.18 Have you ever been the subject of a disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order, under section 56A of the Financial Services and Markets Act 2000, or received a warning notice to make such a direction or order?**

[ ]  **No** [ ]  **Yes**

**Activities regulated by us or other regulatory body**

 **4.19 Have you or has any company, partnership or unincorporated association for which you are or were a controller, director, senior manager, partner or company secretary, during your association with that entity and for a period of three years after you ceased to be associated with it:**

4.19.1 been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by us or other regulatory body?

[ ]  **No** [ ]  **Yes**

4.19.2 been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by us or other regulatory body?

[ ]  **No** [ ]  **Yes**

4.19.3 resigned while under investigation by us, or been required to resign from us or other regulatory body?

[ ]  **No** [ ]  **Yes**

4.19.4 applied to us or other regulatory body for any of the following and decided not to proceed with it:

• licence

• authorisation

• registration

• notification

• membership

• other permission?

[ ]  **No** [ ]  **Yes**

4.19.5 had a finding against you in any civil action in relation to any activities regulated by us or other regulatory body?

[ ]  **No** [ ]  **Yes**

**Your involvement in other organisations**

 **4.20 Has any company, partnership, or unincorporated association of which you are or were a controller, director, senior manager, partner, or company secretary, in the UK or elsewhere, at any time during your involvement or within one year of your involvement:**

4.20.1 been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors?

[ ]  **No** [ ]  **Yes**

4.20.2 been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?

[ ]  **No** [ ]  **Yes**

4.20.3 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?

[ ]  **No** [ ]  **Yes**

4.20.4 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 (not mentioned in answer to question 4.19.2)?

[ ]  **No** [ ]  **Yes**

 **4.21 Do you have any personal or business interests, employment obligations, or any other situations that may conflict with your role as a controller of the applicant firm or your position at the controller?**

[ ]  **No** [ ]  **Yes**

 **4.22 Are you aware of any other information relevant to this application that we would reasonably expect you to give, including information that could have a material impact on this application?**

[ ]  **No** [ ]  **Yes**

 **4.23 If you have answered Yes to any of the Questions 4.1 to 4.22, please give clear details on a separate sheet of paper**.

You must include:

• the question number the information relates to

• the date of any events

• any amounts involved

• the outcome

• relevant circumstances and explanations

• copies of supporting documents.

Please indicate how many separate sheets of paper you have used

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| Number of additional sheets |       |

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| 5 | Declaration |

It is a criminal offence, knowingly or recklessly, to give the appropriate regulator information that is materially false or misleading (see sections 398 and 400 FSMA). Even if you believe or know that information has been provided to the appropriate regulator before (whether as part of another application or otherwise) or is in the public domain, you must nonetheless disclose it clearly and fully in this form and as part of this application – you should not assume that the appropriate regulator will itself identify such information during the assessment of this application. If there is any doubt about the relevance of information, it should be included.

There will be a delay in processing the application if information is inaccurate or incomplete, and it may call into question the suitability of the applicant and/or lead to the appropriate regulator exercising its powers (including but not limited to taking disciplinary/ Enforcement action). You must notify the appropriate regulator immediately if there is a change to the information in this form and/or if inaccurate information has been provided.

I/We confirm that the information provided in this application is accurate and complete to the best of my/our knowledge. I/We will notify the appropriate regulator immediately if there is a material change to the information provided.

I/We authorise the appropriate regulator to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this application. These checks may include credit reference checks or information pertaining to fitness and propriety. I/We are aware that the results of these enquiries may be disclosed to the firm/employer/applicant.

I/We agree that the appropriate regulator may, in the course of processing the application, undertake a Police National Computer (PNC) check in respect of any or all of the persons to whom this application relates.

Where the signatory to this application has provided an address and/or email address in connection with the applicant’s business, the signatory agrees on behalf of the applicant that the appropriate regulator may use such address and email address as the ‘proper address for service’ at which to give the applicant a ‘relevant document’ as those terms are defined in Financial Services and Markets Act 2000 (Service of Notice) Regulations (SI 2001/1420).

I have attached the relevant documents where requested or I have them fully ready and available on request and I have taken all reasonable steps to ensure they are correct.

I confirm that where I have certified that documents are ready they have been prepared to an appropriate standard and are available for immediate inspection by the appropriate regulator.

I understand that the appropriate regulator may require the applicant firm to provide further information or documents at any time.

I confirm that I am authorised to sign this form on behalf of the firm and/or controller(s) and (where applicable) to give each of the confirmations on behalf of the applicant set out in this declaration.

The FCA and the Bank of England process personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our privacy notices available on the FCA’s website at: <https://www.fca.org.uk/data-protection> and the Bank of England’s website at: <https://www.bankofengland.co.uk/prudential-regulation/authorisations>

In addition to other regulatory responsibilities, firms and approved persons have a responsibility to disclose to the appropriate regulator matters of which it would reasonably expect to be notified. Failure to notify the appropriate regulator of such information may lead to the appropriate regulator taking disciplinary or other action against the firm and/or individuals.

I am aware that, while advice may be sought from a third party (e.g. legal advice), responsibility for the accuracy of information, as well as the disclosure of relevant information, on the form is ultimately the responsibility of those who sign the application.

**Review and Submission**

The ability to submit this form is given to an appropriate user or users by the firm's principal compliance contact.

Tick here to confirm that the person submitting this Form on behalf of the Firm and (if applicable) the Individual named below - have read and understood the declaration and that a copy of this form, as submitted to the FCA, will be sent to the Applicant at the same time as submitting the form to the FCA. [ ]

**Who must sign the declaration?**

This declaration must be signed by the person who is responsible for making this application on behalf of the Applicant as well as the individual controller named in Section 1 of this form.

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

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| Individual’s full name |       |
| Signature |       |
| Date |       |

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| Name of firm submitting the application |       |
| Name of authorised signatory |       |
| Signature |       |
| Date |       |

##  What to do next

You must give the form back to the person who is responsible for making the application for authorisation. They should send the form back to the appropriate regulator.