

CONFIDENTIAL - FIT AND PROPER QUESTIONNAIRE

Please delete as appropriate

1.1	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 you are subject to the law of England and Wales, you must disclose spent convictions and cautions (other than a protected conviction or caution). (In the following questions, you should include all matters even when the arrest, charge, prosecution or investigation did not result in a conviction, and, in respect of 1.1.4, even where you yourself were not the subject of the investigation.)		
1.1.1 a)	Have you ever been convicted of any criminal offence (whether spent or not and whether or not in the United Kingdom): <ul style="list-style-type: none"> • Involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidating of witnesses or jurors), serious tax offences or other dishonesty, or • 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? 	YES	NO
		YES	NO
1.1.1 b)	Are you currently, or have you ever been, the subject of any criminal proceeding, whether in the UK or elsewhere?	YES	NO
1.1.1 c)	Have you ever been given a caution in relation to any criminal offence?	YES	NO
1.1.2	Have you had any convictions for any offences other than those in 1.1.1 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance?)	YES	NO
1.1.3	Have you ever been arrested or charged with any criminal offence or been the subject of any criminal investigation? (You should include all matters even if the arrest, charge or investigation did not result in a conviction.)	YES	NO
1.1.4	Have you ever been ordered to produce documents pursuant to any criminal investigation or been the subject of a search (with or without a warrant) pursuant to any criminal investigation?	YES	NO
1.1.5	Has any firm at which you hold or have held a position of influence ever: (Please check the guidance notes for the meaning of 'position of influence' in the context of the questions in this part of the form). <ul style="list-style-type: none"> a) Been convicted of any criminal offence? b) Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence? c) Been the subject of any criminal proceeding which has not resulted in a conviction? 	YES YES YES	NO NO 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
1.2	Civil Proceedings		
1.2.1	Have you ever been the subject of a judgement debt or award against you?	YES	NO
1.2.2	Have you ever been party to any civil proceedings which resulted in any order against you (other than a judgement debt or award referred to at 1.2.1 above)? (You should include, for example, injunctions and employment tribunal proceedings.)	YES	NO
1.2.3	Are you aware of: a) Any proceedings that have begun, or anyone's intention to begin proceedings against you, for a GGJ or another judgement 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 judgement debt? c) Anybody's intention to claim more than £1000 of CCJs or judgement debts in total from you?	YES YES YES	NO NO NO
1.2.4	Do you have any current judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part?	YES	NO
1.2.5	Have you ever failed to satisfy any 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
1.2.6	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 YES YES YES YES YES	NO NO NO NO NO NO
1.2.7	Do you, or any undertaking under your 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
1.2.8	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
1.2.9	Are you currently: a) Party to any civil proceedings? (Including those covered in 1.2.7) 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 YES	NO NO
1.2.10	Has the firm at which you hold or have held a position of influence ever been:		

	<p>a) Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct?</p> <p>b) The subject of a judgement debt or award against the firm? (You should include all CCJs made against the firm whether satisfied or not).</p> <p>c) Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 1.2.10a) and 1.2.10b) above?</p>	YES	NO
		YES	NO
		YES	NO
1.2.11	<p>Is any firm at which you currently hold, or have held within the last 12 months from the date of submission of this form, a position of influence:</p> <p>a) A party to civil proceedings?</p> <p>b) Aware of anyone's intention to begin civil proceedings against them?</p>	YES	NO
		YES	NO
1.2.12	<p>Has any company, partnership, or unincorporated association of which you are or have been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during your 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?</p>	YES	NO
1.3	Business and Employment Matters		
1.3.1	<p>Have you ever been:</p> <p>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)?</p> <p>b) The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against you)?</p> <p>c) The subject of any investigation which has led or might lead to disciplinary proceedings?</p> <p>d) Notified of any potential proceedings of a disciplinary nature against you?</p> <p>e) The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?</p> <p><i>This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.</i></p>	YES	NO
		YES	NO
		YES	NO
		YES	NO
		YES	NO
1.3.2	<p>Have you 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?</p>	YES	NO
1.3.3	<p>Do you have any material written complaints made against you by your clients or former clients in the last five years which you have accepted, or which are awaiting determination, or have been upheld - by an ombudsman or complaints scheme?</p>	YES	NO
1.4	Regulatory Matters		
1.4.1 a)	<p>In relation to activities regulated by the FCA and/or PRA or any other regulatory body (see note section 5), have:</p> <ul style="list-style-type: none"> • You, or • Any company, partnership or unincorporated associate of which you are or have been a controller, director, senior manager, 		

	<p>partner or company secretary, during your association with the entity and for a period of three years after you ceased to be associated with it, ever -</p> <p>a) Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisation, registration, notification, membership or any other permission granted by any such body?</p> <p>b) Been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or interventional action by any such body?</p> <p>c) Received a warning (whether public or private) that such a disciplinary or interventional action may be taken against you or the firm?</p> <p>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?</p> <p>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)?</p> <p>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?</p> <p>g) Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body?</p> <p>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?</p> <p>i) Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court?</p> <p>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?</p> <p>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).</p>	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>
1.4.2	<p>In relation to activities regulated by the FCA/PRA 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:</p> <p>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 authorisation?</p> <p>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 you?</p> <p>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?</p> <p>d) Been investigated for the possible performance of a controlled function (or an equivalent function requiring approval by the FCA/PRA or</p>	<p>YES</p> <p>YES</p> <p>YES</p> <p>YES</p>	<p>NO</p> <p>NO</p> <p>NO</p> <p>NO</p>

	any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against you? 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/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	NO
1.5	Other Matters		
1.5.1	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 in the respect of your control of the firm/with your role as controller of the applicant firm or your position as the controller?	YES	NO
1.5.2	Are you aware of any other information relevant to this notification that we might reasonably expect you to give?	YES	NO

I confirm that I have read and understood all of the above questions and my responses are full and complete, omitting no material information.

<p>Signed _____</p> <p>Name _____</p> <p>Date _____</p>
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