

Individual Form to assess the appropriate resources and suitability in relation to individuals responsible for the management of a CMC - Notes

Important information you should read before completing this form

Indicate clearly if a question is not applicable. Tick the appropriate box where a yes/no answer is required. Further details should be given in Section 6 (Supplementary Information) if there is insufficient space for a detailed answer.

Additional information can be attached to the application in Connect. You must indicate in Section 6 the number of additional sheets attached.

Do not assume that information is known to the FCA merely because it is in the public domain, or has been previously disclosed to the FCA or to another regulatory body. In all circumstances, disclosures should be full, frank and unambiguous. If there is any doubt about the relevance of information, it should be included. The information supplied by the individual should be verified by the firm wherever possible. If the FCA's vetting checks reveal any matters that have not been disclosed, then applications will be delayed and, in some cases, possibly rejected.

The firm is responsible for the accuracy of the data and completion of the Form. If the Form is not fully and correctly completed, the FCA may need to return it for proper completion. The FCA may require the applicant to provide further information at any time after receiving an application. If a firm has provided, or has information that reasonably suggests that it may have provided, the FCA with information which was or has become false, misleading, incomplete or inaccurate, in a material particular, it must notify the FCA immediately. Failure to notify the FCA may result in a delay in processing or rejection.

1 Personal identification details

The information collected in this section (including nationality, place of birth, date of birth, previous names) is used to assist us in verifying the identity of the candidate thereby enabling us to discharge our statutory functions under the Financial Services and Markets Act 2000 and other relevant legislation. This information will not be disclosed for any other purpose without the permission of the applicant.

1.1a FCA Individual Reference Number (IRN) (if individual is already registered with the FCA)

If the individual does not have an FCA Individual Reference Number or does not know it, include the name of the previous regulator and the previous Individual Reference Number, as applicable. For individuals who have previously been approved with the FCA, their reference number can be found on the [Financial Services Register](#).

1.1b-1.5

No additional notes

1.6 Previous name(s)

If the individual has more than one previous name (surname or forenames), or is known by any other names, you must provide details in Section 6.

1.7-1.10

No additional notes

1.11 Nationality

If the individual has more than one nationality you must provide details in Section 6.

1.12 Contact details of individual

No additional notes

1.13-1.14

A full three- year history for United Kingdom addresses must be given for the individual. Any gaps must be fully explained or a statement provided in either the address history or Section 6 of the form, stating that the individual resides abroad.

2 Firm identification details

No additional notes

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3 Individual arrangements

No additional notes

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4 Employment history and qualifications

A full five-year employment history for the individual must be provided including their current employment at the time of application, with all gaps explained. If the record of employment does not go back five years, all periods of education and unemployment must be indicated. Full details of any periods of self-employment must be included.

Always give the address of the actual place of employment, rather than a central head office.

If there are insufficient pages to provide all of an individual's employment history, either add the information at Section 6 or copy page 7 of the form and attach the additional pages to your application in Connect.

State the position held by the individual and a brief explanation of his or her duties. If the individual's job title included the word "director" but his or her duties did not include those associated with the title of director, as defined in the FCA Glossary, this should be indicated.

The reason for leaving each employer must be given. If there were any issues arising on leaving that could affect the Fitness and Propriety of the individual, these must be fully explained in Section 6. Previous employers may be contacted and the omission of relevant details may result in applications being delayed and, in some cases, possibly rejected.

5 Appropriate resources and suitability

“Regulatory body” in this context refers to:

- i. the self-regulatory organisations including IMRO, SFA, PIA, LAUTRO, FIMBRA, AFBD and TSA;
- ii. the statutory bodies including the FCA, SIB, the Society of Lloyd’s, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England; HM Treasury – Insurance Directorate (formerly of the DTI) and the recognised bodies;
- iii. the designated professional bodies; and
- iv. the equivalent of all such regulators overseas.

5.1 and 5.2

It is for senior management to decide what checks should be made. Under the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 ('the Order') (see Articles 3 and 4 of the Order) the FCA and the firm have a right to ask about spent, as well as unspent, criminal convictions for employment purposes about individuals.

5.3-5.23

No additional notes

6 Supplementary information

Relevant documents must also be provided, such as evidence of the settlements of County Court Judgments.

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7 Declaration and signatures

Signatures must not be dated more than three months prior to the date of submission of the application.

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