

**Application for Authorisation  
  
Controllers appendices – Natural Persons form**

**Legal name of applicant firm**

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

The FCA processes 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 notice available on our website: [www.fca.org.uk/privacy](http://www.fca.org.uk/privacy) .

**It is important that you provide accurate and complete information.  Knowingly or recklessly giving the FCA information which is false or misleading in a material particular may be a criminal offence (sections 398 and 400 of the Financial Services and Markets Act 2000).  SUP 15.6.1R and SUP 15.6.4R (where applicable) require an authorised person to take reasonable steps to ensure the accuracy and completeness of information given to the FCA and to notify the FCA immediately if materially inaccurate information has been provided.  If necessary, please take appropriate professional advice before supplying information to us.**

**Terms in this form**

In this form we use the following terms:

* + ‘you’ refers to the person(s) signing the form as controller
  + ‘the applicant firm’ refers to the firm applying for authorisation
  + ‘the FCA’, ‘we’, 'our', or ‘us’ refers to the Financial Conduct Authority

**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 7

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

* use black ink
* write clearly
* sign the declaration in Section 7

**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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**1.11 Your telephone number**

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**1.12 Your e-mail address**

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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.

|  |  |
| --- | --- |
| 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 fewer 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**

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

**Previous address 3**

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

Please indicate how many separate sheets of paper you have used

|  |  |
| --- | --- |
| Number of additional sheets |  |
| 3 | CV and other directorships | | | |

**3.1 You must provide a detailed CV (or equivalent document) stating relevant education and training, previous professional experience, and any professional activities or other relevant functions currently performed**

Attached

**3.2 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 |

For the purposes of this form, a regulatory body is any of the following:

• a self-regulatory organisation – including Investment Management Regulatory Organisation ('IMRO'), Securities and Futures Agency ('SFA'), Personal Investment Authority ('PIA'), Life Assurance and Unit Trust Regulatory Organisation ('LAUTRO'), Financial Intermediaries, Managers and Brokers Regulatory Association ('FIMBRA'), Association of Futures Brokers and Dealers Limited ('AFBD') and The Securities Association Limited ('TSA');

• a statutory body, including the FCA, the PRA, the Financial Services Authority (FSA), Securities and Investments Board ('SIB'), the Society of Lloyd's, the Registry of Friendly Societies, the Friendly Societies Commission, the Building Societies Commission, the Bank of England, the Treasury – Insurance Directorate (formerly the DTI) and the recognised bodies;

• a designated professional body; or

• the equivalent of any of these regulators overseas.

By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979 you are required to give details of spent convictions (other than protected ones) in response to questions in this form.

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

**Please provide the following information concerning the controller, and any undertaking directed or controlled by the proposed controller, over the last 10 years**

**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 or insider dealing?**

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 a controller who is not currently approved as a SMF manager (**[**https://www.handbook.fca.org.uk/handbook/glossary/G3503f.html?filter-title=smf**](https://www.handbook.fca.org.uk/handbook/glossary/G3503f.html?filter-title=smf)**) by the FCA/PRA, has a criminal record check been carried out within the last 6 months?**

No  Yes  N/A

A standard Disclosure and Barring Service (DBS) check must be carried out, except for sole directors who are only required to carry out a basic check. 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.

**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 judgment 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 judgment 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 subject to an assessment of reputation as an acquirer or as a person who directs the business of a financial institution by another regulatory body?**

No  Yes

**4.19.2 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

**4.19.3 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

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

No  Yes

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

**• licence;**

**• authorisation;**

**• registration;**

**• notification;**

**• membership; or**

**• other permission?**

No  Yes

**4.19.6 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 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

**4.22 If you have answered Yes to any of the questions 4.1 to 4.21, 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 including, in so far as they are available, any relevant official certificates

If you answered ‘Yes’ to any of the questions above, where relevant, 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 certificate as an Additional Supporting Document.

If you have answered Yes to question 4.19.1, please provide also the following information:

* the identity of the regulatory body which carried out the assessment
* evidence of the outcome of the assessment

Please indicate how many separate sheets of paper you have used

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| Number of additional sheets |  |

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| 5 | Financial position and business activities |

**5.1 You must provide information regarding your current financial position including details concerning:**

* sources of revenues
* assets and liabilities
* pledges and guarantees, granted or received

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Wemay request further evidence and supporting documentation to verify this information.

**5.2 Please provide below a description of your business activities**

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**5.3 Please provide other relevant financial information, including credit ratings and publicly available reports, on the undertakings of which you currently are a controller or director**

Attached

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| 6 | Other financial and non-financial interests |

**6.1 Please provide a description of your financial and non-financial interests or relationships with the persons listed in the following points:**

1. any other shareholder of the applicant firm
2. any person entitled to exercise voting rights of the applicant firm in any of the following cases or a combination of them

* voting rights held by a third party with whom that person or entity has concluded an agreement, which obliges them to adopt, by concerted exercise of the voting rights they hold, a lasting common policy towards the management of the issuer in question
* voting rights held by a third party under an agreement concluded with that person or entity providing for the temporary transfer for consideration of the voting rights in question
* voting rights attaching to shares which are lodged as collateral with that person or entity, provided the person or entity controls the voting rights and declares its intention of exercising them
* voting rights attaching to shares in which that person or entity has the life interest
* voting rights which are held, or may be exercised within the meaning of the first four items of this (2), by an undertaking controlled by that person or entity
* voting rights attaching to shares deposited with that person or entity which the person or entity can exercise at its discretion in the absence of specific instructions from the shareholders
* voting rights held by a third party in its own name on behalf of that person or entity
* voting rights which that person or entity may exercise as a proxy where the person or entity can exercise the voting rights at its discretion in the absence of specific instructions from the shareholders

1. any member of the management body or of the senior management of the applicant firm
2. the applicant firm itself and its group

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**6.2** **Please provide information on any other interests or activities that may be in conflict with those of the applicant firm and possible solutions for managing those conflicts of interest:**

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| 7 | Declaration | |

It is a criminal offence knowingly or recklessly to give us information that is materially false, misleading or deceptive. If necessary, appropriate professional advice should be sought before supplying information to us.

There will be a delay in processing the application if any information is inaccurate or incomplete.

Failure to notify us immediately of any significant change to the information provided may result in a serious delay in the application process.

With reference to the above, we may seek to verify the information in this form including answers pertaining to fitness and propriety.

▪ I understand it is a criminal offence knowingly or recklessly to give the FCA information that is materially false, misleading or deceptive.

▪ I confirm that the information in this form is accurate and complete to the best of my knowledge and belief.

▪ I authorise the FCA to make such enquiries and to seek such further information as it thinks appropriate to verify the information given on this form. I also understand that the results of these checks may be disclosed to the applicant for authorisation.

|  |  |  |
| --- | --- | --- |
| Name |  | |
| Signature |  | |
| Date  (dd/mm/yy) |  |

## What to do next

You must give the form back to the person who is responsible for making the application for authorisation. They should attach the form to their application via Connect.