**Fitness and Propriety Questionnaire – Certification Regime**

|  |  |
| --- | --- |
| **Honesty Integrity and Reputation**Have any of the following arisen in the UK or elsewhere? |  |
| 1. Have you been convicted of any criminal offence; this must include, where provided for by the Rehabilitation Exceptions Orders to the Rehabilitation of Offenders Act 1974 or the Rehabilitation of Offenders (Northern Ireland) Order 1978 (as applicable), any spent convictions?
 | Yes [ ]  No [ ]  |
| 1. In particular have you been convicted of a criminal offence involving dishonesty, fraud, financial crime or an offence under legislation relating to companies, building societies, industrial and provident societies, credit unions, friendly societies, banking, other financial services, insolvency, consumer credit companies, insurance, consumer protection, money laundering, market manipulation and insider dealing, whether or not in the United Kingdom?
 | Yes [ ]  No [ ]  |
| 1. Have you been the subject of any adverse finding or any settlement in civil proceedings, particularly in connection with investment or other financial business, misconduct, fraud or the formation or management of a body corporate?
 | Yes [ ]  No [ ]  |
| 1. Have you been the subject of, or been interviewed in the course of, any existing or previous investigation or disciplinary proceedings, by the appropriate regulator, by other regulatory authorities (including a previous regulator), clearing houses and exchanges, professional bodies, or government bodies or agencies?
 | Yes [ ]  No [ ]  |
| 1. Are you or have you been the subject of any proceedings of a disciplinary or criminal nature, or have you been notified of any potential proceedings or of any investigation which might lead to those proceedings?
 | Yes [ ]  No [ ]  |
| 1. Have you contravened any of the requirements and standards of the regulatory system or the equivalent standards or requirements of other regulatory authorities (including a previous regulator), clearing houses and exchanges, professional bodies, or government bodies or agencies?
 | Yes [ ]  No [ ]  |
| 1. Have you been the subject of any justified complaint relating to regulated activities?
 | Yes [ ]  No [ ]  |
| 1. Have you been involved with a company, partnership or other organisation that has been refused registration, authorisation, membership or a licence to carry out a trade, business or profession, or has had that registration, authorisation, membership or licence revoked, withdrawn or terminated, or has been expelled by a regulatory or government body?
 | Yes [ ]  No [ ]  |
| 1. Whether, as a result of the removal of the relevant licence, registration or other authority, have you been refused the right to carry on a trade, business or profession requiring a licence, registration or other authority?
 | Yes [ ]  No [ ]  |
| 1. Have you been a director, partner, or concerned in the management, of a business that has gone into insolvency, liquidation or administration whilst you were connected with that organisation or within one year of that connection?
 | Yes [ ]  No [ ]  |
| 1. Have you, or any business with which you have been involved, been investigated, disciplined, censured or suspended or criticised by a regulatory or professional body, a court or Tribunal, whether publicly or privately?
 | Yes [ ]  No [ ]  |
| 1. Have you been dismissed, or asked to resign and resigned, from employment or from a position of trust, fiduciary appointment or similar?
 | Yes [ ]  No [ ]  |
| 1. Have you ever been disqualified from acting as a director or disqualified from acting in any managerial capacity?
 | Yes [ ]  No [ ]  |
| 1. Have you always been candid and truthful in all your dealings with any regulatory body and have you demonstrated a readiness and willingness to comply with the requirements and standards of the regulatory system and with other legal, regulatory and professional requirements and standards?
 | Yes [ ]  No [ ]  |

[x]

|  |  |
| --- | --- |
| **Financial Soundness;**Have you |  |
| (1) been the subject of any judgment debt or award, in the United Kingdom or elsewhere, that remains outstanding or was not satisfied within a reasonable period? | Yes [ ]  No [ ]  |
| (2) in the United Kingdom or elsewhere, made any arrangements with creditors, filed for bankruptcy, had a bankruptcy petition served on you, been adjudged bankrupt, been the subject of a bankruptcy restrictions order (including an interim bankruptcy restrictions order), offered a bankruptcy restrictions undertaking, had assets sequestrated, or been involved in proceedings relating to any of these? | Yes [ ]  No [ ]  |

It is not necessary to supply a statement of assets or liabilities. The fact that an individual is of limited financial means does not in itself affect suitability to perform a certification function.

Signature:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Name printed:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Certification Function(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_