SUPPLEMENTARY APPLICATION:

Broker Periodic Review form

Are there any conflicts of interest between your brokerage and HTB?	Yes ☐	No ☐

FIRM DETAILS

Firm name:

A COPY OF THIS FORM SHOULD BE COMPLETED BY EACH PRINCIPAL, PARTNER, DIRECTOR AND OFFICER OF THE FIRM

1.	Are you a member of a trade association or professional body? If 'YES' please identify the body and any qualifications held	Yes ☐ No ☐
2.	Are you relative or close associate of any director or employee of the Hampshire Trust Bank?	Yes ☐ No ☐
3.	Have you ever been a principal, partner, director of officer of a regulated firm?	Yes ☐ No ☐
4.	If the answer to 3. Is 'YES' have you undertaken the role of a Controlled Function holder, e.g. a Director or Investment Adviser? If 'YES' provide detail of the position(s) and relevant dates	Yes ☐ No ☐
5.	Have you previously undertaken the role of regulated mortgage adviser? If 'YES' provide detail of the position(s) and relevant dates	Yes ☐ No ☐
6.	Have you been convicted of a criminal offence in the United Kingdom: • Involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation 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 ☐
7.	Are you currently the subject of either criminal proceedings or investigation, whether in the UK or elsewhere?	Yes ☐ No ☐
8.	Have you any convictions for any offences other than those in 6. above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)?	Yes ☐ No ☐
9.	Have you been the subject of a judgement debt or award made against you?	Yes ☐ No ☐
10.	Are you aware of any proceedings that have begun, or anyone's intention to begin proceedings against you, for a CCJ or another judgement debt?	Yes ☐ No ☐
11.	Have you ever failed to satisfy any such 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 ☐

...CONTINUED

12. Have you ever:
    - Filed for bankruptcy or had a bankruptcy petition served on you?
    - Been adjudged bankrupt?
    - Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restriction order) or offered a bankruptcy restrictions undertaking?
    - Made any arrangements with your creditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)?
    - Been adjudged bankrupt?

    Yes ☐ No ☐

13. Have you, or any undertaking under your management, had 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 ☐

14. 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 ☐

15. Have you ever been:
    - 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)?
    - The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?

    Yes ☐ No ☐

16. Do you have three years of registered accounts that you are happy to provide Hampshire Trust Bank? Yes ☐ No ☐

(please ensure the accounts accompany this application form) Yes ☐ No ☐

Important: If you have answered 'Yes' to any of the questions above, please provide full information above and/or append to this application. Yes ☐ No ☐

PERSONAL DETAILS

Title:	All Forenames:
Surname:	All previous Names:
Name commonly known by:	Date of Birth:

ADDRESS HISTORY - PLEASE INCLUDE ALL ADDRESSES OVER THE PAST 5 YEARS

Present permanent address:			
Town/City:	Postcode:	Date moved in:	
Previous address:			
Town/City:	Postcode:	Date moved in:	Date moved out:
Previous address:			
Town/City:	Postcode:	Date moved in:	Date moved out:
Previous address:			
Town/City:	Postcode:	Date moved in:	Date moved out:

DECLARATION

The information provided in this application is accurate and complete to the best of my knowledge and belief.

I acknowledge and agree that personal information provided in this form will be used by Hampshire Trust Bank to satisfy itself as to my suitability for appointment, including a search by credit reference and fraud prevention agencies who will supply us with information about you, as well as information from the Electoral register.
I authorise Hampshire Trust Bank to obtain such information and make such enquiries it considers relevant in its assessment of this application.

You must notify Hampshire Trust Bank without delay if there is a material change to the information included in this form. Please be aware that Hampshire Trust Bank may also take up references as part of the application process and conduct searches of public information.

Print Name:	Signature:
Date of signature:	

DUE DILIGENCE DECLARATION

Firm name:

In accordance with the requirements of the due diligence process undertaken by the Commercial Mortgages division of Hampshire Trust Bank I / we confirm that the following policies are in place and adhered to in accordance with FCA regulation:

Treating Customers Fairly (TCF):	Yes	☐	No	☐
Business Continuity Plan (BCP):	Yes	☐	No	☐
Anti-Bribery & Corruption Policy:	Yes	☐	No	☐
Data Protection Controls:	Yes	☐	No	☐
Anti-Money Laundering Policy:	Yes	☐	No	☐
Vulnerable Custumers Policy:	Yes	☐	No	☐

OFFICE USE ONLY

Date received:	FCA checks: ☐
Head of Property Operations and Small Change Signature:	

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