# **Annual fit & proper assessment declaration**

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| **Name of individual** |  |
| **Senior manager functions(s) held\*** | N/A |
| **Certification function(s) held\*** |  |
| **Other position(s) held** | N/A |

\*at the time of this declaration

State “adviser” if that’s the case. Note a SM could also be an adviser

SMs should list the Prescribed Responsibilities listed on their Statements of Responsibility

Senior Managers (SMs) should list the SM functions listed on their Statements of Responsibility

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| **Honesty, integrity and reputation** | Have you been convicted of any criminal offences of dishonesty, fraud, financial crime or an offence under legislation (other than spent convictions)? | Yes / No |
| 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 |
| Have you been the subject of, or interviewed in the course of, any existing or previous investigation or disciplinary proceedings by the FCA, or other regulatory authorities, or professional bodies? | Yes / No |
| Are you / have you been the subject of any proceedings of a disciplinary or criminal nature, or been notified of any potential proceedings or of any investigation with might lead to those proceedings? | Yes / No |
| Have you contravened any of the requirements and standards of the FCA or other regulatory authorities? | Yes / No |
| Have you been subject of any justified complaint relating to regulated activities? | Yes / No |
| Have you been involved with a company, partnership or other organisation that has been refused registration, authorisation, membership or a licence to carry out business, or has had that registration, authorisation, membership or licence been revoked, withdrawn or terminated? | Yes / No |
| 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 |
| Have you been a director, partner, or concerned in the management, of a business that has gone into insolvency, liquidation or administration whilst you have been connected with that organisation, or within one year of your connection? | Yes / No |
| Have you or any business you have been involved with, been investigated, disciplined, censured or suspended or criticised by a regulatory or professional body, a court or Tribunal, whether publicly or privately? | Yes / No |
| Have you been dismissed, or asked to resign and resigned, from any employment or from a position of trust, fiduciary appointment or similar? | Yes / No |
| Have you been disqualified from acting as a director or disqualified from acting in any managerial capacity? | Yes / No |
| Notes | |

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| **Financial soundness** | Have you been the subject of any judgement debt or award?  If Yes, when providing further details, include whether this remains outstanding or was not satisfied within a reasonable period. | | Yes / No |
| Have you made any arrangements with your creditors, filed for bankruptcy, or had a bankruptcy petition served on you? | | Yes / No |
| Are you actively engaged in any other business interests not previously notified to the firm?  If Yes, provide details below and provide a copy of the most recent set of accounts. | | Yes / No |
| Name of interest |  | |
| Nature of interest |  | |
| Legal status of business | Sole trader / Partnership / LLP / limited company | |
| Date of incorporation |  | |
| Company No. (if appropriate) |  | |
| Notes | | |

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| **Number of additional pages attached to this document** (if none, state none) |  |

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| **DECLARATION** | | | |
| I confirm that the information provided above is to the best of my knowledge, true and complete.  If deemed necessary by the firm, I agree for an up to date credit and/or criminal records check to be obtained by them.  I remain aware of my obligations, highlighted within my staff declaration.  I confirm I will notify James Bond if at any time there are any changes to the details I originally provided when I joined the firm and/or noted above. | | | |
| **Signature of individual** |  | **Date** |  |