

Introducer Statement of Honesty, Integrity and Reputation

Please answer the following questions by highlighting the appropriate box.
Where a “Yes” box is highlighted, please provide full details on a continuation sheet

Are you, or have you ever been, the subject of, or are you aware of any intention to begin against you, either in the UK or elsewhere?

Any civil proceedings, or litigation, including judgement debts or arbitration?	Yes	No
Any bankruptcy proceedings or proceedings for confiscation of your assets, including entering into a deed of arrangement, an individual voluntary arrangement (IVC) (or in Scotland a trust deed) in favour of your creditors, or other composition, or arrangement with creditors?	Yes	No

If you have been the subject of any judgement debts under a court order, have you:

Any such debts still outstanding, whether in full or in part?	Yes	No: N/A
Any bankruptcy proceedings or proceedings for confiscation of your assets, including entering into a deed of arrangement, an individual voluntary arrangement (IVC) (or in Scotland a trust deed) in favour of your creditors, or other composition, or arrangement with creditors?	Yes	No: N/A

Have you ever, either in the UK or elsewhere:

Been refused entry to any profession or vocation, or been dismissed or requested to resign from any office or employment, or from any fiduciary office or position of trust, whether it was remunerated or not?	Yes	No
Been refused, or restricted in, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required?	Yes	No
Been disqualified by a court from acting as a director of a company or from acting in a management capacity or from conducting the affairs of any company, partnership or unincorporated association?	Yes	No

Have you, or has any company, partnership, or unincorporated association of which you are or have been a controller, director, partner, manager or company secretary, whilst you were associated with that entity and for a period of three years after you ceased to be associated with it, in respect of activities falling within the jurisdiction of a Regulatory Authority or any other professional body, ever:

Been refused, had revoked, restricted or terminated any licence, authorisation, registration, notification, membership or other permission granted by any such body?	Yes	No
Been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any such body?	Yes	No

Resigned, or been asked to resign, from any such body or, after making a notification or application for any licence, authorisation, registration, membership or other permission granted by any such body, decided not to proceed with it?	Yes	No
Been the subject of any civil action which has resulted in a finding against you or it by a court?	Yes	No
Knowingly been the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?	Yes	No

Has any company, partnership, or unincorporated association of which you are or have been a controller, director, partner, manager or company secretary, in the UK or elsewhere, at any time during your involvement:

Been put into liquidation, had a petition presented, or a meeting summoned to consider a resolution, to wind up the company, or been wound up, had a petition for bankruptcy presented, or been declared bankrupt?	Yes	No
Ceased trading in circumstances in which one or more creditors did not receive full payment, had a receiver or administrator appointed, or entered into (or made any proposal to enter into) any arrangement with creditors, or made a trust deed for creditors, or been dissolved?	Yes	No

Have you ever, or has any company, partnership, or unincorporated association of which you are or have been a controller, director, partner, manager or company secretary, in the UK or elsewhere, at any time during your involvement:

Been judged by a court to be liable for any fraud, misfeasance, wrongful trading or other misconduct towards a Regulatory Authority or towards any members or creditors of a Regulatory Authority?	Yes	No
Been investigated by an inspector appointed under company law or any other legislation?	Yes	No

Declaration

I confirm that the information I have provided above is a full, frank and unambiguous account to the best of my knowledge.

I am aware that the information provided will be subject to verification and supplementary enquiries, including credit checks to which I hereby consent.

Name

Signature

Position in company

Date