

Application form for mortgage intermediaries

Section: 1

Intermediary details

1.1	Full name of intermediary business	<input type="text"/>
1.2	Business structure (please tick)	Limited company <input type="checkbox"/> Partnership <input type="checkbox"/> LLP <input type="checkbox"/> Sole trader <input type="checkbox"/>
	Other (please complete)	<input type="text"/>
1.3	Company number (if applicable)	<input type="text"/>
1.4	Date business commenced	<input type="text"/>
1.5	Trading name(s)	<input type="text"/>
1.6	FCA Reference Number	<input type="text"/>
1.7	Registered/principal address	<input type="text"/> <input type="text"/>
1.8	Correspondence address (if different from the above)	<input type="text"/> <input type="text"/>
1.9	Principal contact name and position	<input type="text"/>
1.10	Principal contact telephone	<input type="text"/>
1.11	Principal contact email	<input type="text"/>

Section: 2

Authorisation details

2.1	Please tick all boxes that apply to your business	Directly authorised by the FCA <input type="checkbox"/>	Appointed representative <input type="checkbox"/>
2.2	If you have ticked appointed representative, please provide the name of the principal	<input type="text"/>	
2.3	If you have ticked appointed representative, please provide the principal's FCA reference number	<input type="text"/>	
2.4	If you have ticked appointed representative, please provide the principal's company number	<input type="text"/>	

Section: 3

Bank details (for commission payments)

3.1 Bank/building society

3.2 Address

3.3 Sort code - -

3.4 Account number

3.5 Account name

Section: 4

Business information

4.1 Please provide details of business written in the last three years, as a percentage of your overall business:

Mortgages	Consumer credit	Non-regulated lending	Savings and Investments	Insurance
<input type="text"/> %	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %	<input type="text"/> %

4.2 Total number of clients

4.3 Total number of mortgage clients

4.4 Is advice provided?

Yes	No	Mix of advised and non-advised
<input type="text"/>	<input type="text"/>	<input type="text"/>

4.5 Level of quality assurance/ compliance checks carried out as a percentage of mortgage sales %

4.6 Number of mortgage applications submitted in the UK in the last 12 months

Section: 5

Regulatory history

5.1 Number of complaints related to non-mortgage lending that have been received in the last 12 months

5.2 Number of complaints relating to mortgages received in the last 12 months

5.3 Number of complaints relating to mortgages that have been received in the last 12 months that:

- have been upheld by you without referral to the Financial Ombudsman Service
- have been referred to the Financial Ombudsman Service
- have been upheld by the Financial Ombudsman Service
- have been rejected by the Financial Ombudsman Service

Section: 5 (continued)

Regulatory history

5.4 Has your organisation been subject to any investigation or disciplinary action by the Prudential Regulation Authority, the Financial Conduct Authority, the Office of Fair Trading, the Information Commissioner or any other regulatory body in the last five years (other than any scheduled supervisory visits)?

Yes No

If yes, please provide details below or on a separate sheet.

5.5 (If you are PRA/FCA authorised) Have there been any reportable breaches of the PRA/FCA Handbook (whether reported or not) relating to your authorised business in the last five years?

Yes No

If yes, please provide details below or on a separate sheet.

5.6 Has your organisation or any principal in your organisation (e.g. director or partner) ever been:

5.6.1 subject to any county court/ high court judgments or has any known court proceedings currently pending?

Yes No

5.6.2 subject to any bankruptcy/ sequestration proceedings or has entered into any agreements with creditors such as a deed of arrangement, individual voluntary arrangement (trust deed in Scotland) or had a receiving order made against you/them or has any order or any other arrangement in favour of creditors pending?

Yes No

5.6.3 subject to any litigation in the last five years or is aware of any likely or pending proceedings?

Yes No

5.6.4 subject to any investigation in connection with any business activity (pending, accused or convicted) of misconduct, malpractice, corrupt conduct, bribery or fraud in the past five years?

Yes No

5.6.5 convicted of a criminal offence, other than a motoring offence?

Yes No

5.6.6 subject to disqualification 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?

Yes No

If you have answered 'Yes' to any of the above, please provide details below or on a separate sheet.

Section: 6

Anti-bribery arrangements

6.1 Indicate whether you or your organisation:

6.1.1 Have a policy or procedure in place that covers anti-bribery controls relating to third-party relationships, gifts and entertainment, expenses and political/charitable donations?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

6.1.2 Prohibit facilitation payments, including payments to public officials?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

6.1.3 Require employees to undergo anti-bribery, corruption and fraud training?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

6.1.4 Have processes in place to ensure that associated persons/third-parties comply with all applicable anti-bribery and corruption rules and regulations?

Yes	No
<input type="checkbox"/>	<input type="checkbox"/>

6.2 If you have answered 'No' to any of the above, please provide details below or on a separate sheet about why you have answered 'No'.

Section: 7 (continued)

Details of directors and owners of the firm

7.1 Please include details of each director (or equivalent) and the name of all individual(s) who beneficially own either directly or indirectly a 25% interest in the firm.

Full name

Date of birth

Home address

Home telephone number

Mobile number

Shareholding

 %

Email address

Status (Director, etc)

Section: 7 (continued)

Details of directors and owners of the firm

Please include details of each director (or equivalent) and the name of all individual(s) who beneficially own either directly or indirectly a 25% interest in the firm.

Full name

Date of birth

Home address

Home telephone number Mobile number Shareholding %

Email address

Status (Director, etc)

Full name

Date of birth

Home address

Home telephone number Mobile number Shareholding %

Email address

Status (Director, etc)

Full name

Date of birth

Home address

Home telephone number Mobile number Shareholding %

Email address

Status (Director, etc)

If you need more space to enter details, please photocopy this page and attach the additional page(s) to this form.

Section: 8

Complaints information

The rules in MCOB require an intermediary to provide a client with the details of how to make a complaint against the firm where the intermediary is responsible for providing the ESIS to the client on behalf of the lender. This information will be set out in the ESIS.

Please provide the following information in relation to your complaints procedure:

- | | | |
|-----|--|--|
| 8.1 | Name of the relevant department where the client can make a complaint to | |
| 8.2 | Address of the relevant complaints department | |
| 8.3 | Telephone number of the relevant complaints department | |
| 8.4 | Email address of the relevant complaints department | |
| 8.5 | If applicable, details of a specific contact person to whom the client should address complaints to | |
| 8.6 | Link to the complaints procedure on the relevant page of your organisation's website or any similar information source | |

Section: 9

Declarations

We, the intermediary named in Section 1.1, apply to become an introducer of loan products to the UK Private Bank Banking Team in Investec Bank plc.

We confirm that Investec Bank plc has provided us with its Standard Terms of Business for Mortgage Intermediaries (**Standard Terms of Business**) and understand that these will apply in relation to any business we introduce to Investec Bank Plc if we are accepted as an introducer of loan products to the bank. We confirm that we have read the Standard Terms of Business and acknowledge these will apply as amended from time to time to any business we introduce.

We confirm that the information provided in this application form is true and complete and we undertake to inform Investec Bank plc as soon as possible if any of the information provided changes.

We confirm that we have sufficient experience and all necessary authorisations, permissions and licences to introduce the business we intend to introduce to Investec Bank plc pursuant to the Standard Terms of Business.

9.1 How Investec Bank plc will use your information

Investec Bank plc may collect and use your personal data for the reasons set out below:

- to provide you with the requested products and services;
- to fulfil any contract with you;
- to manage your accounts;
- to make decisions;
- to detect and prevent fraud;
- to comply with laws, regulations and/or codes of practice; and/or
- for other purposes where it is in our legitimate interests.

You must make sure that if you give us personal data about someone else, you have their consent and they are happy for you to share their personal data with us. You should make sure they read our Data Protection Notice and understand how we will use and disclose their information, in the ways described in our Data Protection Notice.

For further details as to how Investec uses personal data, please refer to our Data Protection Notice online at https://www.investec.com/en_gb/legal/UK/data-protection-notice/private-bank.html.

9.2 Fraud prevention

The personal information we have collected from you will be shared with fraud prevention agencies who will use it to prevent fraud and money-laundering and to verify your identity. If fraud is detected, you could be refused certain services, finance or employment. Further details of how your information will be used by us and these fraud prevention agencies, and your data protection rights, can be viewed at https://www.investec.com/en_gb/legal/UK/fraud-prevention-notice.html.

9.3 Independent checks

I/We agree that the Bank may at its discretion perform independent checks to verify my/our identity and/or address and/or to validate certified documents that I/we have provided to the Bank. I/We further agree that these recognised independent checks may include documented checks of the electoral register and/or credit bureau records, and/or confirmation from a solicitor or accountant.

Please contact us at Investec Bank plc, The Banking Team, 30 Gresham Street, London EC2V 7QP if you want to receive details of the relevant fraud prevention agencies.

9.4 Signed by/for and on behalf of the intermediary

(A director or the company secretary must sign on behalf of a company, a partner must sign on behalf of a partnership; and a member must sign on behalf of a LLP.)

Signed

Print full name

Position

Date/Month/Year

Investec Bank plc (registered no. 489604). Registered address: 30 Gresham Street, London EC2V 7QP. Investec Bank plc is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Investec Bank plc is a member of the London Stock Exchange.