

INTRODUCER APPLICATION FORM

VERSION CONTROL TRACKER

Version Number	Date
1.0	August 2023

INTRODUCER APPLICATION FORM

Prior to an introducer being authorised through our network, it is necessary to establish whether the introducer can be considered as 'fit and proper', as defined by the Financial Conduct Authority (FCA) and / or whether the firm / person(s) constitutes any form of business risk to PRIMIS Mortgage Network.

If you require any assistance in completing the form, please do not hesitate to contact the **Broker Services Team on 01249 467591**. Send the completed form and supporting documents to:

Broker Services Team
 PRIMIS Mortgage Network
 No 2 Methuen Park
 Bath Road
 Chippenham
 Wiltshire
 SN14 0GB

CONTACT DETAILS:

Telephone: 01249 467591
 E-mail: brokerserviceteam@PRIMIS.co.uk

PRIMIS Mortgage Network is a trading name of Advance Mortgage Funding Ltd. Registered in England & Wales number: 2217569

PRIMIS Mortgage Network is a trading name of First Complete Ltd. Registered in England & Wales number: 05416236.

Registered office: Newcastle House, Albany Court, Newcastle Business Park, Newcastle Business Park, Newcastle Upon Tyne, Tyne & Wear, NE4 7YB

PRIMIS Mortgage Network is a trading name of Personal Touch Financial Services Ltd: 03406454

PRIMIS Mortgage Network is a trading name of TenetLime Ltd. Registered in England & Wales number: 04785816

Registered office: Howard House, 3 St Mary's Court, Blossom Street, York YO24 1AH

Advance Mortgage Funding Ltd. is authorised and regulated by the Financial Conduct Authority (FRN: 305008) for mortgage and non-investment insurance advice.

First Complete Ltd. is authorised and regulated by the Financial Conduct Authority (FRN: 435779) for mortgage and non investment insurance advice.

Personal Touch Financial Services is authorised and regulated by the Financial Conduct Authority (FRN: 187834) for mortgage and non-investment insurance advice

TenetLime Ltd is authorised and regulated by the Financial Conduct Authority (FRN: 311266) for mortgage and non-investment insurance advice.

INTRODUCER APPLICATION CHECKLIST

- Certified copy of proof of a valid Government issued photo identification (i.e. driving licence or passport) - **for Main Controller**. (Certified by the Principal of the AR firm.)
- Certified copy of proof of address for personal, residential address. This must be dated within the last 3 months (i.e. utility bill, bank statement, driving licence if not used as photo ID) - **for Main Controller**. (Certified by the Principal of the AR firm.)

AR Firm Name:

Introducer Firm / Individuals Name

Network for Introductions First Complete Advanced Mortgage Funding
 Personal Touch Financial Services TenetLime

DATA PROTECTION

All of the information supplied by you and any third parties in connection with this application will be held by PRIMIS Mortgage Network as Data Controller under the Data Protection Act 2018 and the General Data Protection Regulations.

Should you change your mind before your application is complete we will retain your personal information for 12 months to enable us to deal with any regulatory and commercial actions such as de-registration with the regulator and/ or panel providers, to deal with any associated queries or, where relevant, if you re-apply. Please note, we have different retention policies where your application is declined by PRIMIS Mortgage Network and for when you join us and then leave; please contact us if you require this information.

Information provided by you on this form together with any other information provided by you, or a third party on your behalf will be “personal data” for the purposes of the Data Protection Act 2018.

The data will be processed by PRIMIS Mortgage Network, and will be used for the purposes of:

- i) Determining whether we wish to enter into a contract with you;
- ii) If we enter into a contract with you, for matters relating to the operation of that contract.

The information given in this form will be “personal data” for the purposes of current data protection legislation. The personal data will be used by PRIMIS Mortgage Network in fulfilling its regulatory responsibilities to FCA and complying with other relevant legislation. This could involve disclosing the personal data to third parties and other bodies, such as other regulators, law enforcement bodies, or other entities within our group. It will not however, be disclosed for any other purpose without permission. Full details of how PRIMIS Mortgage Network will use “personal data” can be found in the Privacy Notice.

Where we talk about PRIMIS Mortgage Network in this form we mean First Complete Ltd, Advance Mortgage Funding Ltd and Personal Touch Financial Services Ltd, the employing companies of LSL Property Services Group.

HOW TO GET MORE INFORMATION

If you would like any further information on your rights under the General Data Protection Regulations or further details on how we use your information please write to:

The Data Protection Officer
 PRIMIS Mortgage Network,
 3700 Parkside
 Birmingham Business Park
 Birmingham

B37 7YT

If you have any complaints about the way we have handled your personal information, please contact the Data Protection Officer at the address above.

You also have the right to refer your complaint to the Information Commissioner.

DECLARATION

To be completed by the Principal

I have read and understood the provisions set out above and I hereby consent for PRIMIS Mortgage Network to process my special category data for the purposes described in the Privacy Notice.

(Please Note: Without the consent of all affected parties we will not be able to process your application)

Signature:

Name:

Date:

MAIN INTRODUCER DETAILS

Introducer firm/ individuals name:

Please detail any other trading names you intend to use:

Please tick all product areas that will be introduced to the AR firm:

- | | | |
|---|--|--|
| <input type="checkbox"/> Home insurance | <input type="checkbox"/> Protection products | <input type="checkbox"/> Mortgage products |
| <input type="checkbox"/> Equity release | <input type="checkbox"/> Private medical insurance | |

Legal status

- | | | |
|--|--------------------------------------|--|
| <input type="checkbox"/> Sole trader | <input type="checkbox"/> Partnership | <input type="checkbox"/> Limited liability partnership |
| <input type="checkbox"/> Private limited company | <input type="checkbox"/> Individual | |

Registration number (limited co / llp co only).
The UK company registration number is to identify the company and is a unique string of eight characters:

Date of Incorporation / Established dd/mm/yyyy

INTRODUCER CONTACT ADDRESS:

	Postcode:	Telephone number:	
	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	
Email: <input style="width: 90%;" type="text"/>	Website: <input style="width: 90%;" type="text"/>		

INTRODUCER TRADING ADDRESS

Is your trading address the same as your contact address? Yes No

If **no**, please complete your trading address below:

	Postcode:
	<input style="width: 100%;" type="text"/>

INTRODUCER REGISTERED ADDRESS (LIMITED CO / LLP CO ONLY):

Is your registered address the same as your trading address? Yes No

If **no**, please completed your registered address below:

	Postcode:
	<input style="width: 100%;" type="text"/>

REGULATORY STATUS

Are you or your firm currently directly authorised by the FCA or authorised as an appointed representative (AR) of a network?

Yes No

If yes please complete the following:

FCA reference number:

Network name and FRN (ARs only):

Please list any financial services networks you or your firm have been registered with over the past ten years:

Please tick product areas you or your firm are authorised for:

Home insurance
 Protection products
 Mortgage products
 Equity release
 Private medical insurance

INTRODUCER BANK DETAILS

Please note this is only required if the Network will be paying the Introducer Company directly.

Introducer bank details Where there is a commission payment to be made, please select who is required to make the payment:

AR firm
 PRIMIS mortgage network

(If you have selected PRIMIS mortgage network to make the payment, please provide one of the following to confirm the bank details: copy of a bank statement, blank cancelled cheque, deposit slip / paying in slip). Bank details are not required if the Introducer is not being paid by PRIMIS

Name of bank (where the introducer is a limited company or limited liability partnership, the bank details must be in the full name of the company:

Full bank account name:

Sortcode:

- -

Account number:

DATA PROTECTION FEE

Details of the fees paid to the information commissioner's office

Tier of Fee Paid (Please tick which applies)					
Tier 1 (£40)		Tier 2 (£60)		Tier 3 (£2,900)	
Registration no:		Date of last payment:			

DATA PROTECTION CONTACT

Details of the individual responsible for data protection matter at your firm

Name of Data Protection Contact			
Is your Data Protection Contact designated as a Data Protection Officer, registered with the Information Commissioner's Office?	Y	N	

INFORMATION ABOUT THE INTRODUCER

Introducing customers for the main purpose of receiving mortgage advice may be classed as an exempt introduction under the Financial Services and Markets Act 2000.

Introducing customers for an express purpose of receiving insurance advice, is not classed as an exempt introduction, and Introducer Appointed Representative arrangements will need to apply.

Please confirm the activities and services your company conducts on a day to day basis

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How will you obtain the introducing client's information?

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How many leads in one year do you estimate will be generated in the following product areas?

	1 – 10	11 – 20	21 – 30	31 – 40	41 – 50	50+
Mortgage						
Protection						
General insurance						
Equity Release						

DETAILS OF ANY LICENCE OR AUTHORISATION CURRENTLY HELD, OR HELD AT ANY TIME IN PREVIOUS 5 YEARS UNDER:

Financial Services related Professional Indemnity Insurance? (If yes please provide a copy of the policy and Schedule for Professional Indemnity Insurance with your application)	Y	N
Has the applicant /firm ever had: refused, revoked or withdrawn, any licence held under the Statutes at a or b above, or any authorisation, membership of or registration by any of the bodies mentioned in this application, or any association of dealers in securities, any stock exchange or other professional body, or any authorisation to carry on insurance, investment of banking, business (please include any warnings, restrictions or panel removals that have been received at firm and./or individual levels)	Y	N
Has the applicant/ firm ever resigned from or discontinued an application for membership or authorisation, network or to any of the bodies mentioned above? If Yes, please provide details on the continuation sheet at the end of this form	Y	N

FITNESS AND PROPRIETY

THESE QUESTIONS RELATE TO THE EXISTING FIRM / INDIVIDUAL AND ANY PREVIOUS FINANCIAL SERVICES COMPANIES

Although the information requested relates to the United Kingdom, information should also be given in respect to any comparable provisions, which apply overseas. In any case where a tick is entered in the 'YES' box, please provide further details on a separate sheet.

NON-DISCLOSURE OF ANY ADVERSE INFORMATION WILL RESULT IN YOUR APPLICATION BEING DECLINED.

CRIMINAL OR CIVIL PROCEEDINGS

Is the firm / individual currently engaged in (other than in a professional legal capacity or as an expert witness), or the subject of, any criminal or civil proceedings or arbitration?	Y	N
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JUDGMENT DEBTS, ETC.

Has the firm / individual ever had judgments or debts entered against it, or been put into compulsory liquidation?	Y	N
Has the firm / individual ever had its estate sequestered, had a receiver, administrative receiver, or administrator appointed or entered into any arrangements with its creditors, made any compromise or arrangement with its creditors, or ceased trading in circumstances in which its creditors did not receive full payment?	Y	N
Has the firm / individual ever been refused, or had revoked, any licence or authorisation under the Prevention of Fraud (Investments) Act 1958 or the Prevention of Fraud (Investments) Act (Northern Ireland) 1940, or the Consumer Credit Act 1974?	Y	N

AUTHORISATION

Has the firm / individual ever been refused, or had revoked, any authorisation to carry on investment, banking, mortgage or insurance business?	Y	N
Has the firm / individual ever been refused, or had revoked, membership of, or authorisation or registration by FCA, FSA, PIA, LAUTRO, SIB or any recognised self-regulating organisation or recognised professional body, or any association of dealers and securities, or any Stock Exchange or any other professional body; and has the firm ever resigned from any such organisation, body or association after making an application to become a member, or to be authorised, or to be registered, not to proceed with it?	Y	N

DISCIPLINARY PROCEEDINGS

Has the firm / individual ever been publicly censured, disciplined, suspended or expelled by Financial Conduct Authority, Financial Services Authority, Personal Investment Authority, Life Assurance and Unit Trust Regulatory Organisation, Securities and Investments Board, or any recognised self-regulating organisation or recognised professional body or by any other organisation, body or association?	Y	N
Is the firm / individual currently the subject of any disciplinary proceedings by the FCA or any recognised self-regulating organisation or recognised professional body or by any other organisation, body or association; or is the firm aware of any such proceedings, which are pending?	Y	N
Has the firm / individual ever been the subject of a formal investigation under powers in the Insurance Companies Act 1982, the Companies Acts or the Financial Services Act 1986 or the Financial Services and Markets Act 2000?	Y	N

HISTORICAL TRADING

Are any previous Financial Services firms still trading?	Y	N
If yes, what role do common directors have in this firm?		
If no, what action was taken when the firm ceased trading?		

AGENCY AGREEMENTS

Has the firm / individual ever had an Agency Agreement terminated or suspended or has any application been rejected? (For example, removal from a lender, insurer or other supplier panel)	Y	N
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REGULATORY SUPERVISION

Has the firm / individual ever had an FCA/FSA visit?	Y	N
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If so, please provide a copy of their report and associated response. If you are currently directly authorised, please provide copies of your most recent RMAR submission

CONTINUATION SHEET

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DECLARATION

I/We confirm that the information given herein is true, correct, completed to the best of my/our knowledge and belief and shall be the basis of my/our application to become an Introducer of **PRIMIS MORTGAGE NETWORK**.

I/We agree to the taking up of references or making any enquiries it shall deem necessary in considering this application. Checks may include at the networks discretion, any or all of the following; credit bureau referencing (including electronic identity verification), former employment referencing, professional referencing (e.g. solicitors, accountants) and criminal records checks. Certain of the aforementioned referencing may involve separate express permission and interaction being requested of the applicant.

I/We confirm that no material facts, which may be relevant to my /our application, have been withheld.

I/We am/are aware, that knowingly or recklessly giving **PRIMIS MORTGAGE NETWORK** information, which is false or misleading, could lead to termination or variation of Introducer status, which may be granted.

The information given in this form will be “personal data” for the purposes of current data protection legislation. The personal data will be used by **PRIMIS MORTGAGE NETWORK** in fulfilling its regulatory responsibilities to FCA and complying with other relevant legislation. This could involve disclosing the personal data to third parties and other bodies, such as other regulators, law enforcement bodies, or other entities within our group. It will not however, be disclosed for any other purpose without permission. Full details of how PRIMIS Mortgage Network will use “personal data” can be found in the Privacy Notice.

I/We shall agree to satisfy the relevant requirements of the Financial Services & Markets Act 2000 and the terms of the Introducer agreement of **PRIMIS MORTGAGE NETWORK**.

I/We agree to comply with any instruction which **PRIMIS MORTGAGE NETWORK** may give concerning investigations which may be carried out by **PRIMIS MORTGAGE NETWORK** or the FCA and with any instruction which may result from the exercise of intervention powers by **PRIMIS MORTGAGE NETWORK** or the FCA.

I/We confirm my/our commitment to comply with all government regulation and legislation and to comply with any processes agreed with **PRIMIS MORTGAGE NETWORK**.

I/We consent to **PRIMIS MORTGAGE NETWORK** carrying out a review of my/our status, to adhere to the “fitness and propriety” requirements.

I/We understand that **PRIMIS MORTGAGE NETWORK** may decline at their sole discretion and shall have no duty to us to disclose the grounds for the declination.

I/We declare that if any of the information I/we have given on this form changes before the application process is completed, I/ we will advise **PRIMIS MORTGAGE NETWORK** immediately.

TO BE COMPLETED AND SIGNED BY AT LEAST ONE FIRM PRINCIPAL, DIRECTOR OR PARTNER, ON BEHALF OF THE INTRODUCER.

TITLE	
FORENAME	
SURNAME	
SIGNATURE	
DATE	