

Introducer Conflict Of Interest Declaration

The term '**Conflicts of Interest**' refers to any situation where the Introducer (i.e. Introducer entity or employee, etc) has a vested interest which could be seen as having an inappropriate influence over decision making. COI can occur where an individual member of employee, or the firm, has a business or personal interest which potentially competes with such an interest of a client or the firm. That competing interest can make it difficult for individuals or the firm to fulfil their duties impartially.

Details Of Introducer:

Name of Introducer _____ Name of the Director, Partner or Shareholder _____

Is the Conflict of Interest due to your connected persons¹? ☐ Yes ☐ No
If Yes, please complete Section A and B. If No, please complete Section B.

Section A: Please list all your connected persons and state how they are connected to you

Mother:

Father:

Spouse/partner:

Children under 18 living in your household:

Section B: Areas of potential / perceived conflicts of interest / lack of independence

Signature / Date

**Please provide a copy of the supporting documents/correspondence in regards to the COI attached to this form (if any).*

Application status: Approved / Not Approved

If not approved: _____

Processed By:

Approved by:

AMU

CEO

Appendix 5

¹ Connected persons – Spouse, civil partner, any person who lives with the director / employee as a partner in an enduring relationship (excluding grandparents, grandchildren, sister, brother, aunt, uncle, niece or nephew), children and stepchildren of any age, director's / employees' parents and children or step children of a person who lives with the director under the age of 18.