

Questionnaire and Declaration

Full Name :

(must include middle name(s) if any)

Previous Surname:

(i.e. maiden or previous married name or change of name, if any)

Address

(incl post code)

Date of Birth

Gender

Male/Female

National Insurance No.:

Please answer the following questions. We require this information prior to your being able to work at the FCA

If YES, please provide details on a separate sheet.

While working at the FCA, would it be your intention to start or continue any external business interests (paid or unpaid)?

Y

N

Have you ever previously been refused work by the FCA or any other financial regulator?

Y

N

During the course of any previous employment, has there been any complaint made against you by a consumer about the provision of any form of financial service?

Y

N

Are there any outstanding County Court judgements in your name?

Y

N

Have you ever been adjudicated bankrupt?

Y

N

Have you ever been convicted of a criminal offence (other than convictions which are spent for the Rehabilitation of Offenders Act 1974)?

Y

N

Have you ever been dismissed from any employment for reasons other than redundancy?

Y

N

Please circle your answers

DECLARATION AND AUTHORISATION

I confirm that to the best of my belief the information provided is true and complete. I understand that working at the FCA is conditional upon security checks from Shared Information System (SIS) concerning regulatory infringement. I understand that any misleading statement, or deliberate omission or deception may result in the cancellation of my services to the FCA.

For the purposes of the Data Protection Act 1998 you consent to the holding, processing and accessing of personal data and sensitive personal data provided to the FCA as set out in the Schedule A attached to this declaration.

Signed

must be signature and not typed

Date