

Individual Broker Registration

As part of the registration process please complete the below information and return to brokerregistrations@interbayuk.com

Completion of this form will allow InterBay Commercial to satisfy required due diligence checks.

Name

Company

Please answer the below questions

What is your company's website address?

Are you aware of any pending FCA disciplinary action being taken against you or your company?

Yes No

Have you or your company had a complaint from the FOS or any other regulatory body upheld against you within the last 12 months? If **"Yes"** please provide further details in the box below.

Yes No

Do you have a complaints policy?

Yes No

Do you have a process in place to maintain your professional competence?

Yes No

Have you been declared bankrupt within the last 6 years? If **"Yes"** please complete the additional bankruptcy questions on the next page

Yes No

Have you or your company ever been declined appointment to or removed from a Lender Panel (excluding a lender data cleanse due to business volumes)? If **"Yes"** please provide further details in the box below.

Yes No

Additional notes

Individual Name

Company Name

Registered address

(Including postcode)

Trading address

(Including postcode)

(if difference from above)

Individual email address

Individual Contact Number

Preferred Mortgage Club

Club Reference Number

FCA Number

Additional Bankruptcy Questions

Bankruptcy Date

Date of Discharge

Circumstances of Bankruptcy

Further details of exact circumstances required

Financial Services related?

Amount of Bankruptcy?

Voluntary payment towards clearing bankruptcy or auto discharged?

Do you have any panel exclusions as a result of the bankruptcy?

Yes No

If **“Yes”** please provide further details in the box below.

Please state if you are one of the following:

Directly Authorised

Appointed Representative

If you are Directly Authorised please advise who you are obtaining compliance support from, the frequency of their visits and auditing?

If you are an Appointed Representative please confirm your network?

Further information if required

Size of firm

Number of advisers –
all registered with Interbay, Prestige or Kent Reliance?

Position within the company?
(Shareholder, director, employee, self-employed?)

Any other information

We will always process your personal data and customer personal data in accordance with data protection law, as set out in our terms and conditions. Our privacy policies can be found at www.interbay.co.uk/privacy-policy.

If you have any questions, please write to:

Compliance Manager

Forum 3

Solent Business Park

Whiteley

Fareham

PO15 7FH