

Please complete this form in block capitals.

I/we request to become a Packager

Introducer

for Hope Capital

## 1. COMPANY DETAILS

<p>Company / firm name:</p> <p>Number of employees:</p> <p>Company registration number:</p> <p>Additional trading names:</p>	<p>Company Address:</p> <p>Trading Company Website:</p> <p>Entity Type:</p> <table border="0"> <tr> <td>Sole Trader</td> <td>Limited Liability Partnership</td> </tr> <tr> <td>Partnership</td> <td>Public Limited Company</td> </tr> <tr> <td>Limited Company</td> <td></td> </tr> </table>	Sole Trader	Limited Liability Partnership	Partnership	Public Limited Company	Limited Company	
Sole Trader	Limited Liability Partnership						
Partnership	Public Limited Company						
Limited Company							

## 2. PRINCIPAL / DIRECTOR INFORMATION

Please list any additional Directors in section 7.

<p>Title: Forename(s):</p> <p>Surname:</p> <p>Position within company:</p> <p>Date of Birth (DD/MM/YYYY):</p> <p>Email address:</p> <p>Contact number:</p>	<p>Title: Forename(s):</p> <p>Surname:</p> <p>Position within company:</p> <p>Date of Birth (DD/MM/YYYY):</p> <p>Email address:</p> <p>Contact number:</p>
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## 3. REGULATION AND AFFILIATIONS

<p>Are you a Directly Authorised firm/individual by the FCA? YES/NO</p> <p>If yes, FCA number:</p> <p>If you are an Appointed Representative, name of Principal:</p> <p>FCA number of Network:</p> <p>If you aren't a DA or AR, do you trade in Limited Company businesses ONLY?</p>	<p>How much Professional Indemnity Insurance do you have? £</p> <p>ICO number:</p> <p>List any trade bodies you are a member of:</p>
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## 4. BUSINESS INFORMATION

NATURE OF BUSINESS	Percentage of overall business %	Total business completed in the last 3 months £	Total business completed in the last 3 months #
Bridging (unregulated)			
Bridging (regulated)			
Commercial			
Consumer Buy-To-Let			
Buy-To-Let			
Mortgages			
Development			
Other			

Current lenders you are accredited to work with:

## 5. POLICIES AND PROCEDURES

Do you have the following policies and procedures?	Yes	No
Recruitment (including fitness & propriety checks)		
Training and Competence		
Treating Customers Fairly		
Supervision and Quality assurance		
Compliance Monitoring Regulatory Reporting		
Product/sales		
Underwriting or Packaging Guidelines		
Know Your Customer and sanctions screening		
Vulnerable Customers		
Anti-money laundering		
Financial Crime and Anti-Bribery and Corruption		
Conflicts of Interest		
Complaints handling and investigations		
Document Retention and Data Protection		
DPA/GDPR		
Systems and Controls		
Senior Managers & Certification Regime Implemented		

If you have answered 'No' to any of the questions in Section 5, please give an explanation here. NB: We understand that some firms may not have developed all of these.

## 6. KEEPING YOU INFORMED

We would like to keep you informed by email, letter and phone about products, services and additional benefits that we believe may be of interest to you.

Email for product updates:

Phone number for product updates:

Please select your communication preferences:

Yes

No

Letter

Email

Phone

## 7. OTHER DIRECTORS, DEPARTMENT HEADS & CONTACTS

(DOB only required for Directors)

<p>Title: <input type="text"/> Forename(s): <input type="text"/></p> <p>Surname: <input type="text"/></p> <p>Position within company: <input type="text"/></p> <p>Date of Birth (DD/MM/YYYY): <input type="text"/></p> <p>Email address: <input type="text"/></p> <p>Contact number: <input type="text"/></p>	<p>Title: <input type="text"/> Forename(s): <input type="text"/></p> <p>Surname: <input type="text"/></p> <p>Position within company: <input type="text"/></p> <p>Date of Birth (DD/MM/YYYY): <input type="text"/></p> <p>Email address: <input type="text"/></p> <p>Contact number: <input type="text"/></p>
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## 8. DISCLOSURE

Have you or any Director, Principal, Partner or senior employee: Yes No

Been involved in liquidation/bankruptcy proceedings (on your/his/her/their own account, or on the account of any firm or company with which you/he/she/they were at the time connected as a Director, Principal, Partner, or senior employee) or had any judgement against you/him/her or them?

Ever traded under another title?

Been dismissed from any office of employment or representative position?

Currently have any involvement in civil litigation either on your/his/her/their own account or on the account of any firm or company with which you/he/they has/have been connected as a Director, Principal, Partner or senior employee?

Knowledge of any allegations of negligence against you/him/her/they or any firm or company with which you/he/they have been connected as a Director, Principal, Partner or senior employee during the past 10 years.

Had any order made against you/him/her/they under the Companies Acts or the Insolvency Acts or equivalent legislation?

Had any High Court or County Court Judgements or their local equivalent made against you/him/her/they?

Been convicted of any criminal offence (excluding driving offences) not treated as a spent conviction under the Rehabilitation of Offenders Act 1974 or equivalent legislation?

If you have answered "Yes" to any of the above questions, please provide details below:

## 9. DECLARATION

1. This application is made by the intermediary named overleaf ("You"). Once accepted by Hope Capital Limited ("we/us"), a contract will be created between You and Us which incorporates all the terms shown on any page of this document.

2. We reserve the right to reject any application for a loan.

To: Hope Capital  
Credit Reference Agencies & Credit Searches

I/We agree and authorise Hope Capital to:

- (a) make searches of the records at fraud prevention agencies who may provide Hope Capital with information; and,
- (b) make such enquiries of any person or organisation, as Hope Capital considers necessary in connection with this application; and,
- (c) pass information to financial and other organisations involved in fraud prevention to protect Hope Capital from fraud and theft.
- (d) I/We understand that if I/we give Hope Capital false or inaccurate information and Hope Capital suspect fraud, then Hope Capital will record this.

I/We confirm that I/we have fairly and lawfully obtained the details of the individuals included in this application form, and am/are entitled to disclose such details to The Company in accordance with Data Protection Laws. Each party acknowledges that, for the purposes of Data Protection Laws, it is a data controller of personal data relating to these terms and that it independently of, and not jointly with, the other party, determines the purposes for which and the manner in which that personal data is, or is to be, processed I/We have notified all individuals whose personal data will be processed

pursuant to this agreement that The Company holds such details and of the purposes for which the details will be processed.

Notwithstanding the preceding paragraph, you will be responsible for providing fair processing information to customers whose personal data we process pursuant to these terms, on behalf of both Hope Capital and yourself. You will maintain a record of customers to whom you have provided fair processing information on behalf of Hope Capital under this paragraph, and will make that record available to Hope Capital on our reasonable request. Hope Capital will provide you with a copy of the relevant fair processing information to be provided to customers under this paragraph.

Each party shall notify the other party as soon as reasonably practicable after becoming aware of any Data Breach and provide the other party with a reasonable description of that Data Breach promptly upon that information becoming available. Each party shall, at the request, cost and expense of the other party, provide reasonable assistance to the other party to mitigate any adverse effects of any Data Breach on that party's business and affected individuals. Neither party shall release or publish any notice, press release or report concerning the Data Breach without first consulting the other party, save that it may disclose a Data Breach to the extent required by applicable rules.

If an individual makes a written request to either party to exercise their rights of access, rectification or erasure, to restrict or object to processing of personal data or to data portability which relates directly or indirectly to the other party's processing of personal data, the receiving party shall promptly forward that request to the other party and at the request, cost and expense of the other party, provide reasonable assistance to the other party to respond that request in accordance with applicable deadlines under Data Protection Laws.

The Company may use and process, by any medium, the information in this application form and any other information The Company may acquire in relation to me/us and the individuals named in this application form for the purposes of assessing my/our application and, in the event of my/us being granted introducer facilities, for the purposes of administering and dealing with such introducer facilities. Such processing may include such enquiries as The Company thinks fit into the background of the business and its principals including making searches at one or more credit reference agencies.

If false or inaccurate information is provided and fraud is identified, details will be passed to fraud prevention agencies. Law enforcement agencies may access and use this information. We and other organisations may also access and use this information to prevent fraud and money laundering, for example, when: checking details on applications for credit and credit related or other facilities; managing credit and credit related accounts or facilities; recovering debt; checking details on proposals and claims for all types of insurance; checking details of job applicants and employees.

Each party shall, to the extent permitted by applicable rules, if it receives any complaint, notice or communication from a supervisory authority which relates directly or indirectly to other party's processing of personal data, or an actual or potential failure by the other party to comply with Data Protection Laws, promptly forward the complaint, notice or communication to other party and, at the other party's request, cost and expense, provide them with reasonable co-operation and assistance in relation to the same.

## 10. SIGNATURE

Full name:

Date (DD/MM/YYYY):

Signature:

## OFFICE USE ONLY

Reviewed by:	TP:	BO:
FR:	PP:	M:
IR:	DI:	WS:
CC:		
CS:		