

# Registered Individual (RI) Application Form

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## Registered Individual (RI) Application Form

*Mortgage Connect (NI) Ltd — Version (v2)*

### Notes for applicants:

- **DO NOT PRINT AND COMPLETE BY HAND** – Please complete online and return to [info@mortgageconnect.co.uk](mailto:info@mortgageconnect.co.uk)
- Complete all sections. Fields marked \* are mandatory.
- Attach documents listed in Appendix 2.

### A. Applicant Details \*

Full legal name *	
Previous/Other names (if any)	
Title	
Date of birth *	
Nationality *	
NI number *	
Email (primary) *	
Mobile *	
Landline	
FCA IRN (if previously approved)	
How did you hear about us?	
Introduced by (name/firm)	

## B. Address History (5 years minimum) \*

Provide continuous address history for at least 5 years. If more space is needed, use Appendix 1.

### Current Address

Address	
Postcode	
Residential status *	<input type="checkbox"/> Owner <input type="checkbox"/> Tenant <input type="checkbox"/> Living with parents <input type="checkbox"/> Other _____
Date moved in *	
Date moved out (if applicable)	

### Previous Address 1

Address	
Postcode	
Residential status *	<input type="checkbox"/> Owner <input type="checkbox"/> Tenant <input type="checkbox"/> Living with parents <input type="checkbox"/> Other _____
Date moved in *	
Date moved out (if applicable)	

### Previous Address 2

Address	
Postcode	
Residential status *	<input type="checkbox"/> Owner <input type="checkbox"/> Tenant <input type="checkbox"/> Living with parents <input type="checkbox"/> Other _____
Date moved in *	
Date moved out (if applicable)	

### Previous Address 3

Address	
Postcode	
Residential status *	<input type="checkbox"/> Owner <input type="checkbox"/> Tenant <input type="checkbox"/> Living with parents <input type="checkbox"/> Other _____
Date moved in *	
Date moved out (if applicable)	

### C. Role & Business Categories Applied For \*

Tick all that apply and provide evidence of qualification/experience where requested.

<b>Applying as</b>	<input type="checkbox"/> Adviser (RI) <input type="checkbox"/> Administrator <input type="checkbox"/> Other _____
<b>Mortgages</b>	<input type="checkbox"/> Residential <input type="checkbox"/> Buy-to-Let <input type="checkbox"/> Equity Release <input type="checkbox"/> Bridging/Commercial
<b>Insurance</b>	<input type="checkbox"/> Protection <input type="checkbox"/> Business Protection <input type="checkbox"/> General Insurance <input type="checkbox"/> Private Medical Insurance
<b>How will you conduct business? *</b>	<input type="checkbox"/> Remote <input type="checkbox"/> Face-to-face <input type="checkbox"/> Hybrid
<b>Any business conducted outside the UK? *</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, complete Appendix 4
<b>Any clients based overseas? *</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, complete Appendix 4

### D. Competence, Training & CPD

<b>Current CAS status</b>	<input type="checkbox"/> Mortgages <input type="checkbox"/> Protection <input type="checkbox"/> GI <input type="checkbox"/> PMI <input type="checkbox"/> Equity Release <input type="checkbox"/> Business Protection
<b>If trainee, since (MM/YYYY)</b>	____/____
<b>Are you supervising trainees?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No Details: _____
<b>CPD completed (last 12 months, hours)</b>	_____ hours

### E. Conduct Declarations (Fitness & Propriety) \*

Answer every question. If 'Yes', give full details in Appendix 1 (reference the question number).

E.1 Criminal: Have you ever been convicted, cautioned, or been the subject of any investigation, order to produce documents, or search warrant, whether in the UK or elsewhere? ☐ No ☐ Yes - see Appendix 1

E.2 Civil: Have you ever been subject to a County Court Judgment (CCJ), bankruptcy, IVA, or had any civil court findings against you (including pending cases)? ☐ No ☐ Yes - see Appendix 1

E.3 Business/Employment: Have you ever been subject to disciplinary proceedings or investigations, refused employment, dismissed, or resigned to avoid dismissal? ☐ No ☐ Yes - see Appendix 1

E.4 Regulatory: Have you ever been refused or had withdrawn authorisation/approval, been censured or warned by the FCA or any other regulator? ☐ No ☐ Yes - see Appendix 1

E.5 Lender Panel: Have you ever been warned or removed from a lender panel? ☐ No ☐ Yes - see Appendix 1

E.6 Product Sales: Have you ever been involved in the sale or promotion of Arch Cru, Keydata, UCIS or other high-risk/unregulated investments? ☐ No ☐ Yes - see Appendix 1

E.7 Debts: Do you have any debts arising from regulated activity? ☐ No ☐ Yes - see Appendix 1

E.8 Introducers: Do you receive or pay introductions from/to third parties for regulated business? ☐ No ☐ Yes - see Appendix 1

## F. Employment History (10 years) \*

Regulatory minimum is 6 years of references; we may reference up to 10 years. Explain any gaps over 1 month.

### Employer 1

Firm name *	
Firm FCA number (if applicable)	
Position held *	
Employment status *	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed
Address	
Postcode	
From *	
To	
Is/was firm an Appointed Representative?	<input type="checkbox"/> Yes <input type="checkbox"/> No      Principal name & FRN:
Reference contact email *	
Reason for leaving	<input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Termination/Dismissal <input type="checkbox"/> End of contract <input type="checkbox"/> Other
May we contact now? *	<input type="checkbox"/> Yes <input type="checkbox"/> No (explain in Appendix 1)

### Employer 2

Firm name *	
Firm FCA number (if applicable)	
Position held *	
Employment status *	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed
Address	
Postcode	
From *	
To	
Is/was firm an Appointed Representative?	<input type="checkbox"/> Yes <input type="checkbox"/> No      Principal name & FRN:
Reference contact email *	
Reason for leaving	<input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Termination/Dismissal <input type="checkbox"/> End of contract <input type="checkbox"/> Other
May we contact now? *	<input type="checkbox"/> Yes <input type="checkbox"/> No (explain in Appendix 1)

### Employer 3

<b>Firm name *</b>	
<b>Firm FCA number (if applicable)</b>	
<b>Position held *</b>	
<b>Employment status *</b>	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed
<b>Address</b>	
<b>Postcode</b>	
<b>From *</b>	
<b>To</b>	
<b>Is/was firm an Appointed Representative?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No      Principal name & FRN:
<b>Reference contact email *</b>	
<b>Reason for leaving</b>	<input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Termination/Dismissal <input type="checkbox"/> End of contract <input type="checkbox"/> Other
<b>May we contact now? *</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No (explain in Appendix 1)

### Employer 4

<b>Firm name *</b>	
<b>Firm FCA number (if applicable)</b>	
<b>Position held *</b>	
<b>Employment status *</b>	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed
<b>Address</b>	
<b>Postcode</b>	
<b>From *</b>	
<b>To</b>	
<b>Is/was firm an Appointed Representative?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No      Principal name & FRN:
<b>Reference contact email *</b>	
<b>Reason for leaving</b>	<input type="checkbox"/> Resignation <input type="checkbox"/> Redundancy <input type="checkbox"/> Termination/Dismissal <input type="checkbox"/> End of contract <input type="checkbox"/> Other
<b>May we contact now? *</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No (explain in Appendix 1)

**Explain any employment gaps over 1 month:** (include dates and reasons)

## G. Directorships, Shareholdings & Other Interests

List all companies/partnerships where you are/have been a director/partner/controller; and any ≥10% shareholdings.

Firm name	Nature of business	Role	Date from	Date to

≥10% shareholding in any FS company: ☐ No ☐ Yes — details in Appendix 1

Any other contracts/authorisations not covered above: ☐ No ☐ Yes — details in Appendix 1

## H. Qualifications (attach copies) \*

CeMAP	<input type="checkbox"/> Yes Date:
CeRER/MAQ/Bridge	<input type="checkbox"/> Yes Date:
FPC/CeFA/CF1/CF6/Other	List and dates:

## I. Key Performance Indicators (last 12 & 24 months sales if applicable)

Product	12 months	24 months
Residential Mortgages		
Buy-to-Let		
Equity Release		
Commercial		
Bridging		
Second Charge		
Protection		
Income Protection		
Business Protection		
Home Insurance		
ASU		

Persistency (12 months / 24 months): \_\_\_\_\_ % / \_\_\_\_\_ %

## J. Financial Promotions & Social Media

*Provide links/usernames for any professional pages or advertising accounts you use (FB, Instagram, LinkedIn, Google, website, portals).*

**Links/usernames:**

## K. Financial Information & Permissions

*We may run soft credit checks as part of ongoing Fit & Proper assessments. Provide a summary of assets/liabilities (account for your share only).*

Category	£ amount	Joint? (Y/N)	Notes/address (for properties)
Mortgage (home)			
Other mortgages			
Loans/HP			
Credit cards			
Industry debts			
CCJ/IVA debt payments			
Principal residence (value)			
Other property (value)			
Bank accounts			
Savings			
Investments			
Shares			
Other assets			

## L. Declarations & Consents \*

By signing, you confirm:

- ☐ The information provided is complete and accurate, and you will promptly notify us of any material change.
- ☐ Consent to Mortgage Connect (NI) Ltd contacting referees, lenders, regulators and running periodic soft credit checks.
- ☐ Consent for AccessNI/DBS basic checks (NI/UK) and sharing information with the FCA/other regulators as required.
- ☐ Understanding that appointment commences only once all contracts are executed and approvals confirmed.
- ☐ You have read our Privacy Notice and understand how we process and retain your data.

**Preferred contact methods:** ☐ Post ☐ Phone ☐ SMS ☐ Email

Applicant name (print)	Date (DD/MM/YYYY)
Signature (typed name acceptable for e-sign)	<del>Location</del>

## Appendix 1 — Additional Notes



## **Appendix 2 — Document Upload Checklist**

- ☐ Photographic ID (passport or driving licence) — clear colour scan
- ☐ Proof of address (utility bill/bank statement within 3 months)
- ☐ 5-year address history completed
- ☐ 6–10 year employment history completed with reference emails
- ☐ Unredacted last 3 months personal bank statements (PDF)
- ☐ Credit report (last 30 days)
- ☐ Basic AccessNI/DBS certificate (if >12 months old, new check required)
- ☐ Qualification certificates (CeMAP/CeRER/others)
- ☐ ICO registration (DPA number) or confirmation of exemption
- ☐ Evidence of CAS (if applicable) and last 12 months CPD log
- ☐ Professional social media/website links (for FP review)
- ☐ Any lender panel warnings/removals — full details provided

**Appendix 3 — Reference Contacts (minimum 6 years)** This could include details of additional referees

Employer	Contact name	Role	Email	Phone

**Appendix 4 — Overseas Business/Clients (if applicable)**

Countries, client types, proportion of business, controls for AML/PEP/sanctions screening: