

# Supplementary Question Sheet (FCA and SRA Compliance)

Private and Confidential

Please note: This question sheet does not apply to secretarial or administrative posts or to staff employed in support functions with the exception of Finance.

If you are unsure as to whether or not you need to complete it please contact the office to which you are applying.

NAME: \_\_\_\_\_

POSITION APPLIED FOR: \_\_\_\_\_

OFFICE: \_\_\_\_\_

The Financial Conduct Authority (FCA) require that persons carrying out regulated activity are of "good repute". The following questions will enable Thompsons to comply with FCA regulations when employing new people. Thompsons treat each candidate's application on a case-by-case basis, taking into account the seriousness of, and circumstances surrounding, the offence, the explanation offered, the relevance of the offence to the proposed role and the passage of time since the offence was committed. A positive response is not necessarily a bar to employment. Information will be treated in confidence.

Please respond to each question and provide further details where applicable.

- |     |   |     |                          |    |                          |
|-----|---|-----|--------------------------|----|--------------------------|
| 1.  | Have you been convicted of, investigated for any criminal offence or are any criminal proceedings or investigations pending against you?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 2.  | Have you had any financial judgements made against you or have you ever been bankrupt?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 3.  | Have you contravened any of the requirements and standards of the FCA or other regulatory system/authorities?   | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 4.  | Are you, or have you been, the subject of any justified complaint relating to regulated activities?   | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 5.  | Have you been involved with an organisation that has been refused registration, authorisation, membership or a licence to carry out a trade, business or profession, or had a registration, authorisation, membership or licence revoked, withdrawn or terminated?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 6.  | Have you been expelled by a regulatory or government body?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 7.  | Have you been concerned in the management of a business that has gone into insolvency, liquidation or administration while you were connected with it, or within one year of that connection?   | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 8.  | Have you, or any business with which you have been involved, been investigated, disciplined, censured, suspended or criticised by a regulatory or professional body, court or Tribunal (including the FCA or SRA) or are you or any business with which you have been involved currently the subject of such investigation? | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 9.  | Is there a bar or restriction from the SRA preventing your employment in a law practice?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |
| 10. | Have you ever been subject to a claim against you for professional negligence?  | YES | <input type="checkbox"/> | NO | <input type="checkbox"/> |

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11. Have you been dismissed or asked to resign and then resigned, from employment or from a position of trust, fiduciary appointment or similar? **YES**  **NO**
12. Have you ever been disqualified from acting in any managerial capacity or from acting as a director? **YES**  **NO**

If you have answered “yes” to any of these questions please provide further details and attach any supplementary documentation which you feel is relevant.

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Thank you for completing this form. You can if you wish enclose this in a sealed envelope and attach to your application. Please make sure it is securely attached to the form and that your name and the position you are applying for is clearly stated.