
# Key Person and Officer fit and proper form (COR4) – for corporate applications onlyOctober 2024

## About this form

This form is for Key Persons and Officers working for a corporate applicant to the trustee register. The information we ask for helps us assess whether you are a fit and proper person for acting as a trustee of an occupational pension scheme.

Each Key Person and each Officer needs to complete one of these fit and proper forms as part of their corporate applicant’s application to join the trustee register.

You should include all information relevant to the application when filling in this form. Do not assume that we will consider information you have already disclosed to us or other public bodies or that is in the public domain otherwise.

If you are unsure whether a piece of information or evidence is relevant to your application, include it anyway. We will only consider it as part of the application if it is relevant to us.

The information submitted forms part of a trustee register corporate application. Knowingly or recklessly giving information which is false or misleading, or failing to inform us of significant information may mean we cannot complete the application.

## How we handle your data

We’ll use the information in this application for searches to help us compile and maintain our trustee register. We’ll process your information in line with the Data Protection Act 2018 and the UK General Data Protection Regulation (GDPR).

You can find more information on how we process your personal data in [our privacy notice](https://www.thepensionsregulator.gov.uk/en/website-policies/privacy-notice/). Please ensure you have read our privacy notice before completing this form.

## How to complete this form

## You can complete this form by answering the below questions. You’ll also need to read and sign a declaration at the end of the form before submitting it.

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| --- | --- |
| 1 | Full name: |
| 2 | Home address: |
| 3 | Date of birth: |
| 4 | In the last five years, how many internal dispute resolution (IDR), Money and Pensions Service or Pensions Ombudsman (PO) complaints have you received related to your work as an occupational pension scheme trustee? | Number of complaints |
| IDR | TPAS | PO |
| 5 | If you have received or are aware of any of the kinds of complaints outlined in question 1 above, provide the:* date the complaint was first made
* complainant’s name
* scheme name
* details of the complaint
* outcome of the complaint
 | Date: | Complainant’s name: | Scheme: | Details of the complaint: |
|  |  |  |  |
| 6 | Are you, or have you ever been, the subject of any regulatory or governmental body investigation or intervention?If you need more space to answer this question, complete it on a separate page. You can send this page to us alongside the completed form when you submit your application. | Yes: ¨ No: ¨If ‘Yes’, provide details of when any such investigation commenced, the matters investigated and the outcome, if any: |
| Commencement date: | Matters investigated: | Outcome: |
| 7 | Are you, or have you ever been, the subject of any civil non-family proceedings? If no, have you ever received a pre-action protocol letter or other letters indicating that such action might be taken against you? | Yes: ¨ No: ¨If ‘Yes’, provide the date that any such proceedings commenced or letters were received, the matters in issue and the outcome if applicable: |
| Date: | Matters in issue: | Outcome: |
| 8 | Have you ever suffered an insolvency event, as defined in sub-sections 121(2), (3) and (4) of the Pensions Act 2004 (for LLP applicants, review sub-section 121(3), substituting ‘LLP’ for company’)? | Yes: ¨ No: ¨If ‘Yes’, please outline any insolvency events you have suffered. Provide dates for these. |
| Event: | Date: |
| 9 | Are you, or have you ever been, the subject of any proceedings leading up to or referring to any event referred to in question 5 above? This includes receiving a statutory demand. | Yes: ¨ No: ¨If ‘Yes’, tell us when the proceedings commenced or demand was sent, the issues raised in these and the outcome:  |
| Date proceedings commenced: | Issues raised: | Outcome: |
|  |  |  |
| Are you, or have you ever been, involved in any negotiations or compromises with your creditors? | Yes: ¨ No: ¨If ‘Yes’, provide details and the outcome:  |
| Details of negotiations or compromiseswith creditors | Outcome: |
|  |  |
| 10 | Have you ever been convicted of, or cautioned regarding, any criminal offence?This excludes convictions that are spent according to the Rehabilitation of Offenders Act 1974 and any offences that were resolved by fixed penalty notice. | Yes: ¨ No: ¨If ‘Yes’, please:* provide the dates of any convictions or cautions
* provide the case number
* identify the offence
* outline any penalty, fine or sentence imposed
 |
| Date: | Case number: | Offence: |
|  |  |  |
| Penalty: | Fine: | Sentence imposed: |
|  |  |  |
| 11 | Has a trustee appointment held by you been terminated or have you resigned or been asked to resign from a trustee appointment due to:* negligence or misconduct
* conflicts of interest
* fees or costs incurred
* lack of progress
* unspecified reasons
 | Yes: ¨ No: ¨If ‘Yes’, provide details:  |
| 12 | Due to negligence or misconduct, have you ever:* been asked to resign from a role
* resigned from a role
* faced disciplinary action from your employer, professional body or other governing bodies
* had a contract or position terminated in whole or in part due to negligence or misconduct
 | Yes: ¨ No: ¨If ‘Yes’, provide details:  |
| 13 | How do you ensure that you maintain sufficient knowledge and understanding of the issues that are or might be relevant to trustee appointments? One way you could confirm this is by completing our online Trustee toolkit training package. | Toolkit completed: ¨ |
| Email address registered with Trustee toolkit account: |
| Other information: |
| 14 | Have you been unable to fulfil any trustee or employee duties (in whole or in part) for a period greater than three consecutive months? | Yes: ¨ No: ¨If ‘Yes’, provide details of when this occurred and the reasons why. |
| Dates occurred: | Reasons why: |
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| 15 | List all companies in which you are a director. | Date appointed: | Company name: |
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| --- | --- | --- | --- |
| **16** | List any companies, partnerships or LLPs where you exercise control, whether alone or together with others (either directly or indirectly), over the management of that body. Describe your role in these organisations. | Company/Partnership/LLP: | Your role: |
|  |  |

## Signatures and declarations

You confirm that you are not the subject of a prohibition order made under section 3 of the Pensions Act 1995.

You confirm that you not the subject of a suspension order made under section 4 of the
Pensions Act 1995.

You confirm that you are not disqualified from being a trustee of any trust scheme on any of the grounds set out in subsection (1) of section 29 of the Pensions Act 1995, by virtue of being subject of an order made under subsection (3) or (4) of that section.

You accept that we will hold the information you provide us as part of exercising our functions. You consent to us using this information for the purposes of, or for any purpose connected with or incidental to, exercising our functions.

You certify that the information you have provided in this form is accurate and complete. In accordance with section 80 of the Pensions Act 2004, you acknowledge that it would be a criminal offence to knowingly or recklessly provide us information that is false or misleading in a material particular. You also acknowledge that, if you provide us with inaccurate information, we may use this as a reason to refuse registration or remove you from the register.

You confirm that you have provided us all the information we may need to determine if you meet our conditions for joining the trustee register. This includes information that might be adverse to your application. You acknowledge that applying to join the trustee register requires full disclosure, notwithstanding that some information may already be available in the public domain.

You understand that joining the trustee register is not an endorsement or approval by us of any services you provide.

You agree to inform us of any changes to your answers in this form within 10 working days of becoming aware of them.

You understand that we may check any information you provide against information:

* we already hold
* we obtain in the future
* from other sources

You acknowledge that we will assess your suitability for registration or remaining on the trustee register based on the information provided in this form and any other information that we consider relevant.

You agree that, to the extent that you’re able, you will notify us within seven days of any of the following happening.

* + - An approach from an external party to acquire more than 20% of your or your ultimate parent’s share capital.
		- An approach from an external party that could result in it holding more than 20% of your or your ultimate parent’s share capital.
		- The directors of your organisation or your ultimate parent deciding to dispose of more than 20% of your or your ultimate parent’s share capital to an external party.
		- The directors of your organisation or your ultimate parent making a decision that could result in an external party holding more than 20% of your or your ultimate parent’s share capital.
		- The transfer of more than 20% of your or your ultimate parent’s share capital between existing shareholders or to existing employees.
		- A transfer that could result in an employee holding more than 20% of your or your ultimate parent’s share capital.

You can confirm that you agree to the above by filling in the fields below. Make sure to confirm whether you are a Key Person or Officer for the purposes of this application.

|  |  |
| --- | --- |
|  | Signature: |
| Print name: |
| Position: |
| Date: |
|  | Key Person or Officer:  |