

Application and Declaration of Fitness and Propriety.

in support of nomination for membership of BASC Council 2025

**This document should be sent with the nomination form and candidate statement to Marford Mill, for the attention of the Chief Executive Office to arrive before close of business on Tuesday 31st December 2024**

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| Full Name:  (Your full official name as per your birth certificate) | |
| Name known as: | |
| Permanent Address: | |
| Temporary Address, if different from above: | |
| Date of Birth: | Telephone Numbers:  Landline:  Mobile: |
| Email address: | |
| Occupation: | |
| Qualifications: | |
| Membership to professional bodies | |
| Public honours and awards: | |
| BASC Membership number: | |
| *I confirm that the information given above is accurate in every respect and may be used by BASC to undertake the required checks to confirm my suitability in accordance with the fiduciary duties of an council member and FCA compliance. Also please note that BASC may use some of the information (such as name, location in the UK) to publicise my nomination for election to the Council of BASC*  Yes / No  If no please state your reasons why: | |

**FCA - Fitness and Propriety Declaration**

As an Association, regulated by the Financial Conduct Authority (FCA) for regulated activities, you are required to declare the following information to ensure you are eligible to hold the role of an elected member of Council.

If you answer “yes” to any of the following questions, please include further information related to that situation in the box provided at the end of the form (or on supplementary sheets if required).

Please note that answering “yes” to any of these questions may not exclude you from being able to stand, your eligibility will depend on the further information provided. **If you have any concerns or queries related to these questions please feel free to contact Angela Davies, Executive Director of Business Management** on 01244 573 059 / 07970 226 824 or email [angela.davies@basc.org.uk](mailto:angela.davies@basc.org.uk). All discussions will be treated in strictest confidence.

Please note the following information will be kept confidential and will only be shared with authorised individuals within the Association, unless action is required to be taken, in accordance with the election policy and procedure. However, if you are elected to Council, we may be required to share this information with the FCA, external auditors or other regulators.

If you are not elected to Council, this fitness and propriety declaration will be destroyed in a safe and confidential manner following the announcement of the Council election at the Associations AGM.

**Criminal Proceedings Questions**

When answering the questions in this section youshould include matters whether in the UK or overseas. By virtue of the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975, if you are subject to the law of England and Wales, youmust disclose spent convictions and cautions (other than a protected conviction or caution). By virtue of the Rehabilitation of Offenders Act 1974 (Exclusions and Exceptions) (Scotland) Order 2013 and the Rehabilitation of Offenders (Exceptions) Order (Northern Ireland) 1979, if you are subject to the law of Scotland or Northern Ireland, youmust disclose spent convictions (other than a protected conviction).

For the avoidance of doubt, references to the legislation above are references to the legislation as amended.

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| 1 | Have you **ever** been convicted of any criminal offence (whether spent or not and whether or not in the *United Kingdom*)?  i. involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or  ii. relating to *companies*, *building societies*, *industrial and provident societies*, *credit unions*, *friendly societies*, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, *money laundering*, market manipulations or *insider dealing?* | **YES/NO** |
| 2 | Are youcurrently the subject of any criminal proceedings, whether in the UK or elsewhere? | **YES/NO** |
| 3 | Have you**ever** been given a caution in relation to any criminal offence? | **YES/NO** |
|  | Do you have any convictions for any offences other than those in question 1 - 3 above (excluding traffic offences that did not result in a ban from driving or did not involve driving without insurance)? | **YES/NO** |
| 4 | Are you the subject of any ongoing criminal investigation? | **YES/NO** |
| 5 | Have youbeen ordered to produce documents pursuant to any ongoing criminal investigation or been the subject of a search (with or without a warrant) pursuant to any ongoing criminal investigation?  In answering this question, you should include all matters even where you were not the subject of the investigation in further information at the end of this form. | **YES/NO** |
| 6 | Has any firm at which you hold or have held a “position of influence” ever?  *(the meaning of ‘position of influence’ in accordance with the FCA is a significant-influence function, in relation to the carrying on of a regulated activity by a firm, means a function that is likely to enable the person responsible for its performance to exercise a significant influence on the conduct of the firm's affairs, so far as relating to the activity.)*  In answering each part of this question, you should include all matters even when the summons, charge, prosecution or investigation did not result in a conviction, and, in respect of question 5, even where the firm was not the subject of the investigation. However, firms are not required to disclose details of any specific individuals who were subject to historic (as opposed to ongoing) criminal investigations, prosecutions, summons or other historic criminal proceedings. | |
| 6a | Been convicted of any criminal offence? | **YES/NO** |
| 6b | Been summonsed, charged with or otherwise investigated or prosecuted for any criminal offence? | **YES/NO** |
| 6c | Been the subject of any criminal proceeding which has not resulted in a conviction? | **YES/NO** |
| 6d | Been ordered to produce documents in relation to any criminal investigation or been the subject of a search (with or without a warrant) in relation to any criminal investigation? | **YES/NO** |

**Civil Proceedings**

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| 1 | Have you, **ever** been the subject of a judgement debt or award against you?  Please give a full explanation of the events in questions, in the further information section at the end of this form.  Youshould include all County Court Judgement(s) (CCJs) made against you, whether satisfied or not); and  i) the sum and date of all judgement’s debts, awards or CCJs (whether satisfied or not); and  ii) the total number of all judgment debts, awards or CCJs ordered. | **YES/NO** |
| 2 | Have you ever been party to any civil proceedings which resulted in any order against the you (other than a judgement debt or award referred to in question 1 above)? (you should include, for example, injunctions and employment tribunal proceedings.) | **YES/NO** |
| 3 | Are you aware of: | |
| 3a | Any proceedings that have begun, or anyone’s intention to begin proceedings against you, for a CCJ or another judgement debt? | **YES/NO** |
| 3b | More than one set of proceedings, or anyone’s intention to begin more than one set of proceedings, that may lead to a CCJ or other judgement debt? | **YES/NO** |
| 3c | Anybody’s intention to claim more than £1,000 of CCJs or judgement debts in total from you? | **YES/NO** |
| 4 | Do youhave any **current** judgment debts (including CCJs) made under a court order still outstanding, whether in full or in part? | **YES/NO** |
| 5 | Have you**ever** failed to satisfy any such judgment debts (including CCJs) made under a court order still outstanding, whether in full or part, within one year of the order being made? | **YES/NO** |
| 6 | Have you ever: | |
| 6a | Filed for your own bankruptcy or had a bankruptcy petition served on you? | **YES/NO** |
| 6b | Been adjudged bankrupt? | **YES/NO** |
| 6c | Been the subject of a bankruptcy restrictions order (including an interim bankruptcy restriction order) or offered a bankruptcy restriction undertaking? | **YES/NO** |
| 6d | Made any arrangements with yourcreditors, for example a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed)? | **YES/NO** |
| 6e | Had assets seized or confiscated until a debt or other claim has been met? | **YES/NO** |
| 6f | Been involved in any proceedings relating to the above matters even if such proceedings did not result in the making of any kind of order against youor result in any kind of agreement with you? | **YES/NO** |
| 7 | Do you, or any undertaking under your management, have any outstanding financial obligations arising from *regulated activities*, which have been carried out in the past (whether or not in the UK or overseas)? | **YES/NO** |
| 8 | Have youever been adjudged by a court or tribunal (whether criminal, civil or administrative) for any fraud, misfeasance, negligence, wrongful trading or other misconduct? | **YES/NO** |
| 9 | Are you currently: | |
| 9a | Party to any civil proceedings? (including those covered in question 7 above) | **YES/NO** |
| 9b | Aware of anybody’s intention to begin civil proceedings against you (youshould include any ongoing disputes whether or not such dispute is likely to result in any order against you.) | **YES/NO** |
| 10 | Has any firm at which youhold or has held a position of influence ever been:  (See meaning of position of influence in section - criminal prosecution, question 6) |  |
| 10a | Adjudged by a court civilly liable for any fraud, misfeasance, wrongful trading or other misconduct? | **YES/NO** |
| 10b | The subject of a judgement debt or award against the firm? (you should include all CCJs made against the firm, whether satisfied or not.) | **YES/NO** |
| 10c | Party to any other civil proceedings which resulted in an order against the firm other than in relation to matters covered in 10a and 10b above? | **YES/NO** |
| 11 | Is any firm at which youcurrently hold or have held a position of influence, currently, or within the last 12 months? |  |
| 11a | Been party to civil proceedings? | **YES/NO** |
| 11b | Aware of anyone’s intention to begin civil proceedings against them? | **YES/NO** |
| 12 | Has any company, partnership or unincorporated association of which you are or have been a controller, director, senior manager, partner or company secretary, in the United Kingdom or elsewhere, at any time during their involvement, or within one year of such an involvement, been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors? | **YES/NO** |

**Business and Employment Matters**

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| 1 | Have you ever been: | |
| 1a | Disqualified from acting as a director or similar position (one where youact in a management capacity or conducts the affairs of any company, partnership or unincorporated association)? | **YES/NO** |
| 1b | The subject of any proceedings of a disciplinary nature (whether or not the proceedings resulted in any finding against you)? | **YES/NO** |
| 1c | The subject of any investigation which has led or might lead to disciplinary proceedings? | **YES/NO** |
| 1d | Notified of any potential proceedings of a disciplinary nature against you? | **YES/NO** |
| 1e | The subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? (This question covers internal investigation by an authorised firm, as well as investigation by a regulatory body, at any time.) | **YES/NO** |
| 2 | Have you ever been refused entry to, or been dismissed, suspended or requested to resign from, any professional, vocation, office or employment, or from any fiduciary office or position of trust whether or not remunerated? | **YES/NO** |
| 3 | Do you have any material written complaints made against you by your clients or former clients in the last five years which you have accepted, or which are awaiting determination, or have been upheld – by an ombudsman or complaints scheme? | **YES/NO** |
| 4 | In relation to activities regulated by the FCA and/or Prudential Regulation Authority (PRA) or any other regulatory body, has:  • you, or  • any company, partnership or unincorporated associate of which you are or has been a controller, director, senior manager, partner or company secretary, during your association with the entity and for a period of three years after you ceased to be associated with it, ever | |
| 4a | Been refused, had revoked, restricted, been suspended from or terminated, any licence, authorisations, registration, notification, membership or any other permission granted by any such body? | **YES/NO** |
| 4b | Been criticised, censured, disciplined, suspended, expelled, fined or been the subject of any other disciplinary or interventional action by any such body? | **YES/NO** |
| 4c | Received a warning (whether public or private) that such disciplinary or interventional action may be taken against you or the firm? | **YES/NO** |
| 4d | Been the subject of an investigation by any regulatory body, whether or not such an investigation resulted in a finding against you or the firm? | **YES/NO** |
| 4e | Been required or requested to produce documents or any other information to any regulatory body in connection with such an investigation (whether against the firm or otherwise)? | **YES/NO** |
| 4f | Been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation? | **YES/NO** |
| 4g | Ceased operating or resigned whilst under investigation by any such body or been required to cease operating or resign by any regulatory body? | **YES/NO** |
| 4h | Decided, after making an application for any licence, authorisation, registration, notification, membership or any permission granted by any such body, not to proceed with it? | **YES/NO** |
| 4i | Been the subject of any civil action related to any regulated activity which has resulted in a finding by a court? | **YES/NO** |
| 4j | Provided payment services or distributed or redeemed e-money on behalf of a regulated firm or itself under any contractual agreement where that agreement was terminated by the regulated firm? | **YES/NO** |
| 4k | Been convicted of any criminal offence, censured, disciplined or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as indicated in this group of questions). | **YES/NO** |
| 5 | In relation to activities regulated by the FCA/PRA or any other regulatory body, have you or any firm at which you hold or has held a position of influence at any time during and within one year of your association with the firm ever: | |
| 5a | Been found to have carried on activities for which authorisation or registration by the FCA/PRA or any other regulatory body is required without the requisite authorisations? | **YES/NO** |
| 5b | Been investigated for the possible carrying on of activities requiring authorisation or registration by the FCA/PRA or any other regulatory body without the requisite authorisation whether or not such investigation resulted in a finding against you? | **YES/NO** |
| 5c | Been found to have performed a senior management function or other controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval? | **YES/NO** |
| 5d | Been investigated for the possible performance of a senior management function or other controlled function (or an equivalent function requiring approval by the FCA/PRA or any other regulatory body) without the requisite approval, whether or not such investigation resulted in a finding against you? | **YES/NO** |
| 5e | Been found to have failed to comply with an obligation under the Electronic Money Regulations 2011 or Payment Services Regulations 2009 to notify the FCA/PRA of the identity of a person acting in a position of influence over its electronic money or payment services business? | **YES/NO** |
| 5f | Been the subject of disqualification direction under section 59 of the Financial Services Act 1986 or a prohibition order under section 56 Financial Services and Markets Act, or received a warning notice proposing that such a direction or order be made, or received a private warning? | **YES/NO** |

**Other Matters**

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| 1 | Are you, in the role to which this self-assessment relates, aware of any business interests, employment obligations, or any other circumstance which may conflict with the performance of your role | **YES/NO** |

If the answer is **‘Yes’** to any fitness and propriety questions, you are required to give further information below. Please ensure full details are stated including dates and amounts as necessary. Please use supplementary page(s) if required.

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| **Further Information:** |
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| **Conflict of Interest**  As an Association and FCA regulated organisation, all Council members and staff are required to complete a declaration of interest form.  As a nominee to become a candidate for BASC Council, if elected you will be required to adhere to the organisations conflict of interest policy and declare all interests.  A copy of the conflict of interest policy is enclosed with this pack. Please read the policy and outline any conflicts past or present that could be perceived rightly or wrongly, to cause a conflict of interest and should be taken into consideration when assessing your suitability for election to Council.  Examples of conflicts of interest could include: -   * A relationship with a member of staff * You work or have for a financial relationship with another shooting organisations or an organisation who has a relationship with the Association * You are a member or on the board of another organisation   Please note: Conflicts of interest do not prevent you from entering the Council election but require to be declared to ensure transparency and good governance. |
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| I confirm that all the information I have given is accurate and complete to the best of my knowledge and I know of no other information or fact that could be prejudicial to the interests of BASC or my suitability for election to Council.  I am aware that to give false or misleading information is an offence under the Financial Services Act 2012. |
| **PRINT NAME:** |
| **SIGNATURE:** |
| **DATE:** |
| **Please return this form to**:  CEO Office, BASC, Marford Mill, Rossett, Wrexham, LL12 0HL |