

Application to be appointed as a third-party trustee

Purpose of this form

Use this form if you wish to be appointed as a trustee on behalf of a scheme member or scheme members.

Completion of this form

Please complete the form in dark ink and write in CAPITAL LETTERS.

Make sure you answer all questions in full. If a question does not apply, please write 'Not applicable' or 'None'.

If you need more space to answer any of the questions, please use section 5 Further information.

Reference number

1 Scheme details

1.1 Pension scheme name

2 Your details

2.1 **Name**

Title

Mr

Mrs

Miss

Ms

Forename(s)

Surname

2.2 **Are you known by any other names now, or have you been known by any other names in the past?**

No – go to 2.3

Yes

Give full details of names, date of change and method of change, for example deed poll or marriage.

Name change 1

Previous or other name

Date of change

Method of change, for example deed poll, or marriage

continues on next page

2 Your details continued

2.2 *continued*

Name change 2

Previous or other name

Date of change

 / /

Method of change, for example deed poll, or marriage

Name change 3

Previous or other name

Date of change

 / /

Method of change, for example deed poll, or marriage

2.3 **Current address**

Address

Postcode

How long have you lived at this address?

Years

Months

2.4 **Previous addresses**

Give details of your previous addresses within the last 10 years, including dates.

Previous address 1

Postcode

From

To

 / / / /

Previous address 2

Postcode

From

To

 / / / /

continues on next page

2 Your details continued

2.4 *continued*

Previous address 3

<input type="text"/>	
<input type="text"/>	
<input type="text"/>	
<input type="text"/>	
Postcode <input type="text"/>	
From	To
<input type="text"/> / <input type="text"/> / <input type="text"/>	<input type="text"/> / <input type="text"/> / <input type="text"/>

2.5 **Contact details**

Phone numbers

Private

Work

Mobile

Fax numbers

Private

Work

Email address

2.6 **Date and place of birth**

Date of birth

 / /

Place of birth

2.7 **Occupation**

Give details of your occupation, including your job title and the type of work you do.

Job title

Description of work

2.8 **Qualifications**

Give details of:

- any degrees (UK or overseas)
- professional or business qualifications
- membership of professional bodies.

Please list any initials that these qualifications or memberships entitle you to use, and the dates when you received these qualifications or memberships.

Qualification 1

Designatory initials

Details

Date

 / /

continues on next page

2 Your details continued

2.8 *continued*

Qualification 2

Designatory initials

Details

Date

Qualification 3

Designatory initials

Details

Date

Qualification 4

Designatory initials

Details

Date

Qualification 5

Designatory initials

Details

Date

2.9 **Trustee or pensions experience**

Give details of any experience that you have gained either as a trustee or in pensions. Please also specify whether you have any experience of winding up pensions schemes.

2.10 **Other current or past trusteeships**

Give details of any other current trusteeships you hold or trusteeships that you have held in the past.

4 Disclosure

- 4.1 **Are you the subject of any criminal proceedings involving dishonesty or deception, which have been brought against you and have not yet been concluded, or have you ever been convicted of a criminal offence involving dishonesty or deception?**
- No
 Yes ➤ Please give details in section 5 Further information.
- Please note that you do not have to disclose any conviction, which is a spent conviction for the purposes of The Rehabilitation of Offenders Act 1974.
-
- 4.2 **Have you ever been declared bankrupt or been subject to the appointment of an official or administrative receiver in the last five years?**
- No
 Yes ➤ Please give details in section 5 Further information.
-
- 4.3 **Have you ever been disqualified from being a director of a company by an order made under the Company Directors Disqualification Act 1986? Or have you ever been subject to an order made under section 429(2)(b) of the Insolvency Act 1986 (Failure to pay under county court administration order)?**
- No
 Yes ➤ Please give details in section 5 Further information.
-
- 4.4 **Have you at any time entered into a Deed of Arrangement (Deed of Trust in Scotland) in favour of your creditors, which you have not been discharged from?**
- No
 Yes ➤ Please give details in section 5 Further information.
-
- 4.5 **Have you ever been disqualified or suspended from being a trustee of an occupational pension scheme, or have you been removed as a trustee of a trust scheme by an Order made by the High Court or the Court of Session?**
- No
 Yes ➤ Please give details in section 5 Further information.
-
- 4.6 **Have you ever had any applications for licences, registrations or authorisations refused or revoked within the last 10 years? In particular, this includes registration for Data Protection, Consumer Credit Licence, Banking Authorisation, authorisation to carry on investment or insurance business and authorisations to trade overseas.**
- No
 Yes ➤ Please give details in section 5 Further information.
-
- 4.7 **Do you, or have you ever, suffered from any mental or other disability that may affect your ability to perform your role as trustee?**
- No
 Yes ➤ Please give details in section 5 Further information.

Important note

Trustee Disqualification

From 6 April 1997, these people are disqualified from being a trustee of an occupational pension scheme:

- anyone who has a **conviction** for an offence involving **dishonesty or deception** (but not if the conviction is spent for the purposes of the Rehabilitation of Offenders Act 1974);
- any **bankrupt** who **has not been discharged**;
- anyone who in Scotland has had his estate **sequestered** and **has not been discharged**;
- a **company** with a **director** who is **disqualified** from being a trustee;
- anyone who has entered into a **Deed of Arrangement** in favour of their creditors which **has not been discharged**;
- anyone who in Scotland has entered into a **Deed of Trust** in favour of their creditors which **has not been discharged**;
- anyone who has made a **composition contract** or an **arrangement** with, or granted a **trust deed** for the benefit of their creditors which **has not been discharged**;
A composition contract is an agreement between a person and his creditors to settle a debt immediately by repaying only part of it. An arrangement with creditors means an arrangement made between a person and his creditors, where the creditors have agreed to accept a specific sum in settlement of their claim rather than make the person bankrupt.
- anyone **disqualified** by an order of the **Occupational Pensions Regulatory Authority (Opra)** or the **Pensions Regulator**;
- anyone **disqualified** under the **Company Directors Disqualification Act 1986**;
- anyone subject to an **order** made under **section 429(2)(b) of the Insolvency Act 1986** (Failure to pay under county court administration order);
- a **Scottish partnership** where a **partner** is **disqualified** from being a trustee.

You may be prosecuted if you act as a trustee or continue to act as a trustee while disqualified.
On conviction you may be fined, sent to prison or both.

6 Declaration

Please read and sign the declaration

I declare that:

- I have answered all questions fully and accurately to the best of my knowledge and belief;
- I will notify the Pensions Regulator promptly of any changes in the information provided;
- I give consent to the Pensions Regulator to make any investigations as considered appropriate by the Pensions Regulator;
- I am not and have not been disqualified from being a trustee of an occupational pension scheme.

Signature

X

Date

/ /

What to do next

Send the completed form to your insurer.

Data protection statement

The Pensions Regulator is a data controller under the Data Protection Act. We hold information for the reasons we have given to the data protection commissioner and may use the information for any of these reasons.

We may receive information about you from others or may give information to others. If we do give information to anyone outside the Pensions Regulator, it will only be as the law allows – maintaining a register of pension schemes, to assist with the provision of a pension-tracing service and also to fulfil our regulatory functions.

We may check information we receive about you with what we already have in our records. This includes information that you have given us as well as others, such as government departments.