

# Key Person and Officer fit and proper form (COR4)

For corporate applications only

# The Pensions Regulator

Each Key Person and each Officer must satisfy The Pensions Regulator that they are a fit and proper person to act as a trustee of an occupational pension scheme. As part of the application process, each Key Person and each Officer must complete one of these fit and proper forms.

Name						
1	How many IDR, TPAS or Pensions Ombudsman complaints have you received/are aware of in the last 5 years relating to, or arising out of or in connection with, any work you have carried out as an occupational pension scheme trustee?	Number of complaints:				
		IDR	TPAS	PO		
2	If you have received/are aware of any such complaints, in respect of each, provide the date it was first made, the name of the complainant, the scheme, the nature of the complaint and the outcome (if any).	Date	Complainant	Scheme	Nature of complaint	Outcome
3	Are you, or have you ever been, the subject of any regulatory/governmental body investigation or intervention?	Yes: <input type="checkbox"/> No: <input type="checkbox"/>				
		If 'Yes', provide details of when any such investigation commenced, the matters investigated and the outcome (if any):				
		Commencement date	Matters investigated	Outcome		
4	Aside from family proceedings, are you, or have you ever been, the subject of any civil proceedings, or received any pre-action protocol letter(s) or other letters indicating that such action might be taken against you?	Yes: <input type="checkbox"/> No: <input type="checkbox"/>				
		If 'Yes', provide the date that any such proceedings commenced or letters were received, the matters in issue and the outcome (if any):				
		Date	Matters in issue	Outcome		

<p><b>5</b> 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')?</p>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', identify the event(s) and provide the dates upon which it/they occurred:</p>		
	Event	Date	
<p><b>6</b> a). 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 (including receipt of a statutory demand)?</p>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', tell us when the proceedings commenced or demand was sent, the issues raised in these and the outcome:</p>		
	Date proceedings commenced	Issues raised	Outcome
<p>b). Are you, or have you ever been, involved in any negotiations/compromises with your creditors?</p>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', provide details and the outcome:</p>		
	Details of negotiations/compromises with creditors	Outcome	



<p><b>8</b> Has any trustee appointment held by you been terminated or have you resigned or been asked to resign from a trustee appointment due to:</p> <ul style="list-style-type: none"> <li>(i). Negligence or misconduct;</li> <li>(ii). Conflicts of interest;</li> <li>(iii). Fees or costs incurred;</li> <li>(iv). Lack of progress; or</li> <li>(v). Unspecified reasons.</li> </ul>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', provide details:</p>					
<p><b>9</b> Have you been asked to resign, resigned, faced disciplinary action from your employer or professional or other governing bodies, or had your employment terminated as a result in whole or in part of any negligence or misconduct (whether or not this resulted in formal action taken against you)?</p>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', provide details:</p>					
<p><b>10</b> How do you ensure that you maintain sufficient knowledge and understanding of the issues that are relevant/might be relevant to trustee appointments? For example, confirm that you have completed The Pensions Regulator's online Trustee toolkit training (<a href="http://www.trusteetoolkit.com">http://www.trusteetoolkit.com</a>).</p>	<p>Toolkit completed <input type="checkbox"/></p> <p>Other information:</p>					
<p><b>11</b> Have you been unable to fulfil any trustee or employee duties (in whole or in part) for a period greater than 3 consecutive months?</p>	<p>Yes: <input type="checkbox"/> No: <input type="checkbox"/></p> <p>If 'Yes', please provide details of when this occurred and the reasons why.</p> <table border="1" data-bbox="715 1590 1461 2040"> <thead> <tr> <th data-bbox="715 1590 912 1635">Dates occurred</th> <th data-bbox="912 1590 1461 1635">Reasons</th> </tr> </thead> <tbody> <tr> <td data-bbox="715 1635 912 2040"> </td> <td data-bbox="912 1635 1461 2040"> </td> </tr> </tbody> </table>		Dates occurred	Reasons		
Dates occurred	Reasons					

<p><b>12</b> List all companies in which you are a director.</p>	<p>Date appointed</p>	<p>Company name</p>
<p><b>13</b> 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.</p>	<p>Company/Partnership/LLP</p>	<p>Your role</p>

<p><b>Signature</b></p>
<p><b>Print name</b></p>
<p><b>Position</b></p>
<p><b>Date</b></p>