



mortgage support  
network

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## Advisors applying to join an Appointed Representative of Mortgage Support Network

To make the Advisors application process as simple and straightforward as possible we list below details of the documentation required from them.

You will no doubt appreciate that in carrying out our validation process and due diligence of all potential Advisors we must comply with the FSA's Rule Book, our own corporate risk management requirements and last, but not least, the risk to our Appointed Representative business partner if a poor/bad advisor was recruited.

We will keep you informed throughout the assessment procedure and also advise you of the requirements as the application progresses.

All documentation should be completed in **block capitals** and **black ink**.

### Applications & Supporting documentation

**The Appointed Representative FIRM must forward: -**

- 1 Fully completed Advisor & Controller Application for each advisor within the business
- 2 **Sole Trader ARs Only** - If the Appointed Representative business is a Sole Trader and the principal is currently the only Advisor within the business we also need an Advisor & Controller Application completed by the principal/controller. The Principal should fully complete the Application as a "controller".
- 3 Copy of advisors qualification certificates
- 4 Evidence of Advisor's previous business production e.g. Company league tables, copies of New Business books, pay slips showing commission/bonuses paid, etc. They should cover a period of at least six months consecutive months in the last 12 months.
- 5 Three months personal bank statements.
- 6 Confirmation by the Appointed Representative that the Advisor is capable of writing £50k of Proc Fee, Broker Fee & Commission income within their business.

On receipt of the above and assuming our validation requirements/benchmarks have been met, prior to authorisation of the advisor the following are required:-

- 1 Either a copy of the Advisors employed/self-employed contract of employment/terms of engagement.
- 2 Attendance at and successful completion of Mortgage Support Network's Advisor Induction Course.

**At each phase please ensure you take a copy for your records and forward the originals to:**

**Mrs Jo Porter, Compliance Director**  
Mortgage Support Network Ltd  
Regent House. 16 West Walk, Leicester LE1 7NA