



**NatWest**  
International

# Application to Broker Panel

As part of our commitment to protecting our existing and new customers from the risks of fraud, and to ensure that we comply with our legal obligations under the relevant Anti Money Laundering and Anti-Bribery and Corruption legislation, we will need to complete due diligence on you before entering into Terms of Business and accepting your mortgage applications.

## IMPORTANT

To help us to process your Broker Panel request as quickly as possible, we need you to answer all of the questions below.

Please do not submit a mortgage application until you have been accepted onto our Broker Panel and have received, signed and returned our Terms of Business

We may seek identification documents from you or the key principals of your firm. If this is a requirement we will provide you with further instructions.

We may have to return any applications to you if our Broker Panel formalities have not been completed.

## Your Information

For details of how we will use your information, please refer to our Privacy Notice available at [natwestinternational.com/privacynotice](http://natwestinternational.com/privacynotice). When we use and share personal and financial information, we do so on the basis that we have a legitimate interest to prevent fraud and money laundering, to manage our risk and to protect our business and to comply with laws that apply to us (including verifying your identity and assessing the suitability of our products).

If you cannot provide the information below or are unsure please call us.

What is the name of your NatWest International contact

Firm name

Name of main contact at your Firm

Address line 1

Address line 2

Address line 3

Postcode

Telephone number

E-mail address

How did you hear about NatWest International Mortgages?

Are you already on the NatWest Intermediary Solutions Panel in the UK?

Yes  No

Please provide details of your main contact

What is your FCA Number?

Are you Directly Authorised or an Appointed Representative?

Directly Authorised  Appointed Representative

If an Appointed Representative please provide details of your Network

Will procurement fees be paid directly to your Network?

Yes  No

Are you a limited company, partnership or sole trader (\*)? (Please provide details)

Do you or your firm bank with NatWest Group?

Yes  No

Please provide details

How long have you been trading for?

Do you have any offices overseas? If yes, where?

Yes  No

If yes, please list all countries?

What is the anticipated volume of business you expect to introduce to us?

Where do you source business from?

What other services do you provide?

Are you a member of any of the following:

National Association of Finance Brokers

Yes  No

Institute of Chartered Accountants

Yes  No

ICAEW

Yes  No

ACCA

Yes  No

Do you provide regular product & sales compliance training to all sales staff?

Yes  No

Please provide details

Can you envisage any situations now or in the future that might result in a conflict of interest between your firm and the Bank?

Yes  No

Please provide details

(\*) we will require identification for sole traders. Please contact us for further information.

Can you confirm that you are tax compliant, have not previously evaded tax and are not participating in any tax avoidance arrangements.

Yes  No

### **How we use and share your information**

We and other NatWest Group companies worldwide will use the information you supply in this application (and any information we or other NatWest Group companies may already hold about you) in connection with processing your application and assess your suitability for our products. If your application is declined we will normally keep your information for up to 6 years (or 10 years in Jersey), but we may keep it for longer if required by us or other NatWest Group companies in order to comply with legal and regulatory requirements.

We and other NatWest Group companies may use your information in order to improve the relevance of our products and marketing.

The information provided in this application may be used for compliance with legal and regulatory screening requirements, including confirming your eligibility to hold a UK bank account and sanctions screening.

We may be required to disclose certain information to regulators, tax authorities, government bodies and similar organisations around the world, including the name, address, tax number, account number(s), total gross amount of interest paid or credited to the account and the balance or value of the account(s) of our customers.

### **What happens next?**

- Please send this completed form to us
- We will progress your application and expect to provide you with an update within 3 days
- If your application is successful we will send you our Terms of Business for you to consider. Please sign and return the Terms of Business by post with a covering letter to confirm the bank details we should pay any procurement fees to
- Once we receive the signed Terms of Business we will accept mortgage applications from you

The Royal Bank of Scotland International Limited trading as NatWest International (NatWest International). Registered Office: Royal Bank House, 71 Bath Street, St. Helier, Jersey, JE4 8PJ. Tel. 01534 282850. Regulated by the Jersey Financial Services Commission.

Guernsey business address: Royal Bank Place, 1 Gategny Esplanade, St. Peter Port, Guernsey, GY1 4BQ. Tel. 01481 703860. Regulated by the Guernsey Financial Services Commission and licensed under the Banking Supervision (Bailiwick of Guernsey) Law, 1994, as amended, the Insurance Managers and Insurance Intermediaries (Bailiwick of Guernsey) Law, 2002, and the Protection of Investors (Bailiwick of Guernsey) Law, 1987, as amended.

Isle of Man business address: 2 Athol Street, Douglas, Isle of Man, IM99 1AN. Tel. 01624 637190. Licensed by the Isle of Man Financial Services Authority in respect of Deposit Taking, Investment Business and registered as a General Insurance Intermediary.

NatWest International is the registered business name of The Royal Bank of Scotland International Limited under the Business Names Registration Act. Gibraltar business address: NatWest International House, 57 Line Wall Road, Gibraltar. Tel. 200 77737 or 200 73200. Regulated and authorised by the Financial Services Commission, Gibraltar to undertake Banking and Investment Business from 55 and 57 Line Wall Road, Gibraltar.