

How to: Complete Section 1 of the Individual Questionnaire:

This step-by-step guidance provides information on the process for completing Section 1 of the Individual Questionnaire (IQ), which must be completed to comply with the Central Bank's fitness and probity regime, via the Online Reporting System (ONR).

To complete Section 1, please follow these steps:

- i. Please see **How-to: Access the Individual Questionnaire via Online Reporting** for information on how to access Section 1.
- ii. Section 1 concerns Preliminary Questions and your answers on this section will dictate which other sections you must then complete.
- iii. Question 1.1 determines if the Minimum Competency Code (MCC) applies to you.
 - If you are going to be working with consumers, either through the provision of advice, or through arranging or offering to arrange financial products for consumers, the MCC will apply to you, and you must demonstrate to the Bank how you meet its requirements.
 - If you indicate that you must meet the MCC, you must also select how you will do so. If you select either by grandfathering or as a New Entrant, you will later need to complete Section 4 of the form. If you indicate that you already have the relevant qualification, proof of this must be provided by attaching supporting material to Section 10 of the form.

For more detail on the requirements of the MCC, see the Code on the Central Bank website.

- iv. Questions 1.2 to 1.5 relate to current approvals by the Central Bank of Ireland or by another Financial Services Regulator within the EU/EEA. If you are currently approved for a similar role in the same sector that you are now applying for, Section 5 does not need to be completed. In all other cases Section 5 is mandatory.
- v. Questions 1.6 and 1.7 refer to shareholdings and business interests and will require completion of Sections 7 and 8 of the application if your response is 'Yes'.
- vi. Question 1.8, relates to positions you hold/have held in other entities. If you answer 'Yes' you must complete section 9 of the application for each position and include your time commitments to these roles.
- vii. If you are applying as a sole trader, you must answer 'Yes' to question 1.9 and Section 13 will be mandatory. Please note you will also be required to attach a Data Protection Disclosure from An Garda Síochána in Section 10 of the application.
- viii. If you are submitting an Individual Questionnaire as part of a firm's application for approval/authorisation or renewal of an authorisation/approval, you must answer "Yes" to question 1.10.

- ix. Once you have completed Section 1, select the 'Save Form' button. If you have left any mandatory sections blank, you will receive an error message highlighting the section that is blank in red (shown in figure 1.1), and you will be unable to save it until this section has been completed. When it has been saved properly, its Status will have updated from 'Blank' to 'Valid', as shown in figure 1.2.

There were errors on the form which prevented it from being saved. Hover over the highlighted cells to see a shortened version of the error messages or click on View Errors to view all errors, with detailed error messages. Alternatively click on 'Save With Errors' to save the form as a draft version, and you can fix the errors at a later time.

Section 1: Preliminary Questions

1.1 Will you be providing advice to consumers on retail financial products and / or arranging, or offering to arrange retail financial products for consumers including any amendments to insurance cover and the restructuring or rescheduling of loans and/or carrying out a specified function (as set out in the Minimum Competency Code 2011)?
(If Yes to (a) or (b) below, Section 4. Minimum Competency Code is mandatory)

Yes No *

If you answered Yes to this question please choose one of the following options
(If applying as a Sole Trader, you will be required to submit evidence in support of your response to the above. See Section 10 of the IQ/Guidance Document)

Figure 1.1

Section	Status	Last Updated By	Last Updated			
Section 1: Preliminary Questions	Valid	Chris Mills	25-Jun-2013 (11:42)			
Section 2 Applicant Personal Details	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 3 Professional Experience and Qualifications	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 4 Minimum Competency Code 2011	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 5: Applicant Reputation And Character	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 6 Applicant Current and Previous Regulatory Approvals	Blank	Chris Mills	25-Jun-2013 (11:27)			
Section 7 Applicant Shareholdings in Proposing Entity or Group Companies	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 8 Applicant Shareholdings/Business Interests in Financial Entities and Other Firms	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 9 Positions as an Executive/Non-Executive Director, Chairman, Manager...	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 10: Supporting Documentation	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 11: Applicant Declaration	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 12: Proposer Declaration	Blank	Chris Mills	18-Jun-2013 (11:57)			
Section 13: Sole Trader Declaration	n/a	Chris Mills	18-Jun-2013 (11:57)			

Export to Excel
Submit to Proposer

Figure 1.2