

**C****Form CC12/08****Notification of changes to  
company controllers***for a limited company or  
limited liability partnership***When to use this form****Use this form if you want to tell us about:**

- ✓ a change of directors or company secretary at your organisation's controller
- ✓ a new controller for your organisation
- ✓ an individual or organisation that is no longer a controller of your organisation.

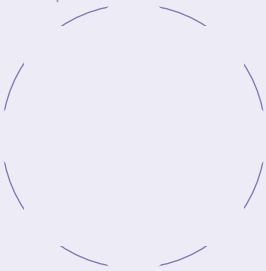
**You must tell us about any of these changes within 21 days of the change. It is an offence not to do this.**

**Licence number**

**Number for general guidance about  
licensing matters 08457 22 44 99**

Open 9am to 5pm, Monday to Friday.

**Office use only**

|   |
|---|
| Date stamp  |
|  |

## Who can fill in and sign this form?

This depends on the type of organisation that holds the licence.

| Type of organisation          | Who can fill in and sign the form                   |
|-------------------------------|---|
| Limited liability partnership | A member of the partnership*                        |
| Company                       | A director of the company or its company secretary* |

### **\*Authorisation letters from permitted individuals**

*Permitted individuals can authorise another person to fill in the form on their behalf. The permitted individual must give the person who fills in the form an authorisation letter.*

**The individual who signs the form is responsible for making sure it is accurate and complete. It is an offence to knowingly or recklessly give false or misleading information.**

## What is a controller?

A controller is an individual, company or other organisation that:

- normally tells the directors how to act
- or
- owns or controls (alone or with an associate) one third or more of the votes in the business.

Associates include:

- relatives of an individual
- an individual's partner and their relatives
- controllers of a company or limited liability partnership
- the controller of a controlling company or limited liability partnership
- other companies or limited liability partnerships that share the same controller.

If your controller is controlled by another individual, company or organisation, you must give their details too. Under the Consumer Credit Act, the individual, company or organisation that controls your controller, is also a controller of your company.

The definitions of controller and associate used in this form are based on the Consumer Credit Act 1974. The law on controllers and associates is complex. If you are unsure about controllers or associates, you should seek legal advice.

## Changes to controllers are free

You do not need to send any payment with this form.

## What to do now

- Fill in the form in black ink. Write clearly in CAPITAL LETTERS.
- Use the extra space provided in question 22 if you need more space to answer any of the questions.

## Data protection

The OFT will use the information you supply for the purposes of making changes to your consumer credit licence. It may also obtain information it considers relevant from other sources (for example, other regulatory, enforcement or public authorities, including the courts and the police). While the Data Protection Act 1998 and section 237 of the Enterprise Act 2002 restrict disclosure of such information, they also allow disclosure for a number of purposes without your further consent. For example, the OFT may use the information in connection with enforcement or regulatory action it takes under its own powers or may refer the information to other government departments or regulatory, enforcement or public authorities in connection with the exercise of their functions.

## About your consumer credit licence

The information we ask for in section A is to help us confirm details about your licence and establish your identity.

This information is shown on the Consumer Credit Licensing Public Register. The register holds information on applications for licences and existing licences. It is available for anyone to check.

### Licence details

#### 1 What is your licence number?

This is printed on your licence in the top right corner.

#### 2 What is the name of the licence holder as it appears on the licence?

This is printed on your licence in the top left corner.

#### 3 What is your main place of business in the UK?

|                  |          |
|------------------|----------|
| Building name    |          |
| Number           | Road     |
| District/village |          |
| Town/city        |          |
| County           | Postcode |
| Country          |          |

#### 4 What is your correspondence address *if different to above?*

|                  |          |
|------------------|----------|
| Building name    |          |
| Number           | Road     |
| District/village |          |
| Town/city        |          |
| County           | Postcode |
| Country          |          |

## About the changes to your controllers

The information we ask for in section B is about the changes to your controllers.

We need the information we ask for in section B to help us decide if your organisation is still fit to hold a consumer credit licence. It will not be shown in the Consumer Credit Licensing Public Register and will not be available to members of the public, unless:

- the application is refused or only granted in terms different to those applied for (or only granted on provision to the OFT of relevant undertakings); or
- any licence granted is later suspended, revoked or compulsorily varied or its renewal is refused.

In those circumstances, the information may be shown in the Public Register and available to the public.

The information may also be disclosed in accordance with the data protection statement at the beginning of this form.

### Change of controllers

#### 5 Does your organisation have a new controller?

A controller is an individual, company or other organisation that:

- normally tells the directors how to act
- or
- owns or controls (alone or with an associate) one third or more of the votes in the business.

Associates include:

- relatives of an individual
- an individual's partner and their relatives
- controllers of a company or limited liability partnership
- the controller of a controlling company or limited liability partnership
- other companies or limited liability partnerships that share the same controller.

The definitions of controller and associate used in this form are based on the Consumer Credit Act 1974. The law on controllers and associates is complex. If you are unsure about controllers or associates, you should seek legal advice.

**No** Go to question 7

**Yes** Please complete the rest of questions 5 and 6

#### Type of new controller

please tick the type of controller and give details in the relevant section

**Controller is an individual** please complete 5.1

**Controller is an organisation**, such as a limited company or limited liability partnership please complete 5.2

#### 5.1 Controller is an individual

##### Name

##### Date of birth

 /  / 

##### Home address

|                  |          |
|------------------|----------|
| Building name    |          |
| Number           | Road     |
| District/village |          |
| Town/city        |          |
| County           | Postcode |
| Country          |          |

Your application may be delayed if you do not give the correct postcode.

#### Does the controller have a consumer credit licence?

**No**

**Yes** Please give the licence number

Now go to question 7

#### 5.2 Controller is an organisation

##### Organisation name

##### Company registration number



**6 Is your new controller, controlled by another individual, company or organisation?**

If your new controller is controlled by another individual, company or organisation, you must give their details too. Under the Consumer Credit Act, the individual, company or organisation that controls your controller is also a controller of your organisation.

The definition of controller used in this form is based on the Consumer Credit Act 1974. The law on controllers is complex. If you are unsure about controllers, you should seek legal advice.

- No** Go to question 7
- Yes** Please complete the rest of question 6

**Type of controller**

please tick the type of controller and give details in the relevant section

- Controller's controller is an individual** please complete 6.1
- Controller's controller is an organisation, such as a limited company or limited liability partnership** please complete 6.2

**6.1 Controller's controller is an individual**

**Name**

**Date of birth**

**Home address**

|                  |          |
|------------------|----------|
| Building name    |          |
| Number           | Road     |
| District/village |          |
| Town/city        |          |
| County           | Postcode |
| Country          |          |

Your application may be delayed if you do not give the correct postcode.

**Does the controller's controller have a consumer credit licence?**

- No**
- Yes** Please give the licence number

Now go to question 7

**6.2 Controller's controller is an organisation**

**Organisation name**

**Company registration number**

**Address of main place of business**

|                  |          |
|------------------|----------|
| Building name    |          |
| Number           | Road     |
| District/village |          |
| Town/city        |          |
| County           | Postcode |
| Country          |          |

Your application may be delayed if you do not give the correct postcode.

**Does the controller's controller have a consumer credit licence?**

- No**
- Yes** Please give the licence number





**11** Have there been changes to the people who run your controller?

- No** *Go to question 12*
- Yes**

**What changes do you want to make?** *Please tick the appropriate boxes and give details of the people you wish to add or remove.*

• **Controller is a limited liability partnership**

- Add new members** *please give details below – if a member is a limited company or limited liability partnership, give their details in the boxes at the bottom of page 10*
- Remove members who have left** *please give details below – if a member is a limited company or limited liability partnership, give their details in the boxes at the bottom of page 10*

• **Controller is a company**

- Add new directors** *please give details below – if a director is a limited company or limited liability partnership, give their details in the boxes at the bottom of page 10*
- Remove directors** *please give details below – if a director is a limited company or limited liability partnership, give their details in the boxes at the bottom of page 10*

• **Controller is a partnership**

- Add new partners** *please give details below*
- Remove partners who have left** *please give details below*

• **Controller is another organisation**

- Add people who run the organisation** *please give details below*
- Remove people who no longer run the organisation** *please give details below*

**Individual 1**

- Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

**Individual 2**

- Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

**Individual 3**

- Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

*Use question 22 if you need more space.*

11 *continued*

**Individual 4**

**Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

**Individual 5**

**Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

**Individual 6**

**Add**     **Remove**

|                                 |
|---------------------------------|
| Surname                         |
| Other names in full             |
| Position                        |
| Date of birth        /        / |

*Use question 22 if you need more space.*

**Organisation 1**

**Add**     **Remove**

|                          |
|--------------------------|
| Company/partnership name |
| Registration number      |
| Position                 |

**Organisation 2**

**Add**     **Remove**

|                          |
|--------------------------|
| Company/partnership name |
| Registration number      |
| Position                 |

**Organisation 3**

**Add**     **Remove**

|                          |
|--------------------------|
| Company/partnership name |
| Registration number      |
| Position                 |

*Use question 22 if you need more space.*

## More information about the new controllers

The information we ask for in section C is about any new controllers or new individuals or organisations that you have added in section B.

We need the information we ask for in section C to help us decide if your organisation is still fit to hold a consumer credit licence. It will not be shown in the Consumer Credit Licensing Public Register and will not be available to members of the public, unless:

- the application is refused or only granted in terms different to those applied for (or only granted on provision to the OFT of relevant undertakings); or
- any licence granted is later suspended, revoked or compulsorily varied or its renewal is refused.

In those circumstances, the information may be shown in the Public Register and available to the public.

The information may also be disclosed in accordance with the data protection statement at the beginning of this form.

### 12 Has any individual you have told us you want to add ever used a different personal name?

This includes:

- a surname before marriage
- a name changed by deed poll or statutory declaration
- an assumed name used now
- an assumed name used in the past.

**No** Go to question 13

**Yes** Please give details

**Present surname**

**Present other names in full**

**Previous surname**

**Previous other names in full**

**Why do they now use a different name?**

  
 .....  
 .....  
 .....


Use question 22 if you need more space.  
If they have changed their name by deed poll, please send a photocopy of the deed poll certificate.

### 13 Has any individual or organisation you have told us you want to add ever held or applied for any other consumer credit licences?

This includes if they:

- currently hold a licence
- have ever held a licence
- have ever applied for a licence
- have recently applied for a licence and are waiting to hear from us.

If anyone we have asked you to tell us about was or is a partner in a partnership or a director or controller of a company that applied for a licence, tick yes.

You must tell us about **all** applications made or licences held.

**No** Go to question 14

**Yes** Please give details of all the licences they have held or applied for.

**Individual/organisation 1**

**Name of individual or organisation**

**Consumer credit licence or application number** if known

**Individual/organisation 2**

**Name of individual or organisation**

**Consumer credit licence or application number** if known

Use question 22 if you need more space.

**14** Is any individual you have told us you want to add, an undischarged bankrupt, or have you or they been declared bankrupt in the last five years?

If an administration order has been applied for, please tick yes.

In Scotland, bankruptcy is referred to as having your estate sequestrated.

For more information about any of the terms used in questions 14 to 17, please contact the appropriate body below.

**England and Wales**

The Insolvency Service  
020 7291 6895  
www.insolvency.gov.uk

**Scotland**

Accountant in Bankruptcy  
0845 762 6171  
www.aib.gov.uk

**Northern Ireland**

Insolvency Service of Northern Ireland  
028 9025 1441  
www.detini.gov.uk

- No** Go to question 15
- Yes** Please give details

**Surname**

**Other names in full**

**Date of bankruptcy**

**What date was the bankruptcy order discharged?**

If the bankruptcy has not yet been discharged, give the date when it will be discharged.



Please send a photocopy of the Certificate of Discharge if the order has been discharged.

**Has a bankruptcy restrictions order been made?**

- No
- Yes



Please send a photocopy of the restrictions order.

**15** In the last ten years, has any individual you have told us you want to add been a member of a limited liability partnership or been a director, company secretary or controller of a company that has:

- gone into administration
- gone into voluntary or compulsory liquidation
- been the subject of a winding up order
- gone into administrative receivership?



- No** Go to question 16
- Yes** Please give details and send a photocopy of the statement of affairs and liquidator's report for each case.

**Individual 1**

**Name of individual**

**Name of partnership or company in liquidation**

**Date of administration, liquidation, winding up or receivership**

**Individual 2**

**Name of individual**

**Name of partnership or company in liquidation**

**Date of administration, liquidation, winding up or receivership**

Use question 22 if you need more space.

**16** In the last ten years, has any *organisation* we have asked you to tell us about on this form:



- No** Go to question 17
- Yes** For each case, please send a copy of the liquidator's report and the full statement of affairs with the list of all creditors.

- gone into administration
- gone into voluntary or compulsory liquidation
- been the subject of a winding up order
- gone into administrative receivership?

For more information about any of the terms used in questions 14 to 17, please contact the appropriate body below.

**England and Wales**  
The Insolvency Service  
020 7291 6895  
www.insolvency.gov.uk

**Scotland**  
Accountant in Bankruptcy  
0845 762 6171  
www.aib.gov.uk

**Northern Ireland**  
Insolvency Service of Northern Ireland  
028 9025 1441  
www.detini.gov.uk

**Organisation 1**

Name of partnership or company in liquidation

Date of administration, liquidation, winding up or receivership

 /  / 

**Organisation 2**

Name of partnership or company in liquidation

Date of administration, liquidation, winding up or receivership

 /  / 

Use question 22 if you need more space.

**17** Has any individual you have told us you want to add ever been disqualified under the Company Directors Disqualification Act 1986?



- No** Go to question 18
- Yes** Please give details and send a photocopy of the court order relating to the disqualification.

This includes disqualifications:

- as a director of a company
- as a member of a limited liability partnership.

**Individual 1**

Surname

Other names in full

Date of disqualification

 /  / 

Period of disqualification

From  /  /  to  /  /

**Individual 2**

Surname

Other names in full

Date of disqualification

 /  / 

Period of disqualification

From  /  /  to  /  /

**18** Has any individual or organisation you have told us you want to add ever been:

- disciplined by a professional organisation or trade association
- been refused membership by a professional organisation or trade association
- a member of a partnership that has been disciplined by a professional organisation or trade association
- a director, secretary or controller of a company that has been disciplined by a professional organisation or trade association?

Examples of the sort of organisations and associations we need to know about are:

- National Association of Estate Agents
- Law Society
- Finance and Leasing Association

- No** Go to question 19
- Yes** Please give details

**Name of individual or organisation**

**Name of professional organisation or trade association**

**Date of action/refusal**

**Penalty that was imposed/reason for refusal**

*Use question 22 if you need more space.*

**Other details**

*Use question 22 if you need more space.*

**19** (a) Has any individual or organisation you have told us you want to add:

- had a county court judgment made against them in the last five years
- been a member of a limited liability partnership or other partnership that has had a county court judgment made against it in the last five years
- been a director, company secretary or controller of a company that has had a county court judgment made against it in the last five years?

(b) Has an order been made under section 140B of the Consumer Credit Act 1974 (unfair relationships) against any of those referred to in (a) above or in connection with any credit agreement under which they are or were the creditor?

In Scotland, judgments are called decrees and are made by the Sheriff courts.

**No** Go to question 20

**Yes** Please give details

**Individual/organisation 1**

Name of individual or organisation

Number of judgments or orders against them?

**Individual/organisation 2**

Name of individual or organisation

Number of judgments or orders against them?

**Individual/organisation 3**

Name of individual or organisation

Number of judgments or orders against them?

**Individual/organisation 4**

Name of individual or organisation

Number of judgments or orders against them?



Please send a photocopy of each judgment and the certificate of satisfaction if the debt has been paid. For orders under section 140B, please send a photocopy of the order. If a copy is not available, please provide details of the judgment or order.

Use question 22 if you need more space.

**20** Is any individual or organisation you have told us you want to add authorised or approved by the Financial Services Authority in accordance with the Financial Services and Markets Act 2000, or have they ever:

- been refused authorisation or approval
- had authorisation or approval revoked?

- No** Go to question 21
- Yes** Please give details

**Name of individual or organisation**

**FSA reference number**

**Please tick appropriate box and give the dates we ask for**

**Currently authorised**  
**Effective date of authorisation**

**Currently approved**  
**Effective date of approval**

**Authorisation refused**  
**Date of refusal**



*Please send a photocopy of the Final Notice.*

**Approval refused**  
**Date of refusal**



*Please send a photocopy of the Final Notice.*

**Authorisation revoked**  
**Effective date of authorisation**

**Date of revocation**



*Please send a photocopy of the Decision Notice.*

**Approval revoked**  
**Effective date of approval**

**Date of revocation**



*Please send a photocopy of the Decision Notice.*

**Criminal convictions**

**21** Has any individual or organisation you have told us you want to add ever been:

- convicted of any offence
- a member or partner of a limited liability partnership or other partnership that has been convicted of an offence
- a director, secretary or controller of a company that has been convicted of an offence?

We do not need to know about:

- companies that were convicted more than ten years ago
- convictions that are spent under the Rehabilitation of Offenders Act.

You must tell us about all convictions. You must also tell us about any conditional or absolute discharges (or admonishments in Scotland) which are not spent. You may be committing a criminal offence if you fail to do so.

The law about spent convictions is complex. You are responsible for checking whether or not convictions are spent and for declaring all current convictions. If you are unsure about any convictions, you should seek legal advice or tell us about them anyway.

- No** *Go to question 22*
- Yes** *Please give details*

**Individual/organisation 1**

**Name of individual or organisation**

**Date of conviction**

**Name of court**

**Offence**

**Fine or sentence imposed**

**Other details**

*Use question 22 if you need more space.*

**Individual/organisation 2**

**Name of individual or organisation**

**Date of conviction**

**Name of court**

**Offence**

**Fine or sentence imposed**

**Other details**

*Use question 22 if you need more space.*



## Declaration

You are responsible for making sure all the information you have given on this form is accurate and complete. Please make sure you have read and understood all of the form before you sign the declaration.

### I understand that:

- It is an offence to knowingly or recklessly give any false or misleading information to the Office of Fair Trading.
- If I give false or misleading information:
  - This licence may be revoked
  - I might be prosecuted.
- The Office of Fair Trading will not accept the form if any of the questions in it have been amended or have not been answered.
- I am responsible for all of the information that I have given on this form, including information about other people.
- The information that I have given in section A will appear on the Consumer Credit Licensing Public Register.
- Anyone named in this form who needs to be authorised under any Acts of Parliament has the required authorisation. Examples of these Acts include:
  - Banking Act 1987
  - Business Names Act 1985
  - Financial Services and Markets Act 2000
  - Insurance Brokers (Registration) Act 1977.
- The Office of Fair Trading may review the licence holder's fitness to hold a consumer credit licence if new information comes to light which calls the licence holder's fitness into question.

### I confirm that:

- I have answered every question as fully as possible. I have included all relevant details. Where necessary, I have continued my answers in question 22 or on a separate piece of paper, which is attached to this form.
- The information I have given is true and complete.
- I will provide any further information that the Office of Fair Trading requests.

### Name

### Signature

### Date

### Daytime phone number

### Position in organisation

- Member of a limited liability partnership set up under the Limited Liability Partnerships Act 2000
- Company director or company secretary
- Person authorised to accept documents in the UK for an organisation based abroad
- Other



*Please give details of your relationship to the licence holder and provide a letter from an individual in one of the positions above authorising you to sign this form.*

**Turn to the next page for details of what to do next.**

**Check you have sent photocopies of all your documents**



## What to do next

- 1** Check that you have answered all the questions.
- 2** Check that you have included photocopies of any documents we have asked you to send us.

*Please tick the documents you have sent, so we can check they reach us.*

- Deed poll certificate – *question 12*
- Certificate of Discharge – *question 14*
- Bankruptcy restrictions order – *question 14*
- Statements of affairs and liquidators' reports – *question 15*
- Statements of affairs and liquidators' reports – *question 16*
- Court orders – *question 17*
- County court judgments or court orders – *question 19*
- Notice issued by the FSA – *question 20*

- 3** If you have filled in the form on behalf of the licence holder, check that you have included a letter of authorisation from them.



- Letter of authorisation – *if you have filled in the form on behalf of the licence holder*

- 4** Send the form and all the other documents to us at:

Consumer Credit Licensing  
Office of Fair Trading  
Fleetbank House  
2–6 Salisbury Square  
London  
EC4Y 8JX

## What happens next?

We will note the changes that you have told us about in our records. We will write to tell you when we have made the changes to the Consumer Credit Licensing Public Register.

We will write to you if we need any more information.

As we do not need to make any changes to your licence we will not send you a new one. You can continue to trade as normal.

**If you have any queries about your notification, please call us on 08457 22 44 99, between 9am and 5pm, Monday to Friday.**