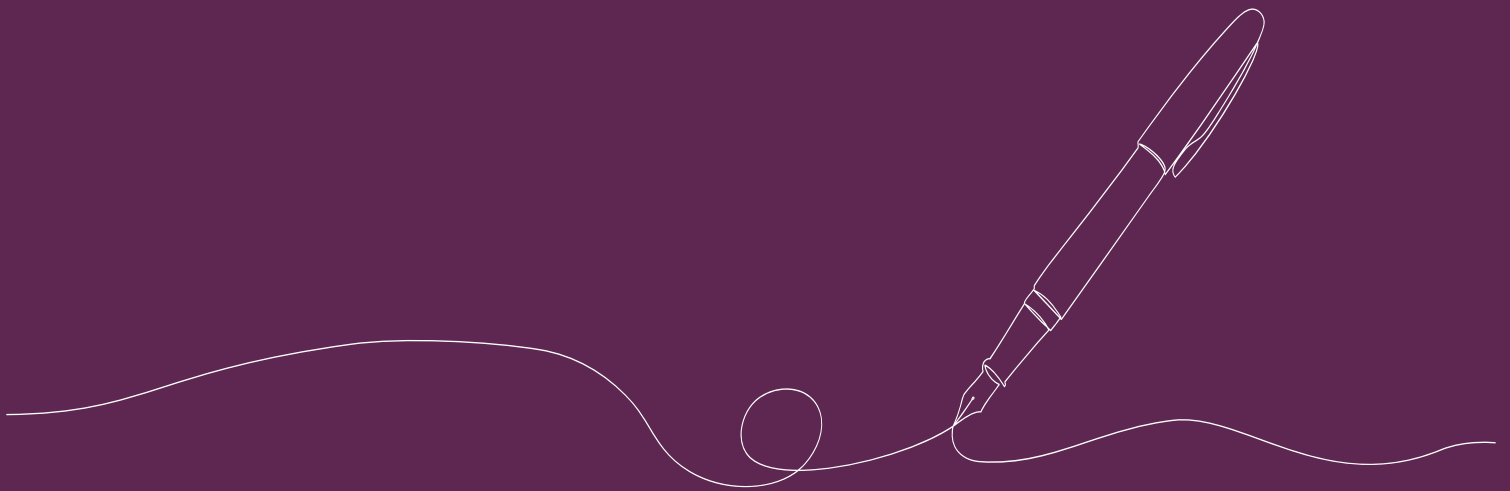




PRODUCING BROKER AGENCY APPLICATION FORM



Thank you for applying for an Agency with Pen Underwriting!

The purpose of this form is to fulfil our regulatory obligations by performing a process of vetting and approval of your business before we enter into a contractual relationship with you.

We wish to work only with those who are committed to our standards and we will undertake due diligence to ensure this.

Throughout our operations we maintain systems and controls for compliance with applicable requirements and standards under regulatory systems worldwide. Importantly, this includes policies and procedures for countering the risk of becoming involved in financial crime. We maintain a policy of zero tolerance towards bribery and corruption in all forms, whether directly or through third parties.

To enable us to process your application quickly and efficiently please complete all sections of the application form.

Once completed, please return the form and the supporting documents to our agency team at:

agency.uk@penunderwriting.com

Please confirm the following:

- I/We hereby make an application to become an agent of Pen Underwriting.

Please enclose the following documents:

- Current Professional Indemnity Insurance certificate.
- Anti Bribery and Corruption processes.
- Most recent Report and Accounts and Group Report and Accounts where relevant.

Please enclose the following documents (if applicable):

- Group structure chart showing our ultimate parent company together with any subsidiary and affiliated companies.
- Current Errors and Omissions Insurance Certificate
- Current Directors and Officers Insurance Certificate
- Current Fidelity Insurance Certificate
- Current Governance and Oversight Processes for Appointed Representatives.

Section 2 – Regulatory Information

Please fill in all sections.



	Yes	No
Are you registered with a Regulatory Body? (if yes, please provide your FCA number; if no, please provide your regulatory authority you are registered with below together with the related registration number)		
FCA Registration Number:		
Other Regulatory Authority:		

	Yes	No
Do you have any Appointed Representatives (AR's) or Introducers AR's (IAR's) ?		
If Yes, how many AR's or IAR's do you currently hold relationships with? Please provide the requested details in Section 6		

	Yes	No
Are you authorised to hold client money? (if yes, please indicate below whether it is held in a statutory or non-statutory account)		
Statutory Account <input type="checkbox"/> Non-Statutory Account <input type="checkbox"/>		

	Yes	No
Please confirm that any RMAR and Client Money obligations have been met		
Please confirm that all Financial Sanctions and Anti-Bribery & Corruption checks are in place with any exceptions having been fully investigated		
Do you currently hold Professional Indemnity insurance? (if yes, please attach a copy of your P.I. certificate)		
Do you currently hold Errors And Omissions Insurance? (if yes, please attach a copy of your E&O certificate)		
Do you currently hold Directors & Officers Insurance? (if yes, please attach a copy of your D&O certificate)		
Do you currently hold Fidelity Insurance? (if yes, please attach a copy of your certificate)		

	Yes	No
Do you have a business continuity plan in place that meets FCA requirements?		
If Yes, please confirm when this was last tested or when it is due to be tested		

	Yes	No
Are you registered under the Consumer Credit Act? (if yes, please provide details below including licence number)		

	Yes	No
Are you registered under the Data Protection Act? (if yes, please provide details below)		

	Yes	No
Do you have more than one branch that requires agency facilities (excluding any Appointed Representatives)? Please provide details in Section 6		

Section 5 – Declaration

Please fill in all sections.



Has any Director, Partner, Proprietor or Manager personally or by association:

If any of the below questions are answered as 'Yes', please provide further details in the box provided.

	Yes	No
Been convicted of a crime involving dishonesty or breach of trust?		
Been charged with or convicted of a criminal offence other than a minor motoring offence in the last twelve months?		
Been disqualified under company law?		
Been found liable for negligence, fraud, wrongful trading or malpractice in connection with business activity?		
Been declared insolvent, bankrupt or made any similar arrangement with creditors?		
Been refused membership, censured, fined, disciplined, suspended, or expelled by any insurance industry regulatory body or trade association?		
Had a licence, authorisation or registration to conduct insurance business suspended, withdrawn or not renewed?		
Has your company been involved in any legal/court proceedings in the last 12 months?		
Is your firm or any Director, Principal, partner or key member of staff a specifically designated person under a financial sanction regime, or the subject of sanctions targets as designated by the US Office of Foreign Assets Control, the European Union, or HM Treasury?		

I hereby declare and affirm that I am duly authorised to submit this application and make this declaration on behalf of the Producing Broker (see 'Terms' below).

- I declare on behalf of the Producing Broker that, to the best of my knowledge and belief, the information contained in and attached to this application information is accurate, complete, up-to-date and purports to be comprehensive and not misleading.
- I acknowledge and agree on behalf of the Producing Broker that any information provided pursuant to the application constituting personal data may be stored at and/or processed in accordance with our Privacy Statement (available on request).
- I acknowledge that, where circumstances lead Pen Underwriting to suspect bribery, corruption, or other financial crime in relation to business with the Producing Broker, additional due diligence may be carried out and further steps taken, including, the notification to the relevant authorities, status and credit checks using credit reference agencies, and other background checking, as deemed appropriate.
- I undertake to immediately advise Pen Underwriting of any material changes to information contained within this questionnaire, being matters of which Pen Underwriting would reasonably expect notice.

Name	
Position	
Signature	
Date	

