



CITYNET

LLOYD'S BROKER

Agency Application



Broker at **LLOYD'S**

Agency Application Form

Citynet Insurance Brokers Ltd (“Citynet”) maintains systems and controls to enable it to comply with its regulatory and legal obligations. This form is designed to assist Citynet in meeting its obligations and professional standards by obtaining pertinent details of your business so that it can perform appropriate vetting and approval before entering into a contractual relationship with you.

This form must be completed by a Director or Senior Compliance Officer of the Company and we advise you that any information given will be treated confidentially.

By submitting this form you confirm and agree that:

- **You** are applying to become an Agent of Citynet Insurance Brokers Ltd
- **You** will keep Citynet Insurance Brokers Ltd updated with changes to your business and decision makers that are relevant to the agency agreement.
- **You** agree that Citynet Insurance Brokers Ltd will make relevant enquiries when assessing your suitability for agency status, this could include credit searches, Companies House searches, checks with your regulator and sanctions checking.
- **You** remain regulated.
- **You** will from time to time provide updated financial information if requested.

Please note the completion of the application does not commit Citynet Insurance Brokers Ltd to granting an agency, we will advise you in writing once the application has been successful and will send over our terms of business.

Citynet Insurance Brokers Ltd reserve the right to refuse any application for an Agency without giving any reason or explanation.

Completed signed applications should be sent to:

Citynet Insurance Brokers Ltd
71 Fenchurch Street
London, EC3M 4BS

Or e-mail to David Walland dw@citynet.eu.com

Check list

To avoid delays, please ensure that you have:

- Completed sections 1 to 6
- Enclosed your last Audited Accounts
- Enclosed a copy of your current PI Certificate

Privacy Policy

Data Protection

We undertake to comply with the most current Data Protection Act in all our dealings with your personal data.

Our Data Protection Officer's contact details are: Data Protection Officer, c/o Citynet Insurance Brokers Limited, 71 Fenchurch Street, London EC3V 9LJ.

We collect your personal data for use by Citynet Insurance Brokers Limited and our parent and any subsidiary companies. We use this personal data to provide you with insurance and risk services and for handling claims. Your data will be passed on to other insurance providers and credit agencies so that we can fulfil the contract or service.

We may use your personal data for other similar purposes, including marketing and communications, but that will only occur if we have your consent or another legal justification for doing so. You have a right at any time to stop us from contacting you for marketing purposes.

Section 01 – The Firm’s Details

1.1 Full name of firm/individual:	1.6 Fax No.
1.2 trading name(s) for your business (if any):	1.7 Email address
1.3 Your business address:	1.8 Registered company number and country of registration
	1.9 Website
1.4 Registered/principal address (if different):	1.10 Contact name in relation to this application
	1.11 Contact email address in relation to this application
1.5 Telephone No.	1.12 Date the firm was established

Section 02 – Legal and Regulatory Information

2.1 Legal status of your business

- Sole Trader
- Partnership
- Limited Co.
- Public Limited Co.
- Other

2.2 What are the principal activities of your firm?

2.3 If your principal business is insurance mediation what classes/lines do you intend to place via Citynet

2.4 In which countries are your clients and their risks located?

2.5 Is the firm partly or wholly owned by another entity?

YES

NO

2.6 If YES please provide details Including percentage of ownership

Section 03 – The Firm’s Personnel

3.1 Please list below details of all Directors with significant influence/control over the business. Please use separate sheet if required.

Forename/Surname	DoB	Nationality	Position	No. years experience	Qualifications

3.2 Does any government official or government employee have any membership or financial interest in your firm YES NO
If YES please provide details

3.3 Persons who will be responsible for the day to day running of the business to be placed with Citynet

Email address

3.4 Total number of employees

3.5 Number of directors

3.6 Number of producers

3.7 Number of administrative Staff

3.8 Number of claims Staff

Section 03 – The Firm’s Personnel

3.8 Has the firm, or any Directors, Partners, officers or senior staff been convicted or charged with a criminal offence other than a minor motoring offence in the past 12 months?

YES

NO

Been found liable for negligence, fraud, wrongful trading / malpractice?

YES

NO

Been disqualified under company law?

YES

NO

Been subject to any application for or declaration of liquidation, receivership, bankruptcy or similar proceeding?

YES

NO

Entered into any agreement or assignment with creditors or acknowledged insolvency?

YES

NO

Had a licence or authorisation to conduct business refused, suspended, withdrawn or not renewed?

YES

NO

Been censured, fined, disciplined, suspended, expelled or refused membership by any industry regulatory body?

YES

NO

If YES please provide details

Section 04 – The Firm’s Insurance Business

4.1 Is your firm part of a group?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If yes, please provide a group structure

4.2 Please advise the name of your Regulator	
Financial Conduct Authority	<input type="checkbox"/>
Central Bank	<input type="checkbox"/>
Other – Please Specify below	

4.3 Your firm’s regulatory reference

4.4 Please provide details of any existing direct facilities you have with Lloyds Insurers

4.5 Does the firm handle Retail Business?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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4.6 Does the firm handle Wholesale Business?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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4.7 The firms Total Gross Written Premium

4.8 Estimated Premium you expect to transact via Citynet	
Property	<input type="checkbox"/>
Liability	<input type="checkbox"/>
PI	<input type="checkbox"/>
Motor	<input type="checkbox"/>
Other	<input type="checkbox"/>

4.9 Is the firm a member of any Insurance Trade Associations?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If YES, please list below

Section 05 – The Firm’s Professional Indemnity Cover

5.1 Does the firm hold Professional Indemnity cover?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
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If YES please enclose a copy of your PI certificate with this application, please note we will not be able to process the Agency application without this information.

Section 06 – Client Money and Financial Information

6.1 Are you authorised to hold Client Money

YES

NO

If your answer to the above was NO Please advise how you handle Client Premiums

6.5 Please enclose a copy of your audited accounts with this application. (Please note we will not be able to process the Agency application without this information)

6.6 Please confirm that the firm is compliant with the money laundering and financial crime rules applicable in its jurisdiction

YES

NO

6.2 Please give a brief description of how you hold Client Money e.g. held in a designated statutory or non-statutory account

6.7 Please provide the following details for your business' bank account

Bank Name	
Bank address	
Account name	
Account number	
Sort code	
Currency of account	

6.3 Has the firms Client Money Systems and controls been audited within the last year?

YES

NO

6.4 Please confirm that your latest accounts were audited

YES

NO

6.8 If you operate a separate bank account for client funds please provide the following details

Bank Name	
Bank address	
Account name	
Account number	
Sort code	
Currency of account	

Section 07 – Other Information

7.1 Please confirm that The Firm processes all data in compliance with current Data Protection Legislation and has a Data Protection Policy, Privacy Notice and other supporting policies and documentation

7.2 Please confirm that you have policies and procedures in place to comply with your regulatory and legal obligations

7.3 Can you provide brief details of how you heard about Citynet, and what your firm consider as the most important factors to help us help you enjoy a successful business partnership.

Section 08 – Checklist

Please ensure you have answered all the questions and enclosed the following:

Copy of our current Professional Indemnity Schedule

Copy of our latest audited accounts

Copy of Company Registration Certificate

Organisation Structure Chart

Section 09 – Declaration

I hereby declare and affirm that I am duly authorised to submit this application and make this declaration on behalf of the firm.

I declare on behalf of the business that, to the best of my knowledge and belief, the information contained in and attaching to this application is accurate, complete and up-to-date.

I acknowledge that, where circumstances cause Citynet to suspect bribery, corruption or other financial crime in relation to its trading activities with the firm, additional enquiries and due diligence may be undertaken and further steps taken as appropriate including (but not limited to) notification to the relevant authorities, status and credit checks with credit reference agencies and other pertinent background checks.

By signing below I confirm that I have read and understood the above declaration.

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Signed

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Print

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Position

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Date

