



Agency Application Form

For Brokers authorised by the FSA

KL Underwriting Agency is a trading name of Kerry London Ltd

This application form is intended for all Brokers who are directly authorised by the FSA.

Please fill in all sections of the form, clearly identifying the scope of activity you are authorised to undertake.

Once completed, please return the forms either:-

1. By post to Agency Department, Kerry London Underwriting Agency, Clare House, Worton Court, Isleworth, Middx, TW7 6ER
2. By email to tomwalton@klunderwritingagency.com
3. By fax to 020 8569 9826

This Application should only be used by Intermediaries who are intending to be directly authorised by FSA



Agency Application Form

For Brokers authorised by the FSA

KL Underwriting Agency is a trading name of Kerry London Ltd

Please take time to complete the application form fully and legibly

Contact and Company Details

Company Name;	
Company registration number	Date established
Type of organisation, i.e. Private Ltd.Co., Public Ltd Co., Partnership, or Sole trader. If other please specify	
Trading address: Tel no: Fax no:	Registered Office:
Other trading names used:	
E-mail address of principal contact:	
Web site address:	
Main contact:	
Job Title:	
Is the firm part of a group? (if "Yes" please give details) <i>(A firm is part of a group if it is: A parent undertaking: Has a subsidiary undertaking: Is a subsidiary undertaking of a parent undertaking: Is a parent of a subsidiary undertaking: - refer to FSA AUTH)</i>	Yes/No
Is the firm a member of a broker network, if "Yes" please state which one:	Yes/No

Additional Company Information

How many staff are involved in general insurance activities?	
Do you outsource any insurance mediation activities to third parties?	
Are you registered under the Data Protection Act? If yes please give your registration no.	
Is your accounting office address the same as your trading address shown earlier? If no please provide the address.	

Professional Indemnity Insurance

Do you currently hold professional indemnity insurance that meets FSA requirements:	Yes/No		
If "Yes" please provide the following information: (This must be in respect of Professional Indemnity Insurance currently held and it must include activities to which this agency agreement application relates and be maintained in full force and effect)			
Name of Insurer	Policy Number	Expiry Date	Limit(s) of Indemnity (indicate any one claim or aggregate)

Sales Information

Please advise us if the firm specialises in any particular trades, schemes or affinity groups and if so, which ones:

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Please advise your current sales methods by indicating yes/no:

Counter Sales	
Telephone Sales	
Sales Visits to customer	
Direct sales without contact	
Internet sales	
Sub agent sales	*

*** We do NOT accept sub-broked business under any circumstances. All cases referred to Kerry London Underwriting Agency for quotation and placement must be your own direct clients so as to comply with our Terms of Business from our suppliers.**

Financial Services Authority Details

What is your Firm Reference Number with the FSA	
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What general insurance business activities will your firm carry out. Please indicate your answer by "Yes" or "No" below

Advising customers. This includes recommending a specific insurance policy to a customer:	Yes/No
Making arrangements. Examples include helping your customer to fill in a proposal form or introducing a customer to Kerry London Underwriting Agency, either for advise or to help arrange an insurance policy:	Yes/No
Dealing as Agent. This includes entering into a contract with customer on behalf of an Insurer:	Yes/No
Assisting in the administration and performance of an insurance contract. This includes sending renewal invitations to your customers, notifying an insurance claim and negotiating settlement in behalf of the customer:	Yes/No
Under the new FSA regime, will you be acting as a Principal for sub agents who will have Appointed Representative status:	Yes/No

Disclosure

Your firm must provide details of any significant events that have occurred in the past that may be relevant to the assessment of its application. If you are uncertain as to whether an event needs to be disclosed, you should disclose it.

Important – the following questions should be answered for the firm and all partners/directors where relevant.

- Has a petition for the bankruptcy or compulsory winding up of the firm ever been presented? **Yes/No**
- Has the firm had a receiver or administrator appointed, failed to satisfy a debt adjudged due, or come to a compromise or similar arrangement with any of its creditors. **Yes/No**
- Has the firm been the subject of a reconstruction, whether as a result of any form of insolvency or otherwise. **Yes/No**
- Has the firm/Directors/Partners been a defendant in any criminal or civil proceedings or arbitration in the last five years, or is any unsatisfied judgement debt or award outstanding against it. **Yes/No**

If you have answered “Yes” to any question above, please provide details.

Declaration

The firm named in the section Contact Details above applies for an Agency with Kerry London Underwriting Agency on the basis of the information set out in the application form and any other information supplied to Kerry London Underwriting Agency while this application is being considered.

In consideration of Kerry London Underwriting Agency processing this application for an Agency the firm agrees that:

1. It will notify Kerry London Underwriting Agency of any material change in the information forming part of this application which occurs during the period in which this application is being considered: and of any disciplinary procedures undertaken by any regulatory body; and any criminal proceedings undertaken against any person subject to this agreement;
2. On appointment it will be bound by the Kerry London Underwriting Agency Agreement;
3. It undertakes to obtain all necessary consents prior to providing Kerry London Underwriting Agency with personal data in respect of any of the firm’s clients, employees or any third party to enable Kerry London Underwriting Agency to fairly and lawfully to process such personal data in accordance with the Data Protection Act 1998. The information given in this form will be “personal data” for the purpose of the Data Protection Act 1998;
4. It confirms that, having made all reasonable enquiries, the information provided in this Application Form is, to the best of its knowledge and belief, complete and accurate. Your firm understands that the supply of any misleading information or any attempt to mislead Kerry London Underwriting Agency will be an act of misconduct and may render the firm liable to have their Agency immediately cancelled without further notice; and
5. Kerry London Underwriting Agency may make any necessary enquiries (including any credit referencing it deems necessary) to process this application.

I/We confirm that the information in this application is accurate and complete to the best of my/our knowledge and belief.

The following signatory confirms that:

He/She has the authority to sign on behalf of your firm.

This application shall be governed by English Law and Kerry London Underwriting Agency and your firm submits to the exclusive jurisdiction of the courts of England and Wales for the resolution of any disputes arising out of it.

Name of person signing on behalf of the firm

Mr/Mrs/Miss/Ms: _____ Other please specify: _____

Surname: _____

Forename (s): _____

Position: _____

Signature: _____

Date: _____