

# AGENCY APPLICATION FORM

For Brokers directly authorised by  
the FCA

**KL Underwriting Agency is a trading name of Kerry London Ltd**

This form must be completed by a Director or senior employee of the Company with the authority to do so.

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

Once completed, please scan and email to [michellewilson@klua.co.uk](mailto:michellewilson@klua.co.uk)

**We are NOT able to 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 to enable us to comply with our Terms of Business with our Markets.**

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**Please take time to complete the application form fully and legibly**

## Contact and Company Details

Full 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 what

### Trading address:

Street number & name

Town/City

County

Country

Postcode

Telephone number

Fax number

Registered Office (if different):

Street number & name

Town/City

County

Country

Postcode

Telephone number

Fax number

Other trading names used

Managing Director

Length of Service

Professional Qualifications

Finance Director

Length of Service

Professional Qualifications

Chairman

Length of Service

Professional Qualifications

Compliance Officer

Length of Service

Professional Qualifications

E-mail address of principal contact

Web site address

Is the firm part of a group? (if "Yes" please give details)  No  Yes

(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 FCA AUTH)

## Professional & Regulatory Information

Please supply your Firm Reference Number with the FCA

Do you currently hold professional indemnity insurance that meets FCA requirements:  No  Yes

(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)

If "Yes" please attach your current Insurance Certificate with this Application

Have you had claims?  No  Yes

If "yes" please give details:

Does your Company act as a Principal for sub agents who will have Appointed Representative status?  No  Yes

If yes, please give their name(s)

Are you registered under the Data Protection Act?  No  Yes

If yes, please give your Registration no.

Is your accounting office address the same as your trading address shown earlier?  No  Yes

If no please provide the address:

Street number & name  Town/City  County

Country  Postcode

How many staff in total do you employ?  How many staff are involved in general insurance activities?  
Sales:  Administration:

How many claims staff do you employ?  Do you outsource any insurance mediation activities to third parties?  
 No  Yes

If Yes, what activities and to whom?

### Insurance Activities

What general insurance business activities will your firm carry out?

Advising customers. This includes recommending a specific insurance policy to a customer  No  Yes

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:  No  Yes

Dealing as Agent. This includes entering into a contract with customer on behalf of an Insurer:  No  Yes

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:  No  Yes

### Sales Information

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

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

Is the firm a member of any Broker network?  No  Yes

If Yes, please state which one(s)

Counter Sales  No  Yes Telephone Sales  No  Yes Direct sales without contact  No  Yes  
Internet sales  No  Yes Sub agent sales  No  Yes Sales Visits to customer  No  Yes

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## 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 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.  No  Yes

Has the firm been the subject of a reconstruction, whether as a result of any form of insolvency or otherwise  No  Yes

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.  No  Yes

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

## Declaration

The firm named in the section Contact & Company 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 of 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

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