

INTERMEDIARY APPROVAL APPLICATION

(For Intermediaries domiciled in North America)

To enable us to open up an account for your company, we ask that you complete the following questionnaire about your Company.

Information that you provide on this form will be kept confidential.

Instructions for completing the application: -

You can complete this form on your computer and submit it to your contact person by email or by post. Please complete the form in **black ink**, in **BLOCK CAPITALS**, print it off, sign it and then either:

You can complete this form on your computer and submit it by email or by post. Please complete the form in black ink, in BLOCK CAPITALS, print it off, sign it and then either:

1. Scan and email it to your contact person at CBB or
2. Mail it to your contact person at:
Corrie Bauckham Batts Ltd
Suite 405 The Loom
14 Gowers Walk
London E1 8PY

Please submit the form together with a copy of your current **Errors and Omissions Insurance Certificate** and also your **most recent Financial Statements**.

Document version: December 2019

SECTION 1 – COMPANY DETAILS

| | | |
|------|---|--|
| 1.1 | Full Name of Company: | |
| 1.2 | Trading Name(s): (If different) | |
| 1.3 | Registered Address: | |
| 1.4 | Mailing Address: (If different) | |
| 1.5 | Telephone Number: | |
| 1.6 | Fax Number: | |
| 1.7 | Email Address: | |
| 1.8 | Website Address: | |
| 1.9 | Contact Name: | |
| 1.10 | Contact Email Address: | |
| 1.11 | Contact Telephone Number: | |
| 1.12 | How long has the Company been trading as an Insurance Intermediary? | |
| 1.13 | Who are the principal Officers/Directors of the Company? | |
| 1.14 | Is the Company a member of any trade associations? If yes, please provide details. | |

SECTION 2 - INTERMEDIARY BANK DETAILS

| | | |
|------------|-----------------------------------|--|
| 2.1 | Name of Bank: | |
| 2.2 | Bank Address: | |
| 2.3 | Bank Account Number: | |
| 2.4 | Full title of Bank Account | |
| 2.5 | ABA Number: | |

SECTION 3 – ERRORS AND OMISSIONS COVER

| | | | | | |
|------------|---|--------------|--|------------|--|
| 3.1 | Do you have Errors and Omissions Insurance? | | | | |
| 3.2 | If so, with whom? | | | | |
| 3.3 | Does the cover include Fidelity cover in respect of officers and employees? | | | | |
| 3.4 | Period: | From: | | To: | |
| 3.5 | What are the limits and deductibles? | | | | |
| 3.6 | Does the policy cover all the activities of your company in connection with placing insurances in the London market and servicing these policies? | | | | |
| 3.7 | Have there been any errors and omissions claims against your firm (whether covered by Insurance or not) within the last 36 months? | | | | |
| 3.8 | Are you aware of any incident or circumstances which may give rise to an errors or omissions claim against your company (whether covered by Insurance or not)? | | | | |

SECTION 4 – SURPLUS LINES (UNITED STATES ONLY)

4.1 Please list the states in which you are licensed to conduct Surplus Lines Insurance (if Applicable):

SECTION 5 – ADDITIONAL INFORMATION

5.1 Please provide any additional relevant information:

Section 6 - BANKING ARRANGEMENTS

SETTLEMENT OF ACCOUNTS AND BANKING ARRANGEMENTS

Please note that Insurers / Reinsurers require payment of premiums within a strictly monitored period of time. Therefore, Corrie Bauckham Batts Ltd must be in receipt of due premiums no later than the terms provided on each individual placement.

To effect payment of premiums, please choose one of the following options:

1. BARCLAYS BANK DETAILS

Our Barclays Bank accounts are Non-Statutory Trust (NST) accounts as required by the UK Financial Conduct Authority.

Please Electronic Bank Transfer funds to:

CORRIE BAUCKHAM BATTS LTD

BARCLAYS BANK PLC, 1 CHURCHILL PLACE, LONDON, E14 5HP, UK

US DOLLAR (USD) PAYMENTS:

| | |
|-------------|---|
| SORT CODE | 20-01-58 |
| ACCOUNT NO. | 86020511 |
| SWIFT CODE | BARCGB22 |
| | Intermediary Bank Information if required: Barclays New York, Swift BARCUS33 |
| IBAN CODE | GB76 BUKB 2001 5886 0205 11 |

CANADIAN DOLLAR (CAD) PAYMENTS:

| | |
|-------------|-----------------------------|
| SORT CODE | 20-01-58 |
| ACCOUNT NO. | 49250800 |
| SWIFT CODE | BARCGB22 |
| IBAN | GB77 BUKB 2001 5849 2508 00 |
| | |

POUND STERLING (GBP) PAYMENTS:

| | |
|-------------|-----------------------------|
| SORT CODE | 20-01-58 |
| ACCOUNT NO. | 50401021 |
| SWIFTBIC | BARCGB22 |
| IBAN | GB18 BUKB 2001 5850 4010 21 |
| | |

NORWEGIAN (NOK) PAYMENTS:

| | |
|-------------|-----------------------------|
| SORT CODE | 20-01-58 |
| ACCOUNT NO. | 56769477 |
| SWIFTBIC | BARCGB22 |
| IBAN | GB17 BUKB 2001 5856 7694 77 |
| | |

Please Note. Wire transfers should take place not less than 3 working days prior to the payment due date.

Section 6 - BANKING ARRANGEMENTS

2. CHEQUES

Payable to: Corrie Bauckham Batts Limited

Mail to: Suite 405, The Loom
14 Gowers Walk
London, E1 8PY

Please Note: All cheques should be received by Corrie Bauckham Batts Limited not less than 5 working days prior to the payment due date.

Important: At the time of arranging your payment, please advise us of the date and amount of your Electronic Bank Transfer or Cheque and the Debit Note Number(s) and/or the Monthly Premium Bordereau and/or the Reporting Period to which the payment relates. This information should be emailed to accounts@cbbld.co.uk

Section 7 - DECLARATION

Thank you for taking the time to complete this application form. Should any material changes come about in the future, we ask that you advise us as soon as possible.

I confirm that I am authorised to make this declaration and to provide the information that is contained within the application and in any supporting documentation.

I declare that, to the best of my knowledge and belief, the information contained in this application and in any supporting documentation is accurate, complete and up-to-date.

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

Signed:

Dated:

Name:

Position: