

SECTION 1a: Corporate Information (see Addendum 1)

Business Name:

Company Number:

Head Office Address:

Postcode:

Main Telephone No:

Website Address:

Date established:

Size of firm (Total Staff):

Number of Compliance Consultants:

Description of firm:

Does your firm have any regulatory permissions? Y N

What geographical area does your firm support?:

Please provide a description of your firm to appear on your Member Directory Page:

SECTION 1b: Main Contact Information

Name:

Position:

Email:

Contact Phone Number:

To be registered as consultant Y N

SECTION 2: Compliance Consultants (Please attach CVs and/or Experience & Qualifications matrix)

Name of your Senior Management Team to be registered with APCC (Please attach separate sheet/document with names if needed):

SECTION 3: Professional References

We ask for references from two regulated firms to which your firm has provided compliance services. In the case where you have only one from a regulated firm, we will accept a reference from an existing APCC Member. The referee should be independent of your firm, i.e. not a family member or a fellow director/partner.

First referee

Contact name:

Position:

Firm name:

Phone number:

Email:

Address:

Postcode:

Second referee

Contact name:

Position:

Firm name:

Phone number:

Email:

Address:

Postcode:

Can we collect this reference by phone? Y N

SECTION 4: Compliance Sectors Supported

Number of Financial Service clients:

Primary source of compliance business:

Types of financial services client firms your firm serves, please mark each one that applies:

Firm Type	Tick	Firm Type	Tick
General insurance and protection:			
Authorised professional persons		Mortgage lenders/administrators	
Banks/Deposit takers		Multilateral trading facilities	
Building societies		Payment Service Institutions	
Collective investment funds		Pension scheme operators/providers	
Company Service Providers		Private client investment managers	
Consumer credit providers		Restricted financial advisers	
Corporate finance firms		Retail investment managers	
Credit unions		Sale and rent back	
Custodians/Depositories		Secondary intermediaries	
Discretionary fund managers		Securities and futures firms	
Electronic money issuers		SIPP providers	
Energy market participants		Stockbrokers	
Friendly societies		System Suppliers	
High Value Dealers		Third party providers	
IFA		Trade associations, professional bodies/regulators	
Institutional investment managers		Travel Insurers	
Insurers		Trust Service Providers	
Insurance brokers - general		Wrap Platforms	
Insurance brokers - pure protection		Others not listed above;	
Investment banks			
Lead generation firms			
Lloyds			
Money Service Businesses			
Mortgage brokers			

SECTION 5: Compliance Services

Type of service offered	Tick	Type of service offered	Tick	Type of service offered	Tick
Authorisations &/or Permissions		Information Security &/or Data Protection ..		Compliance Advice	
Client Assets		Money Laundering &/or Financial Crime ..		Documentation	
Complaint Handling		Passporting &/or International Compliance ..		Compliance Support	
Compliance Training		Payment Services Registration &/or Compliance ..		Pension Reviews	
Contracting &/or Interim		Regulatory Capital &/or Solvency		Health Checks	
Due Diligence		Regulatory Hosting &/or Incubation		Regulatory Updates	
Enforcement Action		Regulatory Relationship Management		Others not listed above:	
Expert Witness		Regulatory Returns			
File Reviews &/or Monitoring		Risk Management			
Governance		Skilled Persons Panel &/or Reports			

SECTION 6: Material Information & Disclosures (Please note that we undertake Corporate and Individual reference checking, this may include credit agency or sanctions checking).

To the best of your knowledge, Have you or any member of your management team (whether in the UK or elsewhere) ...

- | | | |
|--|---|---|
| 1. Been the subject of any current criminal proceedings? _____ | Y | N |
| 2. Been the subject of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgement (CCJ) or other judgement debts? _____ | Y | N |
| 3. Been the subject of any bankruptcy proceedings? _____ | Y | N |
| 4. Ever entered into a deed of arrangement or an individual voluntary arrangement (or trust deed in Scotland) or other agreement in favour of your creditors, or are you doing so? _____ | Y | N |
| 5. Been refused entry to, or been dismissed or requested to resign from, any profession, vocation, office or employment, or from any fiduciary office or position of trust, whether remunerated or not? _____ | Y | N |
| 6. Been refused, restricted in, or had suspended, or revoked, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission as required? _____ | Y | N |
| 7. Been disqualified by a court as acting as a director of a company, or from acting in a management capacity or conducting the affairs of another company, partnership or unincorporated company? _____ | Y | N |
| 8. Been criticised, censured, disciplined, disqualified, suspended, expelled, fined or been the subject of any other disciplinary or intervention action by any such body? _____ | Y | N |
| 9. Resigned whilst under investigation by, or been required to resign from, any such body? _____ | Y | N |
| 10. Decided, after making an application for any licence, authorisation, registration, notification, membership or other permission granted by any such body, not to proceed with it? _____ | Y | N |
| 11. Been involved in a firm put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors? _____ | Y | N |
| 12. Been involved in a firm adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct? _____ | Y | N |
| 13. Been involved in a firm convicted of any criminal offence, censured, disciplines or publicly criticised by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body? _____ | Y | N |
| 14. Are you aware of any business interests, employment obligations, or any other situations that may conflict with this application? _____ | Y | N |
| 15. Has the applicant or any member of the applicant firm been subject to any investigation or censure by any professional, government, trade or regulatory body? If yes, please provide full details. _____ | Y | N |

Please attach a copy/proof of Professional Indemnity Insurance Coverage. Attached

Is there any other information about you that the APCC should be aware of in considering this application (e.g. any complaints or disputes or other items having a reputational impact)?

SECTION 7: Membership Fee

Application fee (non-refundable):						£ 65.00	
Price per Consultant						Membership fee:	£
Number of consultants	Fee excluding VAT £	Number of consultants	Fee excluding VAT £	Number of consultants	Fee excluding VAT £		
1	196.00	11 - 15	1355.20	36 - 40	3360.00		
2 - 3	392.00	16 - 20	1881.60	41 - 45	3640.00		
4 - 5	588.00	21 - 25	2352.00	46 - 50	3920.00		
6 - 8	812.00	26 - 30	2800.00	51 +	4200.00		
9 - 10	1008.00	31 - 35	3080.00				
If paying by BACS our account details are: Account name: APCC Sort code: 40-43-23 Account number: 81360590 Cheques should be enclosed and made payable to the APCC.						FEE PAYABLE (excl VAT):	£
						VAT (at 20%):	£
						TOTAL FEE PAYABLE:	£

SECTION 8: Declaration (see Addendum 2)

We, the undersigned, apply for corporate membership of the Association of Professional Compliance Consultants on behalf of the proposed member firm: _____ (Legal name of firm)

We declare that we have read and agree to comply with the Memorandum and Articles of the Association and that the firm is eligible for membership. We agree to observe the Memorandum and Articles, the Code of Ethics and Professional Conduct, the Grievance Procedure and the Association's Professional Standards as adopted from time to time by the Association.

Signature (on behalf of firm named above): _____

Signature (on behalf of firm named above): _____

Print Name: _____

Print Name: _____

Position: _____

Position: _____

Date: _____

Date: _____

Next Steps

Upon receipt of a completed application form, an APCC acknowledgment will be issued.

Once the references have been checked and all other information and documentation is satisfactory the existing membership will be notified of your membership application and asked to support the application. Confirmation of membership will be notified to you following this.

Please email the completed form along with all CVs and payment to: membership@apcc.org.uk

Addendum

1. The Association of Professional Compliance Consultants ("the APCC") is a company limited by guarantee. Membership of the APCC is open to any firm (which may include limited companies, partnerships and sole traders) which provides compliance consultancy services to organisations regulated by the Financial Conduct Authority and/or Prudential Regulation Authority and either has, or intends to have, more than one client at a time.

A Compliance Consultant is defined as an employee or contractor whose services are charged to your clients, either directly or indirectly for the provision of compliance support or consulting.

2. In applying for membership a firm or organisation agrees to abide by the following as adopted by the APCC (and available at www.apcc.org.uk/):

- the Memorandum and Articles of Association
- the Code of Ethics and Professional Conduct
- the Grievance Procedure
- the Professional Standards of the Association as adopted from time to time

In order to comply with the APCC Professional Standards, we would specifically expect a firm to have in place the following:

- skills and experience matrix (or equivalent document) for both in-house and external consultants
- policies and procedures including, but not limited to, data security, business continuity, complaints handling, recruitment and development of consultants, market abuse policy (where the firm deals with clients who deal in market securities) and information security
- terms of engagement for all clients
- robust client administration procedures
- procedures for dealing with failing clients