IMPORTANT: 1. Applications without a work email address cannot be accepted without explanation. Please state the reasons for not disclosing or being able to supply a valid work email address. 2. Applicants must either be a regulated firm or a service provider (e.g. law firm, consultancy firm, recruitment firm, etc.) in the context of the financial services industry.

PROCEDURE

First complete the form where text is required and insert on page 4 your scanned signature. Then activate the tick boxes and tick the relevant boxes. Should you have any problems with the tick boxes, just place an “X” next to the relevant box, i.e. [ ] X. Save and then email as a Word attachment. The email address is on the last page.

*All applications must be submitted in Microsoft Word format.*

###### Part A: Applicant’s Details

Name of Firm:

Firm’s Website address: www.

Name of Designated Contact Person (DCP) – the DCP must be a senior person such as a director, partner, head of compliance, etc:

DCP’s work email address:

DCP’s private email address:

DCP’s Work telephone number:

DCP’s Mobile telephone number:

DCP’s Current Job Title:

Part B: (1) Regulated Firms – please indicate your industry sector:-

Please tick relevant items below:-

1. Retail banks [ ]

2. Wholesale banks [ ]

3a. Asset Managers – Collective Investment Schemes [ ]

3b. Asset Managers – Discretionary Fund Management and Private Client Wealth Management [ ]

3c. Asset Managers - Advisory [ ]

3d. Asset Managers – Hedge Funds and Alternative Investment Funds [ ]

3e. Asset Managers – Unregulated Collective Investment Schemes [ ]

3f. Asset Managers – Venture Capital and Private Equity [ ]

3g. Asset Managers – Managers of Occupational Pension Schemes [ ]

4a. Mortgage Lenders [ ]

4b. Mortgage Brokers [ ]

5a. Independent Financial Advisors [ ]

5b. Product Providers - Insurance [ ]

5c. Product Providers – Investments & Pensions [ ]

5d. Insurance Brokers - Retail [ ]

5e. Insurance Brokers - Commercial [ ]

6a. Lloyds’ of London - Brokers [ ]

6b. Lloyds’ of London - Underwriters [ ]

6c. Lloyds’ of London - Syndicates [ ]

7a. Stockbrokers – quoted securities and bonds [ ]

7b. Stockbrokers – derivatives [ ]

7c. Stockbrokers – commodities [ ]

7d. Stockbrokers – Market Makers [ ]

8a. Energy Market Participants [ ]

8b. Oil Market Participants [ ]

9. Money Transmission Services [ ]

10a. E-Money and Payment Specialists [ ]

10b. Currency Exchange Bureaux [ ]

11. Building Societies [ ]

12. Credit Unions [ ]

13. Consumer Credit firm [ ]

Part B: (2) Service Providers - Details of your areas of practice:-

Please tick relevant items below:-

1a. Accountancy Firms – General regulatory work and advice [ ]

1b. Accountancy Firms – Corporate structures including tax [ ]

1c. Accountancy Firms – Investigation and Enforcement work [ ]

2a. Law Firms – General regulatory work and advice [ ]

2b. Law Firms – Corporate structures including tax [ ]

2c. Law Firms – Investigation and Enforcement work [ ]

2d. Law Firms – Litigation work [ ]

3. Consultancy Firms [ ]

4a. Search & Selection Firms – Permanent Positions [ ]

4b. Search & Selection Firms – Interim and Temporary Positions [ ]

5a. Outsourcing Firms – General business processes such as Sales, IT, Customer Liaison, Accounting, Systems and Controls [ ]

5b. Outsourcing Firms – Regulatory work dealing with investigations and enforcement [ ]

6a. Interim Support Providers – General regulatory work [ ]

6b. Interim Support Providers – Regulatory work dealing with investigations and enforcement [ ]

7a. Specialist Areas of Practice – Financial Crime [ ]

7b. Specialist Areas of Practice – Conduct of Business [ ]

7c. Specialist Areas of Practice – Client Money/Assets [ ]

7d. Specialist Areas of Practice – Retail Distribution [ ]

7e. Specialist Areas of Practice – Litigation [ ]

7f. Specialist Areas of Practice – Expert Witness for litigations or arbitration, etc. [ ]

7g. Specialist Areas of Practice – Consumer credit [ ]

###### Part C - (1) Firm’s Business

Please describe your main business activities, e.g. retail bank.

###### Part C – (2) Professional Profile Summary

Insert here a summary of your firm’s profile highlighting any major achievements, honours, awards, etc.

###### Part C – (3) Corporate Goals and ambitions

Brief description of the firm’s goals and ambitions, e.g. to be a market leader on your sector.

###### Part D – Registration Type

Please indicate whether this is:-

A new registration [ ]

An update to previous registration [ ]

**DECLARATION**

As a duly authorised officer of the above firm, I declare that the above details are correct. The firm hereby apply for membership of The Compliance Register and undertake to abide by the Code of Conduct. If the firm is already a member, I am submitting this application in order for the firm’s details to be updated.

The Code of Conduct

1. All members are expected to behave in a professional manner at all times.

2. As part of being a professional, individual members are expected to undertake an appropriate programme of continuing professional development (CPD) each year to keep their knowledge and skills updated.

3. The Compliance Register reserves the exclusive right to terminate, without notice, the membership of any member whose behaviour is prejudicial to the reputation of The Compliance Register.

Signature

Please scan your signature and affix it in the space provided.

Signature by the DCP on behalf of the Applicant:

Full Name of Signatory:

Date:

**Submitting your application**

Completed applications should be submitted as an email attachment in Word format to:-

bengoh.bizmail@yahoo.co.uk