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](mailto:Bengoh.bizmail@yahoo.co.uk)