

Terms of Business Application Form

Thank you for your interest, please fill in your company details below.
Once completed, kindly send your Terms of Business Application Form to a member of our intermediary relations team at IntermediaryRelations@stubbededge.com

Your Company

What is the name of your regulated company?

What type of Terms of Business are you applying for?

Are you looking to write UK business only?

Please enter your FCA Reference number

Additional Company Information

Phone No.

Email Address

Website Address

Company Registration Number

Regulatory Status

Type of Ownership

Number of Office Locations

Principal Company

Find Company

Number of Registered Individuals

Number of Dedicated Compliance Staff

Number of Paraplanners/Technical Staff

Number of Brokers, Account Executives and Admin/Secretarial Staff

Professional Indemnity Insurance Excess

Professional Indemnity Insurance Cover Limit

Professional Indemnity Insurance Expiry Date

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Authorised Contact

Email Address			
Confirm Email Address			
Primary Contact Telephone No.			
Address			
City			
County		Postcode	
Country			

Confirmations

Have you, or any of the Directors or Partners of the company ever had a Terms of Business/Agency Agreement or appointed representative status cancelled or declined? <i>If Yes, please give full details below.</i>	Yes	No
Details:		
Are you or any partner currently indebted to any other organisations in respect of commission? <i>If Yes, please give full details below.</i>	Yes	No
Details:		

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Confirmations cont...

<p>Is the organisation registered with the ICO for Data Protection? <i>If so please enter your registration number below.</i></p>	Yes	No
<p>Registration number:</p>		
<p>Have you or any other Partner, Director, Manager, Agent, Employee or company with which you have been associated with been expelled from or refused membership of Regulatory or Professional Associations? <i>If Yes, please give full details below.</i></p>	Yes	No
<p>Details:</p>		
<p>Have you or any Partner, Director, Manager, Agent or company with which you been associated with been declared bankrupt or taken any act of insolvency such as compounding with your creditors, or gone into liquidation or receivership? <i>If Yes, provide details below.</i></p>	Yes	No
<p>Details:</p>		
<p>Have you or any other Partner, Director, Manager or Agent ever been, or are you now, party to any legal proceedings either Civil or Criminal? <i>If Yes, please give full details below.</i></p>	Yes	No
<p>Details:</p>		
<p>Has any predecessor in business been designated a defaulted firm or declared by the FSCS as a firm in default? <i>If Yes, please give full details below.</i></p>	Yes	No
<p>Details:</p>		

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Confirmations cont...

Has the firm ever received intervention from the FCA or warning related to rule breaches? <i>If Yes, please give full details below.</i>	Yes	No
Details:		
Has the company had any TCF and/or risk assessment audit from the regulator? <i>If Yes, please give full details below.</i>	Yes	No
Details:		
Are the latest company returns overdue ?	Yes	No

Bank Account

Account Name	
Account Number	
Sort Code	

Files

Group Signatory List	PI Certificate	Group Structure
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