

## SECTION 1: Personal Information (see Addendum 1)

Name:

Address:

Postcode:

Job Title:

Employer:

Employers address:

Postcode:

Contact Number:

Email address:

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## SECTION 2: Professional Competence (Please attach CV)

### Relationships with Regulated Firms

Do you have a close relationship with a regulated firm, other than a customer relationship? If so, please provide details.

Please describe the type and duration of compliance work that you undertake for clients.

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## SECTION 3: Professional References

We ask for references from two regulated firms to which you have 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 you, 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:

## 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:

<b>Firm Type</b>	<b>Tick</b>	<b>Firm Type</b>	<b>Tick</b>
<b>General insurance and protection:</b>			
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

<b>Type of service offered</b>	<b>Tick</b>	<b>Type of service offered</b>	<b>Tick</b>	<b>Type of service offered</b>	<b>Tick</b>
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).

**Have you (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 |
| Do you maintain individual Professional Indemnity Insurance Cover? _____   | Y | N |

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

	Fee	VAT	
If paying by BACS our account details are:	Application fee (non-refundable):	£25.00	£5.00
Account name: APCC	Membership fee:	£190.00	£38.00
Sort code: 40-43-23			
Account number: 81360590			
Cheques should be enclosed and made payable to the APCC.	<b>TOTAL FEE PAYABLE:</b>	<b>£258.00</b>	

## SECTION 8: Declaration (see Addendum 2)

I, the undersigned, apply for individual membership of the Association of Professional Compliance Consultants.

I declare that I have read and agree to comply with the Memorandum and Articles of the Association and that I am eligible for membership. Where it is within my authority I 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:

Print Name:

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](mailto: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, sole traders and individual) who 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, an individual agrees to abide, where possible, by the following as adopted by the APCC (and available at [www.apcc.org.uk/](http://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