**PERSONAL INFORMATION FORM**

(PIF250)

|  |  |
| --- | --- |
| Name (Individual) |  |
| Name of Corporate Member |  |
| Member number |  |

# PURPOSE OF THIS FORM

This form is to be completed by an individual (“the Applicant”) who exercises control and/or significant influence over a Lloyd’s Limited Liability Vehicle, whether it be immediate, intermediate or ultimate. Please note, if the applicant does not exercise control, *Section 6* may not apply.

(See **Appendix 4** to determine whether you need to complete *Section 6*).

# PERSONAL IDENTIFICATION DETAILS

|  |  |  |  |
| --- | --- | --- | --- |
| Title |  | Surname |  |
| All Forename(s) |  | | |
| Name commonly known by |  | | |
| List all of your maiden or previous names that you have been known by (surname first then first and middle names). Please leave a space between each name. | | | |
|  | | | |
| Date of birth (DD/MM/YYYY) |  | Place of birth  Town/City |  |
| Nationality |  | Dual Nationality (if applicable) |  |
| Marital Status |  | | |
| Primary Residential Address |  | | |
| Postcode (or equivalent) |  | Country |  |
| Telephone number |  | Mobile number |  |
| Email address |  | | |
| Correspondence Address  (If different to primary) |  | | |
| Postcode (or equivalent) |  | Country |  |
| Other Address  (if applicable) |  | | |
| Postcode (or equivalent) |  | Country |  |

If you have lived at your primary residential address less than **3 years** please provide additional address information.

|  |  |  |  |
| --- | --- | --- | --- |
| Date from (DD/MM/YYYY) |  | Date to (DD/MM/YYYY) |  |
| Address |  | | |
| Postcode (or equivalent) |  | Country |  |
| Date from (DD/MM/YYYY) |  | Date to (DD/MM/YYYY) |  |
| Address |  | | |
| Postcode (or equivalent) |  | Country |  |

1. INFORMATION FOR TAX PURPOSES

|  |  |
| --- | --- |
| Country for tax residency |  |
| Tax residency address |  |
| Unique taxpayer identity (UTR)/Tax identification number (TIN) – and/or |  |
| National Insurance Number (NI) |  |

1. APPLICANT CONNECTION TO LLOYD’s

|  |  |  |
| --- | --- | --- |
| Are you currently a Member of Lloyd’s or have you previously applied for Membership of Lloyd’s?\* | Yes  No | Membership No |
| Are you related to (or partner of) an existing/previous member of Lloyd’s? | Yes  No | Name and relationship |
| Are you or have you been connected to any other Corporate Member of Lloyd’s e.g. Director/Controller? | Yes  No | Membership No |
| Are you an employee or the spouse (or partner of) of an employee of the Corporation of Lloyd’s or any of its subsidiaries? | Yes  No | Please provide details |
| \*Further information may be required | | |

# PERSONAL BACKGROUND

Please provide a full record of employment over the last 5 years, detailing any gaps in employment over the period and where necessary provide further details in a separate attachment.

|  |  |  |  |
| --- | --- | --- | --- |
| Please indicate current employment status | Employed/Self-Employed/Retired/Other  *(Delete as applicable)* | Date from (MM/YYYY) |  |
| If employed/self-employed, please provide details below: | | | |
| Name of employer or business |  | | |
| Address of business |  | | |
| Nature of business |  | | |
| Position(s) held and responsibilities |  | | |
| Other – please provide details |  | | |

# PERSONAL BACKGROUND (CONTINUED)

|  |
| --- |
| Please attach a copy of your CV detailing your professional or business background, occupation and family circumstances. If unable to provide a CV, please provide a detailed résumé below: |
|  |
| Do you meet the definition of a Politically Exposed Person (“PEP”) or immediate family member or close associate of a PEP? *(See Appendix 2 for definition)* If Yes, please provide details of this below. If No, please confirm this below. |
|  |
| If you have a Power of Attorney registered, please attach a certified copy of your Power of Attorney. Alternatively, please provide your Members’ Agent with original documentation and he or she can arrange for certified copies to be made. |

# VERIFICATION OF IDENTITY AND PROOF OF ADDRESS

Please provide a certified copy of your current valid passport (or passports if you hold dual nationality), ensuring the photograph and full passport number is legible, and an original/certified copy of your utility bill (within 3 months of date), or a certified copy of your current photo-card driving licence. (You may present the original documents to your Member Agent and they will arrange certified copies).

This information will be used to validate your identity and undertake the requisite screening as required by Lloyd’s and the FCA.

# FINANCIAL CIRCUMSTANCES (only where the applicant exercises control)

1. **Your Personal Wealth**

This section relates to your overall financial circumstances; assets detailed should be beneficially owned by the Applicant.

|  |  |  |
| --- | --- | --- |
| Split of Assets | | Estimated Value |
| Cash (at bank or building society) | | £ |
| Securities | Quoted Securities | £ |
|  | Unquoted Securities | £ |
| Property | Principle Private Residence | £ |
|  | Other Properties | £ |
| Other assets | Include other assets e.g. fine art, jewellery etc. Please indicate type: | £ |

|  |
| --- |
| Do you anticipate, over the next five years, any contingent liabilities (e.g. tax)? If yes, please give details below. |
|  |

1. **Significant Changes to Wealth Profile**

|  |  |
| --- | --- |
| Do you anticipate any significant changes to your financial circumstances over the next three years? If so, please indicate the reasons and provide additional information below: | |
| Decreases: | Increases: |
| * Reduction in asset value * Reduction in income (e.g. retirement) * Disposal of assets * Other (e.g. financial planning – please specify) | * Asset inflation * Sale of business interests * Inherited wealth * Other (please specify) |
|  | |
| Do you currently, or have you previously, invested in controlled investments (e.g. unregulated collective investment schemes)? If yes, please provide details below of your knowledge and experience in investing in such schemes, including nature, volume and frequency of the investments and the period over which they have been carried out. | |
|  | |

1. **Current Annual Income and Financial Commitments**

|  |  |
| --- | --- |
| Earned Income | Amount (per annum) |
| Salary | £ |
| Pension | £ |
| Unearned Income (please state): | |
|  | £ |
|  | £ |
|  | £ |
| TOTAL | £ |

|  |  |  |
| --- | --- | --- |
| Please list your financial commitments (including mortgages and loans on properties) | | |
| Type | Remaining Terms\* (in years) | Amount (per annum) |
| Mortgage/secured loan repayments |  | £ |
| Unsecured loan repayments |  | £ |
| Other regular outgoings (please state): | | |
|  |  | £ |
|  |  | £ |
|  |  | £ |
|  | TOTAL | £ |

\*if you have an overdraft or other facility repayable on demand, please insert “On demand” in this column

|  |  |
| --- | --- |
|  | IA Less EA |
| Net Income | £ |
| What percentage of your net income is NOT guaranteed or regular? | **%** |

|  |
| --- |
| Do you expect any significant changes to your income or financial commitments over the next five years? If yes, please give details below. |
|  |

1. **Source of Wealth**

We are required to obtain the background to the origin of your wealth, explaining in some detail how the assets were acquired and the value of these assets.

Appendix 3 sets out guidance of the level of detail required, and we will advise you should we require any further information. *Please note: evidence of your Source of Wealth is only required if you are deemed to be a Politically Exposed Person and/or High Risk Member.*

|  |
| --- |
| Against the backdrop of a ‘storyboard’ concept and accepting that there will not necessarily be a correlation with the amounts of your net worth shown above, please indicate / briefly describe the original source(s) (or ‘liquidity events’) and approximate value(s) of your wealth, supplemented by additional background in the box below: |
| ‘Story’ on background to wealth, including purpose of your investment at Lloyd’s: |
|  |

# FITNESS AND PROPRIETY QUESTIONNAIRE

The following information shall be provided in respect of events within the last 10 years in the United Kingdom and elsewhere. If the answer to any question is “YES”, please provide further details in a separate attachment and include copies of any relevant documents.

|  |  |
| --- | --- |
| 1. Have you been convicted of any offence involving fraud, theft, false accounting, offences against the administration of public justice (such as perjury, perverting the course of justice and intimidation of witnesses or jurors), serious tax offences or other dishonesty or an offence (whether or not in the United Kingdom) relating to companies, building societies, industrial and provident societies, credit unions, friendly societies, insurance, banking or other financial services, insolvency, consumer credit or consumer protection, money laundering, market manipulations or insider dealing? | Yes  No |
| 1. Are you the subject of any current criminal proceedings? | Yes  No |
| 1. Do you have any convictions for any offences other than those listed above which are not spent, whether or not in the United Kingdom (excluding traffic offences unless these resulted in a ban from driving or involved driving without insurance)? | Yes  No |
| 1. Are you or have you been, the subject of any civil proceedings, arbitration or litigation, including proceedings that may lead to a County Court Judgment (“CCJ”) or other judgment debts, in the United Kingdom or elsewhere? | Yes  No |
| 1. Are you aware of any intention to begin such proceedings against you in the future? | Yes  No |
| 1. Do you have any judgement debts (including CCJs) made under a court order still outstanding, whether in full or in part? | Yes  No |
| 1. Have you failed to satisfy any such judgment debts within one year of the making of the order? | Yes  No |
| 1. Are you or have you been, the subject of any bankruptcy proceedings, or proceedings for the sequestration of your estate? | Yes  No |
| 1. Have you entered into a deed of arrangement or an individual voluntary arrangement (or in Scotland a trust deed) or other agreement in favour of your creditors, or are you doing so? | Yes  No |
| 1. Do you have any outstanding financial obligations arising from regulated activities, which you have conducted in the past, whether in the United Kingdom or overseas? | Yes  No |
| 1. Have you been found guilty of conducting any unauthorised regulated activities or been investigated for possible conduct of unauthorised regulated activities? | Yes  No |
| 1. Are you or have you been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity? | Yes  No |
| 1. Have you, either in the United Kingdom, or elsewhere – | |
| 1. 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 or not remunerated | Yes  No |
| 1. been refused, restricted in, or had suspended, the right to carry on any trade, business or profession for which specific licence, authorisation, registration, membership or other permission is required? | Yes  No |
| 1. been disqualified by a court from acting as a director of a company or from acting in a management capacity or conducting the affairs of any company, partnership or unincorporated association? | Yes  No |
| 1. been the subject of a disqualification direction, or a prohibition order under section 56 of the Financial Services and Markets Act 2000, or received a warning notice to make such a direction or order? | Yes  No |

|  |  |
| --- | --- |
| 1. In respect of activities regulated by the FCA and/or the PRA or any other regulatory body, have you, or has any company, partnership or unincorporated association of which you are or have been a controller, director, senior manager, partner or company secretary, during your association with that entity and for a period of three years after you ceased to be associated with it, ever – | |
| 1. been refused, had revoked, restricted or terminated, any licence, authorisation, registration, notification, membership or other permission granted by any such body? | Yes  No |
| 1. been criticised, censured, disciplined, suspended, expelled, fined, or been the subject of any other disciplinary or intervention action by any such body? | Yes  No |
| 1. resigned whilst under investigation by, or been required to resign from, any such body? | Yes  No |
| 1. 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? | Yes  No |
| 1. been the subject of any civil action which has resulted in a finding against your or it by a court? | Yes  No |

|  |  |
| --- | --- |
| 1. Has any company, partnership, or unincorporated association of which you are or have been a controller, director, senior manager, partner, or company secretary, in the United Kingdom or elsewhere, at any time during your involvement or within one year of such an involvement – | |
| 1. been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangement with its creditors? | Yes  No |
| 1. been adjudged by a court liable for any fraud, misfeasance, wrongful trading or other misconduct? | Yes  No |
| 1. been investigated or been involved in an investigation by an inspector appointed under companies or any other legislation, or required to produce documents to the Secretary of State, or any other authority, under any such legislation? | Yes  No |
| 1. been convicted of any criminal offence, censured, disciplined or publicly criticised, by any inquiry, by the Takeover Panel or any governmental or statutory authority or any other regulatory body (other than as already indicated under 14(b) above)? | Yes  No |

DECLARATION

I hereby declare that the information provided in this form is, to the best of my knowledge and belief, accurate in all material respects and does not omit any information relating to me which might reasonably be considered relevant to my application.

Furthermore, I hereby undertake and agree that I shall immediately notify my nominated Lloyd’s Agent of any changes in the information provided in this form which occur after the date of submission of this application.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature |  | Date |  |

**LLOYD’S PRIVACY NOTICE**

The Corporation of Lloyd’s process personal data in line with the requirements of The General Data Protection Regulation (EU) 2016/679 and the Data Protection Act 2018. For further information about the way we use the personal data collected in this form, please read our [Market Services Privacy Notice](https://www.lloyds.com/common/privacy-notices) available on our website in conjunction with that of your Members’ Agent

**APPENDIX 1**

Please submit one ID verification document and one Address verification document from the list below with this form:

**Identification Verification documents**

The below Government-issued (valid) ID documents are deemed acceptable (either original or originally-certified copy):

● Unexpired copy of a passport

● Unexpired Photocard Driving Licence with signature (full or provisional)

● Unexpired National Identity Card with signature and photograph

● Unexpired Firearms Certificate / Shotgun Licence

**Verification documents - address**

The below is a list of acceptable Address verification documents (either original or originally-certified copy):

● Unexpired Photocard Driving Licence with signature (full or provisional) (**if not used previously for ID verification**)

● Utility bill dated within previous 3 months (no mobile phone bills)

● Bank Statement within previous 3 months (UK, EU or equivalent jurisdiction regulated financial institution – not an internet-printed statement)

● Council tax bill within previous 3 months

● Instrument of a Court appointment (liquidator or grant of probate)

**NB: PO box addresses are not acceptable**

**Certification**

All verification documentation must be Certified in line with the below:

**Certification:**

Certification must be of original documents

Certified copies of certified copies can be accepted as long as the audit trail is complete and the certification on all copies meet the Lloyd’s standards

Photographs certified as copies of the original can be accepted as long as the person who took the photograph has certified it appropriately in line with the below and the certification on the original meets our standards

Who can certify:

An independent person who is part of a professional body membership with professional/regulatory obligations:

* Solicitor (including in-house)
* Lawyer (including in-house)
* Accountant (including-in-house)
* FCA Registered Person

The following must be recorded (by the certifier) on each document:

* Name of the certifier
* Signature of the certifier
* Job title of the certifier
* Professional body membership they are part of
* Date of certification

Written confirmation from the certifier the copies are true and exact copies and that they have seen the original, suggested text ***“I hereby certify this to be a true copy of the original document as seen by me”***

**APPENDIX 2**

**A Politically Exposed Person is defined by the FCA** as a senior political figure or official who holds a prominent public function\* in the executive, legislative, administrative, military, or judicial branches of a government (whether elected or not), a senior official of a political party, or an executive of a government-owned corporation. In addition, a senior political figure includes any corporation, business, or other entity that has been formed by, or for the benefit of, a senior political figure.



**An immediate family member** of a PEP includes a spouse; a partner (including a person who is considered by his/her national law as equivalent to a spouse); siblings; children and their spouses or partners; and/or parents as well as in-laws.

**A close associate** of a PEP is defined as a person who is widely and publicly known to maintain a close relationship with the PEP, and includes a person who is in a position to conduct substantial domestic and international financial transactions on their behalf. The definition also includes any individual who is known to have joint beneficial ownership of a legal entity or legal arrangement, or any other close business relations, with a person who is a PEP; and any individual who has sole beneficial ownership of a legal entity or legal arrangement which is known to have been set up for the benefit of a person who is a PEP.

\***Prominent public functions include:**

Heads of state, heads of government, ministers and deputy or assistant ministers; members of parliaments; members of supreme courts, of constitutional courts or of other high-level judicial bodies whose decisions are not generally subject to further appeal, except in exceptional circumstances; members of courts of auditors or of the boards of central banks; ambassadors, charges d’affaires and high-ranking officers in the armed forces (other than in respect of relevant positions at Community and international level); and members of the administrative, management or supervisory boards of State-owned enterprises.

**APPENDIX 3**

We have provided an example of the level of detail we are required to seek concerning your source of wealth below. Should you need any further guidance, please do not hesitate to contact us for assistance.

|  |  |  |
| --- | --- | --- |
| Source of Wealth | Examples of information required | Acceptable Evidence |
| Savings / Retirement | Details of employment history, including employers name, duration, nature of business and position held (e.g. CEO of ABC Limited between 1980-2012) | * Past payslips * Confirmation from employer of income and bonuses for previous earning * Annual accounts (if self-employed) * Pension statement |
| Share dividends / sale | Date, value, duration investments held, method of sale (incl. name and location of broker if applicable) | * Sale documentation * Bank statement showing dividend payments |
| Property assets / sale | Details of property other than your PPR, including property location, value and date of purchase and sale (if applicable) | * Completed sales contract * Letter from solicitor confirming sale details |
| Company sale | Name of company, nature of business, value and date of sale | * Letter from solicitor / accountant confirming sale details * Copy of contract of sale |
| Company profits | Annual income and net profits of the business | * Companies house filings (e.g. annual accounts) * Letter from solicitor / accountant confirming business details and profits |
| Gift | Date, value and who received from (incl. relation / connection) | * Letter from donor evidencing their wealth and acknowledging their gift and reason |
| Inheritance | Date of inheritance, name of benefactor (incl. relation / connection) and value inherited | * Grant of probate * Letter from solicitor / accountant confirming details |
| Compensation / settlement payments | Date, value and reason for compensation / settlement | * Copy of court order / agreement * Letter from solicitor / accountant confirming details |
| Other | Details of movable assets i.e. jewellery, fine art, antiques, etc. - include details of the item / collection, current estimated value and date of purchase / period collected over and sale (if applicable) | * Valuation certificates * Sale documentation |

**APPENDIX 4**

The Definition of controllers as per the Financial Services and Markets Act 2000 (FSMA):-

Person or persons (if acting in concert) are **controllers** if they:

* hold 10% or more of the shares in the LLV (A) or its parent undertaking (P) of A; or
* hold 10% or more of the voting power in A or P; or
* hold shares or voting power in A or P as a result of which they are able to exercise significant influence over the management of A.

**Shares** are:

* in relation to an undertaking with share capital, allotted shares (includes all classes of shares);
* in relation to an undertaking with capital but no share capital, rights to share in the capital;
* in relation to an undertaking without capital, interests:
* conferring any right to share in the profits, or liability to contribute to the losses; or
* giving rise to an obligation to contribute to the debts or expenses in the event of a winding up.

**Voting power** in relation to controllers includes:

* Voting power held by two or more parties who have an explicit or implicit agreement in respect of how they use their voting power (‘acting in concert’); and
* Voting power which is held, or may be exercised by a subsidiary (and will be relevant in considering the level of control held by a parent undertaking).

**Parents of minority controllers** are considered to be controllers due to the extended definition of ‘voting power’ in s422 (5)(a)(v) of FSMA .