**CoRPORATE Information FOrm**

(CIF251)

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

# PURPOSE OF THIS FORM

This form is to be completed by a company (“the Applicant”) exercising control and/or significant influence over a Lloyd’s Limited Liability Vehicle.

The following supporting documentation should be returned with this form.

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| 1. A detailed group structure chart, that should identify:    * All the controllers of the Applicant and all connected companies (including the level of interest held by each controller in the company which it controls);    * The jurisdiction in which each controller is incorporated (including the registration number of the corporate controller or equivalent if registered outside the UK);    * Where a controller is a regulated entity, the name of the regulatory body and its regulator’s reference number (where applicable);    * All insurance and reinsurance carriers, underwriting agents, corporate members and Lloyd's brokers within the group;    * Whether any company is listed on any stock exchange – please provide details of shareholding over 25%. |
| 1. A certified copy of the Applicant’s certificate of incorporation and any change of name certificates where appropriate. |
| 1. A certified copy of the Applicant’s Register of Shareholders. |
| 1. If the answer to any question in the Fitness and Propriety *Questionnaire (Section 4)* is “YES”, please provide further details in a separate attachment and include copies of any relevant documents. |

**All overseas documentation should be accompanied by a certified English translation – the translator should be an independent party to the applicant.**

# APPLICANT DETAILS

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| --- | --- | --- | --- | --- |
| Company name |  | | | |
| Registered number |  | Place of incorporation | |  |
| Unique taxpayer reference or identification number(UTR)/(TIN) |  | Date of incorporation | |  |
| Name of regulator (if regulated) |  | Name of stock exchange (if listed) | |  |
| Industry of operation |  | | | |
| Jurisdiction of operation |  | | | |
| Country of registration |  | | | |
| Registered address |  | | | |
| Postcode (or equivalent) |  | Country |  | |
| Trading address (where different) |  | | | |
| Postcode (or equivalent) |  | Country |  | |
| Telephone number |  | Email address |  | |
| Contact name |  | | | |

Please provide details of all the Applicant’s directors *(including nominee directors).*

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Name in full | All Previous Names | Date of birth | Position | Domicile location - City and Country of residency |
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# SHAREHOLDER IDENTIFICATION DETAILS

Please provide details of the shareholders (>/= 10%) of the Applicant and their level of control.

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| --- | --- | --- |
| Name in full | All Previous Names | % control |
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1. SOURCE OF WEALTH

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

This section is not required for companies listed on a Lloyd’s recognised Stock Exchange. For further information, please see Appendix 1.

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| Against the backdrop of a ‘storyboard’ concept, please indicate / briefly describe the original source(s) (or ‘liquidity events’) and approximate value(s) of the Applicant’s wealth, supplemented by additional background in the box below. Please make reference to the Report and Accounts. |
| ‘Story’ on background to wealth, including purpose of the Applicant’s investment at Lloyd’s: |
|  |

1. 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. Has any receiver, administrative receiver or administrator been appointed or any notice given, petition presented, or order made for the appointment of any such person over the whole or any part of the assets or undertaking of the Applicant? | Yes  No |
| 1. Has any petition been presented, order made, or resolution passed for the winding up of the Applicant or for the appointment of a liquidator or provisional liquidator of the Applicant or is such a petition, order or resolution pending? | Yes  No |
| 1. Has the Applicant at any time failed to satisfy a judgment debt under a court order within a year of the making of the order? | Yes  No |
| 1. Is any director of the Applicant subject to a disqualification undertaking, or have they previously been disqualified by a court from acting as a director or from being concerned in the management of a company? | Yes  No |
| 1. Has any application by the Applicant for a licence, recognition or equivalent authorisation to carry on any business activity in the United Kingdom or elsewhere been refused or withdrawn? | Yes  No |
| 1. Is the Applicant involved in any current, pending or proposed litigation which may have a material effect on it? | Yes  No |
| 1. Have the Applicant's books and records been requisitioned or seized by any regulatory body or other government department? | Yes  No |
| 1. Has the Applicant previously been, or is it currently, subject to financial sanctions (as issued by HM Treasury, the European Union or the Office of Foreign Assets Control)? | Yes  No |
| 1. Please give details below of any material written complaints made against the Applicant by its clients or former clients in the last 10 years which are awaiting determination or have been upheld by an ombudsman. | |
|  | |
| 1. Please give details below of any significant events or information (for example, in relation to insolvency, reconstruction, civil or criminal investigations or proceedings, or financial services regulations) which would be relevant to Lloyd’s consideration of the Applicant. | |
|  | |

DECLARATION

I hereby declare that having made all reasonable enquiries, 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 the Applicant that might reasonably be considered relevant to the application.

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.

I confirm that I am a director of the Applicant and that I am authorised to sign this form on its behalf.

|  |  |  |  |
| --- | --- | --- | --- |
| Name |  | | |
| Signature  (Director) |  | Date |  |

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**

Below is a list of regulated markets (stock exchange)\* per country.

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| **Country** | **Market (Exchange)** |
| Australia | Australian Securities Exchange (ASX) |
| Austria | Vienna Stock Exchange |
| Belgium | Euronext Brussels |
| Canada | Toronto Stock Exchange (TSX) |
| Denmark | NASDAQ Copenhagen |
| Finland | NASDAQ Helsinki |
| France | Euronext Paris |
| Germany | Deutsche Borse |
| Ireland | Euronext Dublin |
| Japan | Tokyo Stock Exchange |
| Luxembourg | Bourse de Luxembourg |
| Netherlands | Euronext Amsterdam |
| New Zealand | New Zealand Exchange Ltd (NSX) |
| Norway | Oslo Bors |
| Portugal | Euronext Lisbon |
| Singapore | Singapore Exchange Limited (SGX) |
| Spain | Bolsa de Barcelona Bolsa de Bilbao Bolsa de Madrid Bolsa de Valencia |
| Sweden | NASDAQ Stockholm |
| Switzerland | SIX Swiss Exchange |
| United Kingdom | London Stock Exchange (LSE) (Not AIM) |
| United States | NASDAQ New York Stock Exchange (NYSE)  NYSE Amex |

\*NOTE: This list may be subject to change

**APPENDIX 2**

Below is a list of regulators per country

|  |  |  |
| --- | --- | --- |
| **Country** | **Regulatory** | **Link** |
| Australia | Australian Securities and Investments Commission | [www.asic.gov.au](http://www.asic.gov.au) |
| Australian Prudential Regulation Authority | [www.Apra.Gov.Au/](http://www.apra.gov.au/) |
| Austria | Austrian Financial Market Authority | http://www.fma.gv.at |
| Belgium | Financial Services and Markets Authority (FSMA) | www.fsma.be |
| Canada | Office of the Superintendent of Financial Institutions | [www.osfi-bsif.gc.ca](http://www.osfi-bsif.gc.ca/eng/default.asp?ref=home) |
| Canada Deposit Insurance Corporation | [www.cdic.ca/?id=100](http://www.cdic.ca/?id=100) |
| Ontario Securities Commission | [www.osc.gov.on.ca/](http://www.osc.gov.on.ca/) |
| Financial Services Commission of Ontario | [www.fsco.gov.on.ca/](http://www.fsco.gov.on.ca/) |
| British Columbia Financial Services Authority | [www.bcfsa.ca](http://www.bcfsa.ca) |
| Denmark | Finanstilsynet (Danish Financial Supervisory Authority) | [www.dfsa.dk](http://www.dfsa.dk/sw99.asp) |
| Finland | Financial Supervision Authority | www.finanssivalvonta.fi/en/ |
| France | Autorité Des March's Financiers | [www.Amf-France.Org/](http://www.amf-france.org/) |
| Autorité de contrôle prudentiel | https://acpr.banque-france.fr/en |
| Germany | Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin) | <http://www.bafin.de/EN/Homepage/homepage_node.html> |
| Guernsey | Guernsey Financial Services Commission | https://www.gfsc.gg/commission/regulated-entities |
| Ireland | Central Bank of Ireland | http://registers.centralbank.ie/ |
| Isle of Man | Isle of Man Financial Services Authority | <https://www.iomfsa.im/register-search/> |
| Japan | Financial Services Agency | www.fsa.go.jp |
| Jersey | Jersey Financial Services Commission | <https://www.jerseyfsc.org/> |
| Luxembourg | Commission de Surveillance du Secteur Financier | [www.cssf.lu](http://www.cssf.lu/fr/index.htmlwww.cssf.lu/fr/index.html) |
| Netherlands | Netherlands Authority for the Financial Markets | <http://www.afm.nl/en> |
| Pensions and Insurance Supervisory Authority of the Netherlands | <http://www.dnb.nl/en/about-dnb/organisation/history/> |
| New Zealand | Financial Markets Authority | [www.fma.govt.nz](http://www.fma.govt.nz) |
| Norway | Financial Supervision Authority of Norway | <http://www.finanstilsynet.no/en/> |
| Portugal | Securities Market Commission | [www.cmvm.pt/](http://www.cmvm.pt/) |
| Banco de Portugal | [www.bportugal.pt](http://www.bportugal.pt/) |
| Insurance Institute | [www.isp.pt](http://www.isp.pt/) |
| Singapore | Monetary Authority of Singapore | [https://mas.gov.sg](https://mas.gov.sg/FID.html) |
| Spain | Banco de España | <http://www.bde.es/bde/en/> |
| Sweden | Financial Supervisory Authority | <http://www.fi.se/Folder-EN/Startpage/Authorisation/> |
| Switzerland | Swiss Financial Market Supervisory Authority | [http://www.finma.ch](http://www.finma.ch/archiv/ebk/e/institute/index.html) |
| United Kingdom | Financial Conduct Authority | [www.fca.org.uk](http://www.fca.org.uk/) |
| Prudential Regulation Authority | https://www.bankofengland.co.uk/prudential-regulation |
| United States | Securities and Exchange Commission | [www.sec.gov/edgar/searchedgar/companysearch.html](http://www.sec.gov/edgar/searchedgar/companysearch.html) |
| National Association of Securities Dealers | [www.finra.org](http://www.finra.org) |
| Federal Reserve System | <http://www.federalreserve.gov/> |
| State-Level Insurance Regulators | https://content.naic.org/regulator |

**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.

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| --- | --- | --- |
| 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**

**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”***