

COUNCIL OF LLOYD'S

**NOMINATION FORM
FOR
INDIVIDUAL EXTERNAL MEMBERS
TO STAND AS A CANDIDATE FOR ELECTION AS AN
INDIVIDUAL EXTERNAL MEMBER OF THE COUNCIL**

SEPTEMBER 2023

THE NOMINATION FORM IS DIVIDED INTO FIVE SECTIONS

SECTIONS A TO D – NEED TO BE FULLY COMPLETED

EITHER BY THE CANDIDATE OR WHERE THE CANDIDATE IS A CORPORATE MEMBER BY THE CANDIDATE AND ITS NOMINATED REPRESENTATIVE

- **SECTION A - CANDIDATE INFORMATION**

SECTION A (1) consists of two (2) parts. Candidates must complete either SECTION A (1) PART A or SECTION A (1) PART B. Please complete:

- ❖ **PART A** if the candidate is an individual external member of the Society.
- ❖ **PART B** if the candidate is a corporate member of the Society eligible to stand as an individual external member of Council.

- **SECTION B - FITNESS & PROPRIETY** information is required to enable Lloyd's to meet its obligations under the Senior Managers and Certification Regime ("SMCR") notification process introduced by the Prudential Regulation Authority ("PRA") and the Financial Conduct Authority ("FCA").

- **SECTION C – NOMINATORS**

- **SECTION D – DECLARATIONS**

- **SECTION E – GUIDANCE NOTES**

CLOSE OF NOMINATIONS

This completed nomination form must be received by **CIVICA ELECTION SERVICES** by no later than **1.00pm on Tuesday 19 September 2023**. Any nomination forms received after this time and date will be ruled invalid. Please refer to the checklist at the end of this form to ensure that you have included all of the information required.

SECTION A (1) – PART A

DETAILS OF THE CANDIDATE

The information provided in this section may be provided to the electorate.

You will find guidance to help you complete the questions at Section E to this form.

- 1. Title (e.g. Mr, Mrs, Ms, etc)

- 2. Surname

- 3. ALL forenames

- 4. Commonly known as

- 5. Professional qualifications

- 6. Degrees and other academic qualifications

- 7. Engaged at Lloyd's since

- 8. Year of election as a member of Lloyd's

- 9. Name of co-ordinating agent (if applicable)

- 10. Name of Members' agent(s) (if applicable)

- 11. If you intend to underwrite in 2024 what is your allocated overall premium limit for 2024 underwriting year?

- 12. If you intend to participate through a corporate vehicle you should disclose this

SECTION A (1) – PART A CONTINUED

13. Present appointment and names of Lloyd’s firms with which you have been associated, and relevant dates (enter the start date and the end date), since first engaged at Lloyd’s

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14. Service on market associations, Lloyd’s working parties, committees, etc. and relevant dates (enter the start date and the end date)

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15. **Candidate’s other appointments and interests (see Guidance Notes)**

Candidates are required to disclose other appointments currently held (executive & non-executive) and their own interests in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of body corporate or firm | Nature and extent of candidate’s interest |
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16. **Interests of the Candidate’s “connected persons” (see Guidance Notes)**

Candidates are required to disclose the interests of their connected persons in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of connected person | Name of body corporate or firm | Nature and extent of connected person’s interest |
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17. **Conflicts of Interest**

Candidates are required to confirm whether they have any potential conflicts of interest such as other appointments at or close relatives with financial relations to the Society of Lloyd’s or any other form of substantial influence in the Society of Lloyd’s.

SECTION A (1) – PART B

DETAILS OF THE CANDIDATE AND ITS NOMINATED REPRESENTATIVE

Please complete all the questions in Section A (1). Questions 1 to 11 are to be completed on behalf of the candidate (i.e. the corporate member that wishes to stand for election as an individual external member of the Council) and questions 12 to 29 by the candidate's nominated representative.

The information provided in this section may be provided to the electorate.

You will find guidance to help you complete the questions at Section E to this form.

DETAILS OF THE CORPORATE MEMBER

1. Name of Corporate member

2. Membership number

3. Name of holding company

4. Address of registered office

5.

| Names of Board Directors | (and their designation) |
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6. Allocated overall premium limit for 2023 underwriting year?

SECTION A (1) – PART B CONTINUED

7. **Particulars of any previous service on the Board or Council**

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8. **Candidate’s other appointments and interests (see Guidance Notes)**

Candidates are required to disclose their own interests in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of body corporate or firm | Nature and extent of candidate’s interest |
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9. **Interests of the Candidate’s “connected persons” (see Guidance Notes)**

Candidates are required to disclose the interests of their connected persons in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of connected person | Name of body corporate or firm | Nature and extent of connected person’s interest |
|--------------------------|--------------------------------|--------------------------------------------------|
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10. **Conflicts of Interest**

Candidates are required to confirm whether they have any potential conflicts of interest such as other appointments at or close relatives with financial relations to the Society of Lloyd’s or any other form of substantial influence in the Society of Lloyd’s.

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SECTION A (1) – PART B CONTINUED

11. **Board minutes / Resolution**

Please attach a certified copy of the board minute / resolution given in accordance with the Partnership Agreement confirming the candidate's Board's / Partners' approval of the:

- (i) proposal that the corporate member stands for election as an individual external member of the Council; and
- (ii) nomination of the representative to act as the candidate's representative at Council meetings and in relation to the business of the Council as a whole, if the candidate is elected.

SECTION A (1) – PART B CONTINUED

DETAILS OF THE NOMINATED REPRESENTATIVE OF THE CORPORATE MEMBER

12. Title (e.g. Mr, Mrs, Ms, etc)

13. Surname

14. ALL forenames

15. Commonly known as

16. Position in relation to individual external member (must be a board member or equivalent)

17. Professional qualifications

18. Degrees and other academic qualifications

19. Engaged at Lloyd's since

20. Year of election as a member of Lloyd's

21. Name of co-ordinating agent (if applicable)

22. Name of Members' agent(s) (if applicable)

23. If you intend to underwrite in 2024 what is your allocated overall premium limit for 2024 underwriting year?

24. If you intend to participate through a corporate vehicle you should disclose this

27. **Nominated Representative’s other appointments and interests (see Guidance Notes)**

Nominated representatives are required to disclose other appointments currently held (executive & non-executive) and their own interests in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of body corporate or firm | Nature and extent of nominated representative’s interest |
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28. **Interests of the Nominated Representative’s “connected persons” (see Guidance Notes)**

Nominated representatives are required to disclose the interests of their connected persons in Lloyd’s-related companies and other insurance entities. Please use the table below to make those disclosures. Use additional sheets if necessary.

| Name of connected person | Name of body corporate or firm | Nature and extent of connected person’s interest |
|--------------------------|--------------------------------|--------------------------------------------------|
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29. **Conflicts of Interest**

Nominated representatives are required to confirm whether they have any potential conflicts of interest such as other appointments at or close relatives with financial relations to the Society of Lloyd’s or any other form of substantial influence in the Society of Lloyd’s.

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SECTION A (2)

1. Candidate's electoral statement: (see Guidance Notes)
Additional information not exceeding 400 words which the candidate may wish to bring to the attention of the electorate, detailing what contribution the candidate intends to make to the Council of Lloyd's and Lloyd's future. Please also describe your experience of leadership roles in an (international) insurance or related services business and indicate if you have experience of investment management, financial reporting and accounting or change management. (Please print clearly and use additional sheets if necessary.)

2. **Candidate's / Nominated Representative's Photograph**
Please attach a high resolution passport-size photograph to accompany the candidate statement. For those submitting the Nomination Form via email please send to nominations@cesvotes.com

SECTION A (3)

DETAILS OF THE CANDIDATE / NOMINATED REPRESENTATIVE OF THE CORPORATE MEMBER - Information we will not circulate

Personal information (The following information must be supplied but will not be circulated to the electorate):

1. Home address
2. Home Telephone
3. Mobile Telephone
4. Home email
5. Main / usual business address (if applicable)
6. Business Telephone
7. Business email
8. Date of birth (dd/mm/yyyy) and Place of birth
9. Previous name and Date of name change
10. Reason for change of name
11. Nationality
12. National insurance Number (or passport number)

SECTION A (3) CONTINUED

13. Time commitment required by current roles (executive & non-executive)

14. If you are currently approved for a PRA or FCA approved function, please provide details

15. Particulars of any previous service on the Board or Council (as a member of the Council, a nominated representative of a corporate member of Council or a member of the Franchise Board)

16. Please attach a full CV including all relevant employment history.

SECTION B

FITNESS AND PROPRIETY

(All the questions to be completed by the Candidate or by the Nominated Representative of the corporate member, except questions 4 and 5 which in the case of a corporate member will also apply to the corporate member)

1. Criminal Proceedings

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| (a) | Have you ever been convicted of any criminal offence (excluding spent convictions and traffic offences that did not result in a ban from driving or did not involve driving without insurance)? |
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| (b) | Are you currently the subject of any criminal proceedings? |
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| (c) | Have you been ordered to produce documents pursuant to any current criminal investigation? |
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2. Civil Proceedings

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| (a) | Are you currently the subject or have you ever been the subject of a judgement debt or award against you or been party to civil proceedings which resulted in an order against you? |
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| (b) | Have you any current judgement debts outstanding or have you ever failed to satisfy any such judgement debts? |
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| (c) | Have you ever filed for or had a petition served for bankruptcy, been adjudged bankrupt, been subject of a bankruptcy restrictions order or made any arrangements with creditors? |
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3. Business and Employment Matters

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| (a) | Have you ever been dismissed from a position in a financial institution, company or firm? |
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| (b) | Have you ever been dismissed from employment as a senior executive or subject to termination of an engagement as a Board member, Chief Risk Officer or Auditor in a financial institution, company or firm? |
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SECTION B CONTINUED

4. **Regulatory Matters** (in relation to activities regulated by the FCA and/or PRA or any other regulatory body) – Have you been the subject of an investigation, been subject to the rejection of an application, exclusion or limitation in any other way in terms of the right to conduct operations, been the subject of supervisory sanctions, or been the subject of a notification of breach of conduct rules?

5. **Other Matters** – Are you aware of any other information relevant to your candidature and nomination that Lloyd's might reasonably expect to receive as part of the notification to them if the candidate was successfully elected?

SECTION C

NOMINATORS DETAILS

In order to stand for election as an individual external member of the Society the candidate must secure the support and the consent of six (6) other individual external members (each of whom must be registered as an individual external member of the Society at the nominations date on 19 September 2023).

Before you complete the section below, you must ensure that you have secured the support and the consent of each nominator. The names of the members nominating you will be included with the particulars of each candidate to be sent to the electorate with the ballot paper (names will be listed in alphabetical order by surname or by the corporate name).

| Nominator 1 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

| Nominator 2 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

| Nominator 3 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

| Nominator 4 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

| Nominator 5 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

| Nominator 6 |
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| Full Name of Individual External member nominating the candidate: |
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| Membership Number of the Individual External member nominating the candidate: |
| Full Name of Board Director / Partner authorising nomination: |
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| Email address: |
| Contact Telephone Number: |

SECTION D

THE CANDIDATE OR THE CANDIDATE AND ITS NOMINATED REPRESENTATIVE MUST GIVE THE FOLLOWING IMPORTANT DECLARATIONS

1. The candidate / corporate member named either in SECTION A (1) PART A or SECTION A (1) PART B is an individual external member of the Society and hereby applies to stand for election as an individual external member of the Council of Lloyd's. The candidate has secured the full support and consent of six other individual external members of the Society who will remain as individual external members at least until 19 September 2023 (the nominations date) as the candidate's nominators (as indicated in SECTION C of this form).
2. As evidenced in the copy of the certified copy of the board minute or the resolution attached to this nomination form, the Board / Partners of the candidate (corporate member) named in SECTION A (1) PART B, has nominated the undersigned, as the individual who will, if elected, act as its representative at Council meetings and in relation to the business of the Council as a whole (applicable where the candidate is a corporate member).
3. I being the candidate / individual nominated to be the corporate member's representative confirm that the information provided in this form (where the candidate is a corporate member on behalf of both the member and myself as its nominated representative) is accurate and complete to the best of my knowledge and belief and that I have read the guidance notes in SECTION E of this form. As the candidate /the candidate's nominated representative, I will notify the General Counsel & Company Secretary immediately if there is a material change to the information provided.
4. I understand and agree that the details provided in Sections A(1), A(2) and C of this form may be provided to all members of the Society of Lloyd's ("Lloyd's") in the candidate booklet which is sent to members of Lloyd's and which accompanies the ballot paper.
5. I authorise the Society of Lloyd's to make such enquiries and seek such further information as it thinks appropriate to identify and verify information that it considers relevant to the assessment of this nomination. I acknowledge and agree that these checks may include credit reference checks or information pertaining to fitness and propriety.
6. I confirm that, if applicable, I have disclosed all my (and where the candidate is a corporate member, the candidate's and my own) Lloyd's-related and other interests and those of connected persons which might conflict with our duties as an elected Council member or as a nominated representative.
7. I confirm that, if applicable, I have disclosed, on behalf of the candidate and myself as the candidate's nominated representative the details of any previous service on the Board or Council for any periods during which I was a member of the Council, a nominated representative of a corporate member of Council or a member of the Franchise Board.
8. I confirm that, if elected as a member / nominated representative of the member, I undertake to notify the General Counsel & Company Secretary of all my (and where the candidate is a corporate member, the corporate member's) Lloyd's-related and other interests and those of persons connected with the corporate member or me and full details of the corporate member's and my underwriting (if any) on the basis prescribed from time to time by the General Counsel & Company Secretary. This information will be recorded on a register which will be available for inspection by, and where appropriate copied to, any member of the Society. The information will reflect my (and where the candidate is a corporate member, the corporate member's) current relevant interests and

SECTION D CONTINUED

I will make regular notifications of relevant interests and of material changes in any of the information I have provided.

9. I confirm and agree that, if elected, I will also execute a Deed of Undertaking (and where the candidate is a corporate member, on behalf of the corporate member and myself) in the required form.
10. I also agree to comply with any additional requirements as to the disclosure of interests that may be required by the Prudential Regulation Authority ("PRA") and/or the Financial Conduct Authority ("FCA") including under the Financial Services and Markets Act 2000 as amended ("FSMA") or any legislation subordinate thereto.
11. I understand and agree that, if elected as a member of Council / the nominated representative of the member, I will be required to devote a substantial amount of time to the affairs of Lloyd's and am prepared to do so.
12. I understand and agree that, if elected, I will be required to complete conduct rule training in accordance with the Senior Managers and Certification Regime.
13. I confirm that I understand that there are mechanisms in place to resolve potential conflicts of interest between connected Council members.
14. I confirm that I understand that, if elected as a member / nominated representative of the member, the terms of my appointment will be subject to additional requirements relating to my fitness and propriety including the PRA/FCA requirement for Lloyd's to seek regulatory references for the previous five years of service from my current and previous employer(s) and organisations at which I am, or have been, a non-executive director during that period. I confirm that I understand that such requirements may not necessarily be within the control of the Council and the Society. I further confirm that I will at all times endeavour to comply with such additional requirements as may from time to time be notified to me.
15. I confirm that, in the event that I am elected as a member / nominated representative of the member, if at any time I fail to meet any requirements concerning fitness and propriety or any other criteria applicable to members of the Council of Lloyd's arising from Lloyd's or from the PRA and/or the FCA (including arising out of the FSMA or any legislation subordinate thereto) or the regulatory references referred in paragraph 14 above that are received by Lloyd's are not considered by Lloyd's to be acceptable, I shall resign from office immediately on being notified that, by reason of such failure, I am required to vacate office.
16. In the event that I am elected as a member of Council / nominated representative of the member and I subsequently have to resign from office, whether in relation to any requirement or provision, including any requirement or provision made by Lloyd's or made by the PRA and/or the FCA or in connection with the FSMA, or otherwise, I acknowledge and agree that such loss of office shall not give rise to any claim against the Society for compensation or damages or for any other remedy.

Signature: _____

Member / Nominated representative of the corporate member

Name of Corporate member: _____

Date: _____