

Application for facilities



This form is to be completed by a Director, Partner or Sole Trader, and is confirmation that you would like to apply for an agency with Road Runner.

No introductions can be accepted until Aston Scott has completed the appropriate checks, and our Standard Terms of Business have been signed by both parties.

Your company ¹

Company full registered name:

Full trading name:

Legal status: A Partnership A Public Limited Company
 A Private Limited Company Sole trader
 Other

Address:

Postcode:

Private address (Sole traders)

Postcode

For sole traders, please also provide a copy of your driving licence to verify your address.

Company registration number:

Date of incorporation:

Date trading commenced

Name & address of ultimate holding company

Other Associated companies?

Have you ever traded under any other title?

Are you a member of a broker network? Yes No Which network?

Do you provide consumer credit activities? Yes No If No, please provide details on page 5.

Contact Information

Contact name:

Telephone number:

Email address:

Website:

1. If you want any other trading names to be included in the agency or you have more than 1 office that will require access to Road Runner please provide the name, address, and details of who is responsible for all regulatory and compliance requirements for each office in the Supplementary Information section on page 5. Please note that to ensure that we comply with Contract Certainty, any correspondence will be sent to the address shown on each individual agency allocated.

FCA Registration

Are you FCA Registered?	Yes	No	FCA Nos.:
Are you an Appointed Representative of any other Company (as defined by the FCA)?	Yes (Details required)		Details:
	No		

Other Details

Who deals with your Insurance Company Accounts?

Is your accounting computerised? Yes NO

Name and address of your bank

Do you hold clients' money in a separate bank account? Yes Account number & name:
No

Who has cheque signing authority?

Name and address of your accountant:

How long have they represented you?

What Trade Associations are you a member of?

Please confirm that you are conversant with regulations and requirements applicable to you/the business: Yes No This includes, but is not limited to Anti-Money laundering, The Bribery Act 2010, Conflicts of Interest, Data Protection Act 1998 and Financial Sanctions 2010

Please provide the contact details of the nominated officer responsible for ensuring compliance within the above obligations within your organisation.

Please confirm that you have procedures and controls to monitor adherence to these procedures in place in order to ensure compliance with the legislation and requirements referred to above. Yes No

Professional Indemnity Insurance

Please provide details of your professional indemnity insurance. If the limit of indemnity is less than £2M we will require sight of your latest Company Accounts.

Please provide a copy of your certificate with this form.

Insurer:

Limit of indemnity:

Deductible:

Renewal Date:

Business Volumes

How many Clients do you anticipate being introduced to us each year?
(Please provide your best estimate)

Introducing Activities

Do you plan to advertise that you introduce to Road Runner?

Yes
No

Details:

Fit and Proper Declaration

If you answer YES to any question below, please provide details in the Supplementary Information box or on a separate sheet.

1. Have you, or any director or principal of your firm, or the firm itself:-

a) ever been in the last five years, convicted of any offence involving Fraud, Theft, False Accounting or other dishonesty, or any offence relating to companies? Yes
No

b) ever been the subject of any current criminal proceedings or investigations? Yes
No

2. Have you, or any director or principal of your firm, 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 or involved driving without insurance)? Yes
No

3. Have you, or any director or principal of your firm, or the firm itself:-

a) ever 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, in the United Kingdom or elsewhere? Yes
No

b) aware of any intention to begin such proceedings against you, or any director or principal of your firm, or the firm itself, in the future? Yes
No

c) have any judgement debts (including CCJs) made under a court order still outstanding, whether in full or in part?	Yes
	No
d) ever been the subject of any bankruptcy proceedings or action for the sequestration of the individual's estate?	Yes
	No
4. Have you or any director or principal of your firm, or the firm itself ever been found guilty of conducting any unauthorised regulated activities or been investigated for possible conduct of unauthorised regulated activities?	Yes
	No
5. Have you, or any director or principal of your firm, or the firm itself ever been, the subject of an investigation into allegations of misconduct or malpractice in connection with any business activity?	Yes
	No
6. Have you or any director or principal of your firm, or the firm itself ever, either in the United Kingdom or elsewhere:-	
a) been refused entry to, or been dismissed, suspended 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
b) been refused, restricted in, or had suspended the right to carry on any trade, business or profession for which a specific licence, authorisation, registration, membership or other permission is required?	Yes
	No
c) been disqualified by a court from acting as a director of a company or from acting in a management capacity of conducting the affairs of any company, partnership or unincorporated association?	Yes
	No
d) been the subject of a disqualification direction under section 59 of the Financial services ACT 1986 or a prohibition order, under sections 56 of the Financial Services Act 2012, or received a warning notice to make such a direction or order?	Yes
	No
7. Have you or your company ever had an agency cancelled or declined?	Yes
	No
8. Have you, or any director or principal of your firm, or the firm itself ever, either in the United Kingdom or elsewhere:-	
a) ever been put into liquidation, wound up, ceased trading, had a receiver or administrator appointed or entered into any voluntary arrangements with its creditors?	Yes
	No
b) been declared by a court liable for any fraud, misfeasance, wrongful trading or other misconduct?	Yes
	No
c) Been convicted of any criminal offence, censured, disciplined or publicly criticised by an inquiry of any government, statutory or other regulatory authority?	Yes
	No

continued...

Supplementary Information

Declaration

I confirm that the information given in this form is accurate and complete to the best of my knowledge and belief. I am aware that to give false or misleading information it may result in my Agent status being removed and it is an offence to do so under the Financial Services Act 2012. By signing this agreement I give my permission for appropriate background checks (Inc. a credit check) to be carried out by Road Runner.

I understand that any offer of facilities is subject to periodic review.

Signed:

Print name:

Capacity of signatory:

Date:

What next?

The completed form should be returned to:

Road Runner,
28 Dingwall Road,
Croydon,
Surrey,
CR0 2NH

Or sent by email to: AgencyTeam@roadrunnerinsurance.co.uk

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