

## **Form for registration as an additional sponsor of a Lloyd's open market correspondent**

Please read the following notes carefully before filling in this form.

1. This form should be completed by a Lloyd's broker that wishes to be registered as an additional sponsor of a firm that is currently approved or registered as a Lloyd's open market correspondent.
2. The expression "firm" is used in this form to refer to a company, a partnership and any other form of economic undertaking which is recognised at law as having a separate legal personality. The words "director" and "partner" refer to persons who hold such appointments within companies and partnerships respectively, and also to persons who have equivalent legal status in other forms of economic undertaking that are recognised at law as having separate legal personality
3. If you are uncertain whether any fact or matter is relevant, you should disclose it.
4. If this form does not provide enough space for your answers, please continue your answers on a separate sheet of paper indicating the question you are answering.
5. At the end of Part B of this form there is a declaration that a board director or partner of the Lloyd's broker must sign.
6. When all parts of this form have been filled in, you should send it to Lloyd's General Representative in the country where the open market correspondent is registered or approved. Any documents needed to support this application should be enclosed with it.

## Part A – Details of open market correspondent

1 Name of the open market correspondent to be sponsored ("the OMC")

(Please state legal name and trading name if these differ)

The following box (1A) is for Lloyd's use only

1A OMC registration or approval number

## Part B – Details of additional sponsor

1 Name of the additional sponsoring Lloyd's broker ("the sponsor")

2 Please give the following details of your<sup>1</sup> representative who is dealing with this application.

Name:

Position in company:

Telephone number:

E-mail address:

3 Have you brokered business in the London market for the OMC before?

Yes

No

If 'Yes', for:            years

<sup>1</sup> The expression "you" and "your" that appear in Part B of this application form refer to the sponsor.

**Part B – Additional sponsor's details (continued)**

**Sponsoring broker's declaration**

I confirm and undertake on behalf of the sponsor that:

- (i) I am authorised to make this declaration and to provide the information that is contained in this application form and in any supporting documentation;
- (ii) the information supplied in this application form and in any supporting documentation is complete and accurate to the best of the sponsor's knowledge and belief;
- (iii) on the basis of the enquiries I have made I am satisfied as to the applicant's financial security and that the applicant and each of its directors/partners and (where relevant) controlling shareholders<sup>2</sup> is of good reputation;
- (iv) the sponsor will notify Lloyd's General Representative in the country where the open market correspondent is registered or approved of any changes in the information provided in this application form; and
- (iv) I have read and accept the terms of the privacy notice at annex1 to this form.

Signed: .....

Name: .....

Position: .....

Date: .....

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<sup>2</sup> A controlling shareholder is defined for this purpose as any person (whether individual or incorporated) who owns more than 10% of the company's shares or 10% of the shares of its holding company (if it has one).

## Privacy notice

### **1. Data Protection**

- 1.1 The processing of each application for registration as an additional sponsor of an open market correspondent ("OMC") will involve the processing of personal information relating to the responsible broker within the applicant Lloyd's broker and (if different) the responsible director of that Lloyd's broker in (a) the United Kingdom and (b), in most cases, the territory where the OMC is registered or approved as well.
- 1.2 The processing of personal information within the United Kingdom is regulated by the Data Protection Act 1998 ("the Act"). The Society of Lloyd's ("Lloyd's") is a data controller for the purposes of the Act and holds information for the purposes specified in its notification to the Information Commissioner who is responsible for maintaining the register of data controllers under the Act.
- 1.3 The processing of personal information by Lloyd's General Representative or Attorney in Fact ("the General Representative") in the territory where the OMC is registered or approved may be subject to separate local law requirements.

### **2. The use by Lloyd's of personal information supplied in connection with applications for registration or approval as an open market correspondent**

- 2.1 The personal information which the Lloyd's broker named in Part B supplies in connection with its application for registration as an additional sponsor of the OMC named in Part A of this form will be used by Lloyd's, its agents and representatives for one or more of the following purposes:
- (i) to process the Lloyd's broker's application for registration as an additional sponsoring broker of the OMC named in Part A of this form;
  - (ii) to check the status of the responsible broker and, if different, the responsible director of the Lloyd's broker named in Part B of this form;
  - (iii) to verify information held about the responsible broker and, if different, the responsible director of the Lloyd's broker named in Part B of this form;
  - (iv) to review the registration or approval of an OMC;
  - (v) to review the registration of any sponsor of an OMC;
  - (vi) to consider applications for the registration of Lloyd's brokers and to review the eligibility of a Lloyd's broker to be registered as a Lloyd's broker;
  - (vii) to conduct inquiries under Lloyd's Inquiries and Investigations Byelaw (No.3 of 1983) and reviews under Lloyd's Underwriting Byelaw (No.2 of 2003) or conduct inquiries or reviews under any re-enactment or replacement of those byelaws;
  - (viii) to prosecute enforcement proceedings at Lloyd's; and
  - (ix) any purpose specified in paragraph 4 of Lloyd's Information and Confidentiality Byelaw (No. 21 of 1993)<sup>3</sup> or any re-enactment or replacement thereof.
- 2.2 Personal information relating to the responsible broker and, if different, the responsible director of the Lloyd's broker named in Part B of this form may be transferred to a country or territory outside the European Economic Area for regulatory and legal enforcement purposes

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<sup>3</sup> This byelaw permits Lloyd's to disclose information that it has obtained in the exercise of its statutory powers, amongst other things, for the purposes of any inquiry, disciplinary proceedings or criminal proceedings and to assist any regulator, investment exchange, professional body or clearing house in the discharge of its functions.

in which event it may not be subject to the same level of legal protection as it has in the United Kingdom. Where permissible, details of the individuals or organisations and countries to whom or to which such information is transferred will be provided to the individual data subject on request.

### **3. Security**

- 3.1 All personal information that Lloyd's obtains in connection with an application for registration as an additional sponsor of an OMC and, if appropriate, the grant of such registration will be held securely by Lloyd's and its agents in paper and/or electronic form.

### **4. Confidentiality**

- 4.1 Lloyd's will treat as confidential the personal information that you supply in connection with this application for sponsorship of the OMC named in Part A of this form subject to the provisions of Lloyd's Information and Confidentiality Byelaw (No. 21 of 1993) or any re-enactment or replacement thereof, and the general law.

### **5. Access to information held**

#### The processing of personal information in the United Kingdom

- 5.1 You have the right under the Act to apply for copies of the personal information which Lloyd's holds in respect of you, and the right to prevent its use for direct marketing purposes. However you should be aware that Lloyd's may be exempt from disclosing certain types of personal information which it holds.
- 5.2 Enquiries relating to the use by Lloyd's and the disclosure to you of the personal information which Lloyd's holds relating to you should be addressed to Lloyd's Data Protection Officer at the following address:

Data Protection Officer  
Compliance  
Lloyd's of London  
One Lime Street  
London EC3M 7HA  
United Kingdom.

#### The processing of personal information in the territory in which the OMC is registered or approved

- 5.3 Enquiries relating to the use by the General Representative and the disclosure to you of the personal information which the General Representative holds relating to you should be addressed to the General Representative for the territory concerned.