



The Law Society of Northern Ireland (“the Law Society”)
The Solicitors Financial Services Regulations 2018
Insurance Distribution Directive (2016/97/EU)

APPLICATION FORM

APPLICATION FORM FOR INCLUSION ON THE LAW SOCIETY OF NORTHERN IRELAND’S REGISTER OF SOLICITORS UNDERTAKING INSURANCE DISTRIBUTION ACTIVITIES

REGULATIONS 10 and 14 Solicitors Financial Services Regulations 2018

If you do not return this Application Form to the Law Society, you will be deemed to have declared to the Law Society that your firm does not carry on Insurance Distribution Activities as an Ancillary Insurance Intermediary on behalf of a client for remuneration. A firm means a solicitor or solicitors carrying on business as a sole practitioner or in partnership or as an incorporated body.

If your application is successful you are required to authorise the Law Society to give the Financial Conduct Authority any information provided by you pursuant to Regulations 14.2 and 14.4 of the Solicitor Financial Services Regulations 2018.

In any event, the Law Society may remove a solicitor from the Financial Services Register without notice where there is evidence of breach of the Solicitors (Northern Ireland) Order 1976 as amended or Regulations made thereunder.

Please note that a check may be made against all Law Society records and such other records as the Law Society sees fit.

1. Full name of your firm:	
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2. Does your firm carry on Insurance Distribution Activities ('regulated activities') within the meaning of the Solicitors Financial Services Regulations 2018? Yes No
3. Is your firm directly authorised by the Financial Conduct Authority? Yes No
4. Confirm if you require your firm to be included in the Law Society's Financial Service Register to conduct Insurance Distribution Activities Yes No

5. Name the Principal within your firm who is responsible for Insurance Distribution Activities

Name	Roll No	Status	Job Description

6. Name each of the individual(s) within your firm who is involved in Insurance Distribution Activities to include:

- (i) Full name of each solicitor with Roll number and status;
- (ii) Full name of other employee(s) involved in insurance distribution activities, their job description and the Principal in your firm who is responsible for them;

Name	Roll No	Status	Job Description	Principal responsible

7. An original AccessNI Basic Disclosure Certificate is required for each relevant individual who is involved in Insurance Distribution Activities in your firm. These may be obtained on the relevant individual's application to AccessNI at the following link:

<https://www.nidirect.gov.uk/services/apply-online-basic-check>

Name	Original AccessNI Basic Disclosure Certificate is enclosed or proof that an application for a Certificate has been made is enclosed	If original AccessNI Basic Disclosure Certificate has been provided to the Society in a separate process please confirm the date of submission and the separate process

I confirm that each person in my firm who is involved in insurance distribution activities has a clean criminal record in relation to serious criminal offences linked to crimes against property or other criminal offences linked to crimes against property or other crimes related to financial activities and to provide an original AccessNI Basic Disclosure Certificate.

8. I confirm that each person in my firm who is involved in Insurance Distribution Activities has not previously been declared bankrupt and has been discharged from Bankruptcy by Order of the Court or by way of automatic discharge.

Name	Date of Bankruptcy	Date of Discharge from Bankruptcy	Proof of discharge from Bankruptcy

9. Where applicable, provide the identities of shareholders or members, whether legal or natural persons, that have a holding in the firm that exceeds 10% and the amount of these holdings;

Member/ Shareholder Name	Address	Holding %

10. Where applicable, provide the identities of persons who have close links to the firm (close links being defined in Article 2 (13)*) and

Name	Address	Relationship details

11. If applicable, provide information that such holdings or close links (as described in Regulation 14.2.4 and 14.2.5) do not prevent the effective exercise of the supervisory functions of the Society;

Declaration

I acknowledge I must inform the Law Society without undue delay of any change in the information provided under Regulation 14.2 whether before the grant of an application to the Law Society's Financial Services Register, during the application process, or after an application has been concluded, which the Law Society will review. The Law Society may raise such further enquiry as it deems appropriate.

If my firm's application for inclusion in the Law Society's Financial Services Register as an Ancillary Insurance Intermediary is successful, I authorise the Law Society to give the Financial Conduct Authority any information my firm provides pursuant to Regulations 14.2 and 14.4 of the Solicitors Financial Services Regulations 2018.

Dated

Signed _____ Principal

*'Close links' is defined as close links' means a situation in which two or more natural or legal persons are linked by control or participation, or a situation in which two or more natural or legal persons are permanently linked to one and the same person by a control relationship (Article 13.17 of Directive 2009/138/EC)

The Law Society will notify you, within three months of the receipt of a completed application, of the decision whether to include the firm in the Law Society's Financial Services Register as an Ancillary Insurance Intermediary. The Law Society may raise further queries upon receipt of an Application as it deems necessary, and an Application shall not be completed until such further queries have been concluded.

Return address:

The Law Society of Northern Ireland
Law Society House,
96 Victoria Street,
BELFAST
BT1 3GN
DX422NR BELFAST 1

THE LAW SOCIETY
OF NORTHERN IRELAND



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