

STOCKTRADE

AGENT REGISTRATION FORM



To enable you to use the Stocktrade Platform, please complete the information below and return a scanned copy to: support@stocktrade.co.uk.

1 AGENT CONTACT DETAILS

Firm Name*:

Network Membership (if applicable):

Firm Email Address*:

Firm FCA Authorisation Number*:

Firm Regulated Advice Status*:

Independent

Restricted

Firm Legal Entity Identifier (LEI)*:

Firm Address*:

Firm Postcode*:

Firm Phone Number*:

* Denotes a mandatory field.

2 AGENT BANK DETAILS**

Bank Name:

Address:

Postcode:

Bank Account Name:

Bank Account Number:

Sort Code*:

** For Network firms, payments will be made to the Network.

3 INDIVIDUAL CONTACT DETAILS

We will use these details, alongside those provided in Section 1, to communicate with the firm.

Name*:

FCA Regulated Individual Number:

Job Title*:

Email Address*:

Phone Number*:

Mobile Number*:

Address*:

Postcode*:

* Denotes a mandatory field.

4 DUE DILIGENCE

As part of our due diligence requirements, please confirm the following:

Does the Agent Firm have any associations with any unregulated businesses?

 Yes No

If yes, please provide the names of these businesses and the nature of the association:

Does the Agent Firm have any restricted permissions?

 Yes No

If yes, please provide information about these permissions:

Does the Agent Firm have permissions to advise on DB Transfers?

 Yes No

If yes, please provide information on how many DB transfers have been advised on in the last 6 months and how many of these were positive advice to transfer.

If yes, do you provide DB transfer advice for clients recommended from other firms who do not hold that permission?

If the Agent Firm would like to receive promotional emails about the Embark Group's products and services, which we think will be of interest, please tick this box.

The Agent Firm can unsubscribe from these communications at any time.

Details of our data protection policies are published in our Privacy Policy, a copy of which can be found on the Stocktrade website.

5 AGENT FIRM DECLARATION


This form must be signed by person(s) authorised to sign on behalf of the Agent Firm, i.e. a Director, sole trader or partner or authorised signatory as appropriate.

Please sign below, ensuring you have read and understood the Stocktrade Agent Terms of Business and the Agent Terms of Use. If you have any questions, please contact us on the details below.

Declaration

We/I confirm the above information is true and correct and agree to be bound by the Stocktrade Agent Terms of Business, which set out the terms and conditions upon which Stocktrade will provide services to us and our clients.

Signatory 1

Signed: 


Name:

Position:

FCA Regulated Individual Number:

Date: | | | | | |

Signatory 2 (if applicable)

Signed: 

Name:

Position:

FCA Regulated Individual Number:

Date: | | | | | |