

HSBC Life (UK) Limited Agency Application Form

Please complete this form to apply for a Life and Protection agency with HSBC Life (UK) Limited ('HSBC Life'). This form also includes a section to register individuals for the HSBC Life Protection Portal facility. This form must be completed by an authorised signatory. We'll primarily use the personal information provided on this form to process your application, and manage our relationship with you. Please answer all questions, missing answers will cause delay in due diligence checks and onboarding. For full details of how we use your information, and your rights in this respect, please see the HSBC Life Intermediary Privacy Notice on <https://www.life.hsbc.co.uk/privacy-notice/> or a copy can be supplied on request.

1. Business details

Full Legal/Registered Name

Trading Name
(if different from above)

Financial Services
Registration Number

Companies House Number

Business Entity

Limited

Partnership

Sole Trader

Limited Liability Partnership

Business Address

Post Code

Registered Address
(if different from above)

Post Code

Contact name and email
address (For correspondence,
formal notifications, and access to
business reports)

Risk and Compliance contact
name and email address
(Call retrieval and sales quality
controls)

Email address for commission
contact and early warning
report contact
(To view commission statements
on the online HSBC access portal)

Please confirm that the ownership/director details of the firm
are as recorded on Companies House

Yes

No

If no, please provide details
of any changes

2. Sole Traders and Partnership Business details

Please give name(s), date(s) of birth and state all Sole Trader/Partners nationality. Please provide proof of your identity for all Sole Trader/Partners; e.g. passport. Please note that each Partner must provide identification.

When providing us with information about these individuals, please ensure you direct them to our intermediary privacy notice on <https://www.life.hsbc.co.uk/privacy-notice/> or a copy can be supplied on request.

	Name	Nationality	Date of birth
Sole Trader/Partner 1	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Partner 2	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Partner 3	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Partner 4	<input type="text"/>	<input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

3. About your Business.

The following questions apply to the firm (including sole traders or individual partners in a partnership where applicable) which is being registered with HSBC Life. Where the answer is 'yes', please also provide further details.

- a. Are you now or have you ever been subject to legal proceedings, whether criminal or civil? Please provide details or confirm "none"

- b. Please tell us about any reportable regulatory breaches/events in the past 5 years. Please provide details or confirm "none"

- c. Do you have a Training and Competency Scheme?

Yes

No

- d. Is your firm compliant with SYSC 19F.2 IDD remuneration incentives? For guidance, please refer to FCA handbook

Yes

No

- e. Who is ultimately responsible for ensuring that the firm adheres to Regulatory and Financial Crime Compliance requirements?

- f. Have you ever had an agency/terms of business/indemnity commission facility refused or withdrawn?

Yes

No

If yes please provide details.

- g. How many protection policies do you anticipate selling in the next 12 months; including any Appointed Representatives ("ARs") expected to on-board with HSBC Life?

h. What percentage of your overall company income is generated from protection sales?

i. Do you have appropriate quality assurance/sales quality processes in place (including without limitation adequate scripting and/or call flows)?

Yes No

j. What products do you offer (tick all that apply)

Protection Mortgages Pensions Investments

k. Do you offer protection on a non-advised basis?

Yes No

If so, what proportion of your business is non-advised?

l. What proportion of your business is telephone based?

4. Bank account details for receipt of commission

Business bank details

Sort Code	<input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/> <input type="text"/>	A/C Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Account Name	<input type="text"/>		
Bank Name	<input type="text"/>		
Postcode	<input type="text"/>		

5. HSBC Extranet registration details

Please provide details of each individual to be given access to the HSBC Life Protection Portal and state whether they need adviser or admin access. This will enable us to provide log-in details for each person. **Please note we require at least one person to have admin access so they are able to view reports, such as early warning reports & commission statements.**

Please tick the access level required (adviser, admin or both) as appropriate. If left blank, we will provide adviser access as default.

When providing us with information about these individuals, please ensure you direct them to our Intermediary Privacy Notice on <https://www.life.hsbc.co.uk/privacy-notice/> (or a copy can be supplied on request).

Salutation	Full Name	Telephone Number	Email Address	Job Title	Adviser	Admin	Both
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Which protection portals do you use?

Portal

UnderwriteMe	<input type="checkbox"/>
iPipeline	<input type="checkbox"/>
Iress	<input type="checkbox"/>
Weblines	<input type="checkbox"/>
Life Quote	<input type="checkbox"/>

7. Commission

If you are a member of a protection club, please state which one you would like your HSBC Agency to be aligned too.

Commission is paid in accordance with the HSBC Life Terms of Business for Intermediaries and the Commission Guide.

Where you submit business through any panel arrangement operated by a mortgage/protection club or similar, you acknowledge that HSBC Life may pay commission directly to that mortgage/protection club in respect of such business and that you shall have no rights in respect of such commission.

If applying for indemnity commission, a personal guarantee may be required.

8. Acceptance of the Terms of Business

Please check the details you have entered in this Application Form are correct to the best of your knowledge.

By completing this Application Form, you represent and warrant that you have the necessary authority and capacity, on behalf of your intermediary firm, to enter into a contract with HSBC Life.

A contract will not be formed between us unless and until we notify you in writing that your application has been accepted, at which point you will be bound by the HSBC Life Terms of Business for Intermediaries, as amended from time to time.

I, as an authorised signatory for the firm, acknowledge the HSBC Life Terms of Business for Intermediaries, as amended from time to time and confirm acceptance of the conditions therein.

Signature

Date

D	D	M	M	Y	Y	Y	Y
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Name in CAPITAL LETTERS

Position

Completed forms (or a scanned copy) should be submitted via email to:

For HSBC Life Protection agencyonboarding@hsbc.co.uk

Should you have any queries, please do not hesitate to contact us on: Telephone 03456 039164

Phone lines are open Monday-Friday, 9am-5.30pm, except holidays.

To help us continually improve our service and in the interests of security, we may monitor and/or record your communications with us.

HSBC Life (UK) Limited is authorised by the Prudential Regulation Authority and regulated by the Financial Conduct Authority and the Prudential Regulation Authority. Registered in England (United Kingdom) number 00088695. Registered Office: 8 Canada Square, London E14 5HQ.

Our Financial Services Register number is 133435. HSBC Life (UK) Limited is a member of the Association of British Insurers.