

Company Name:	
Primary Contact:	
Secondary Contact:	
Primary place of business:	
Email:	

Regulated Status and Regulator Body:	
Relevant Registration Number:	
ICO Registration Number:	
Please confirm your relationship with possible introductions:	
Please confirm you have a positive opt-in from the introducer:	Verbal / Written / Both
Will you only direct clients to web site	Yes / No

Exempt Introducer Due Diligence Questionnaire continued..

*Will you on occasion wish to receive the introducer Fee:	Yes / No
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***If yes please read the Exempt Introducer definition and answer the questions A to D.**

Definition

“**Exempt Introducer**” means an individual or corporate body that is exempted from the need to be authorised under article 12 of the Compensation (Exemptions) Order 2007. In summary, an exempt introducer is a person who refers details of potential claims or potential claimants to an authorised business or to a legal practitioner or firm of legal practitioners where the following conditions are met.

Questions

a) the service is incidental to his/her main business	Yes	No
b) of the cases that the introducer refers to such persons, he/she is paid, in money or money’s worth, for no more than 25 cases per calendar quarter;	Yes	No
c) he/she provides no other regulated claims management service;	Yes	No
d) where cases are referred to authorised persons the authorised persons accept responsibility for ensuring that he complies with these rules.	Yes	No

T 0203 950 7423 E info@simpleclaimsassistance.co.uk
www.simpleclaimsassistance.co.uk

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