

# Corporate Chartered Title Application Form

## Section 1 – Your corporate details

Name of Company/  
Partnership

Head-office address

Postcode  Tel number

Company Registration  
No. (where applicable)

Please confirm the total number of offices (on successful application a certificate will be provided for display at each)

**Chartered title for which your company/partnership is applying** (please tick):

Chartered Insurance Brokers  Chartered Financial Planners

## Section 2 – Personnel details

### A. Board member information

Details of all Executive Directors/Partners at the time of application must be provided. These can be entered below or continued/submitted on a separate sheet. Please take care to include all the required information.

Name	Job title	Chartered title held Include name of awarding body where non-CII Chartered title held	CII Permanent Identity Number (PIN) Complete where a CII Chartered title is held	Membership status Enter as appropriate: • CII/PFS member • CII/PFS membership pending • non-member

#### Notes:

- A minimum of 50% of Executive Directors/Partners must be Chartered title-holders in their own right.
- At least one Executive Director/Partner must personally hold the CII Chartered title being applied for e.g. Chartered Insurance Broker or Chartered Financial Planner.
- The CII will recognise Chartered titles from other awarding bodies as comparable to the CII's individual Chartered titles subject to:
  - holders of non-CII Chartered titles fulfilling a functional role within the Company/Partnership which is not concerned with the company's main purpose e.g. a Chartered Accountant in an Insurance Brokers/IFA firm will be considered providing he or she is acting for the company as a Finance Director (by whatever name) and not solely as a broker/financial adviser; and
  - the awarding Chartered body concerned having a Code of Conduct (or code of Ethics and Conduct) comparable to that of the CII. A listing of the Chartered titles which the CII will automatically recognise as equivalent can be found at [www.cii.co.uk/chartered](http://www.cii.co.uk/chartered) – other organisations will be considered on application.



## D. Responsible Member

One of the Executive Directors/Partners at your firm must take on the role of **Responsible Member** (to assume this role they must personally hold the Chartered title being applied for). This person will have responsibility for submitting the firm's application for acceptance and for annual renewal.

<b>Name</b>

**Note:** In order to maintain the consent to use the Chartered title granted, the company or firm must replace an outgoing Responsible Member without delay. Any such changes in Responsible Member must be notified to the CII immediately. A newly-appointed Responsible Member will be required to sign a declaration in similar form to that overleaf.

## Section 3 – Supporting documentation to be provided

Please enclose a copy of the Company's/Partnership's previous year's audited accounts with your completed application.

### Notes:

- Whilst 12 months accounts are a minimum, we will consider accounts submitted in other forms when audited accounts are not a statutory or regulatory requirement.
- If audited accounts are not a statutory/regulatory requirement for a small company we will accept accounts prepared by their own accountant for submission to Companies House. The accountant however will need to be a qualified by a recognised accountancy body.
- We do accept applications from newly formed firms where no accounts are available, providing the company is authorized by the FSA and subject to an undertaking that the first year's accounts are submitted as soon as produced.

## Section 4 – Total Fee payable and method of payment

(See the section in the Chartered leaflet titled 'The cost of becoming Chartered' for details of the applicable fee)

### Methods of payment

COL Account: If you have previously signed an invoicing agreement with the CII please enter your account number here

Signed by authorised representative  
of the account

Print

Cheque: payable to the Chartered Insurance Institute, and drawn on a UK bank, enclosed.  
The name of the applying firm must be written on the back of the cheque.

Credit/debit card: Please debit my/our account with the total cost of the goods and services ordered on this form, according to the CII's prices at the time of processing.

Type of card (please tick)  VISA  MASTERCARD  DELTA  SWITCH/MAESTRO  SOLO

Valid from\*

Expiry date\*

Issue number\*

Card number\*

\*Please complete according to the information on your credit/debit card.

Cardholder's name and address if different from personal details


Cardholder's signature

Date

## Declaration by the Responsible Member

I hereby declare that, to the best of my knowledge, the information provided in this application form is current and accurate at the date of application below. I further declare that as Responsible Member I am aware that it is my duty to submit such information and returns in a timely manner, as requested by the CII from time to time, in order to maintain or renew the application for the CII's consent to use the company's Chartered title; that this future information must be current and accurate to the best of my knowledge and that at the date of this application and all subsequent applications and renewals, my personal Continuing Professional Development (CPD) is and will be current, up-to-date and complies with the requirements of the CII CPD scheme in all respects.

Having made due enquiry I certify:

- a) that the individuals comprising those notified to the CII under this scheme, have complied with their respective CPD obligations including where applicable the CPD requirements of other Chartered bodies.
- b) that I have no reason to believe that an individual notified to the CII under this scheme has committed a breach of the CII's Code of Ethics and Conduct.

I understand that all Chartered titles conferred by the CII constitute the intellectual property of the CII and are protected by registered trademark. The use of such Chartered titles must comply in all respects and at all times with such rules, regulations and guidelines as issued from time to time by the CII. I further understand that breaches of the rules, regulations and guidelines may have disciplinary consequences for me personally as Responsible Member and result in the withdrawal of the CII's consent to use the Chartered title concerned.

Signed

Print

Date

### Submitting the completed Application Form

Please return your completed form to the following address together with payment to The Chartered Insurance Institute of the annual fee:

**Customer Service**

**42-48 High Road**

**South Woodford**

**London**

**E18 2JP**

**tel: +44 (0)20 8989 8464**

**fax: +44 (0)20 8530 3052**

**email: [customer.serv@cii.co.uk](mailto:customer.serv@cii.co.uk)**

Should you have any enquiries regarding your application you can contact CII Customer Service on the contact details set out above.

# Terms and conditions relating to entry

## 1. Rules for applying firms

### a. Limited Liability Companies, Partnerships below the 100% level outlined opposite (including LLPs but excluding “Divisions”) – Chartered title holders being Executive Directors or Partners.

At least **50% of the company’s Executive Directors** must have the equivalent individual **Chartered title being sought by the company**. This will be interpreted to include 50% of partners in a partnership should it fail the condition in Note b. opposite. One of the Executive Directors or Partners must hold the relevant CII Chartered title (i.e. the same as the one being applied for) and an individual meeting the same criteria must take on the role of Responsible Member (see 4 overleaf).

**The remaining 50% requirement may be fulfilled through individuals holding Chartered titles of other bodies providing:**

- the title held is directly relevant to the individual’s principal area of work which is not concerned with the company’s main purpose. For example the ICAEW Chartered Accountant title being held by the Finance Director or the CILA Chartered Loss Adjuster title being held by someone with primary responsibility for claims negotiation; and
- the awarding Chartered body concerned has a Code of Conduct (or Code of Ethics and Conduct) comparable to that of the CII. A listing of the Chartered titles which the CII will automatically recognise as equivalent can be found at [www.cii.co.uk](http://www.cii.co.uk) – other organisations will be considered on application.

Divisions cannot be considered for a Chartered title.

### b. Partnerships (100% of Partners Chartered title holders as opposed to Limited Liability Partnerships LLPs or “Divisions” as covered opposite)

Where 100% of the partners are Chartered title-holders, holding the same Chartered title as the firm is to be described (e.g. all must hold Chartered Financial Planner in a firm of Chartered Financial Planners or all must hold Chartered Insurance Broker in a firm of Chartered Insurance Brokers) then that partnership may describe itself as a firm of Chartered Financial Planners or Chartered Insurance Brokers (or any of the other Chartered titles awarded by the CII).

If at any time the number of Chartered title holders, holding the same title, falls below 100% the firm must cease to use the description immediately.

Whilst there is no requirement to formally apply for the use of the Chartered title concerned under this scheme, it will be necessary nevertheless to register with the CII by completion of this form (completing Sections 1 and 2 a., b., d. and the Declaration only) that a partnership intends to use the designation concerned. The registration request must be completed by a partner

appointed to be the Responsible Member. That partner will be subject to the Disciplinary Procedures outlined in point 5 in so far as they apply. The Responsible Member will be required to complete an annual declaration of continued compliance with the 100% rule and of the continuing compliance with the CII’s CPD requirements. The usage of the Chartered title concerned is subject to such direction as to the accepted uses and style, the CII lay down from time to time. The CII is the registered trademark owner of the titles Chartered Insurance Brokers and Chartered Financial Planners. Requests should be sent to Customer Service at the address detailed at the end of this form.

## 2. Customer-Facing Staff

**At least 90% of the customer-facing staff must be CII members.**

For guidance, we would expect all staff acting in an advisory capacity to be members. Beyond that, any member of staff that has customer contact should be included, such as para-planners, account-handlers and personal assistants who regularly liaise with clients. Typically, however, this would not include accountancy personnel, receptionists or the like, though it remains at the firm’s discretion as to whether to include these.

The 90% rule is a practical guide on membership requirements. By requiring, as a minimum, only 90% of customer-facing staff to be members, it enables firms to exclude staff whose customer-facing activities are peripheral to the firm’s business activities. It also provides a degree of protection in respect of natural fluctuations in staff numbers, which could otherwise lead to a contravention of the membership requirement.

## 3. Application of the Chartered title

The only permitted stylistic representation of Chartered titles is as follows:

- XYZ Ltd, Chartered [Insurance Brokers/Financial Planners]; or
- X,Y & Co, Chartered [Insurance Brokers/Financial Planners]; or
- X and Y, Chartered [Insurance Brokers/Financial Planners]; or
- X,Y & Z, Chartered [Insurance Brokers/Financial Planners]

Under no circumstances are Chartered titles to be shortened or lengthened e.g. Chartered Financial Planners must always be written in full as Chartered Financial Planners **never** as CFP or **XYX Ltd Chartered Financial Planners Ltd**.

Full details relating to the use of a Chartered title and corresponding logo can be viewed online at [www.cii.co.uk/chartered](http://www.cii.co.uk/chartered)

#### **4. Responsible Member**

The Responsible Member is the nominated Executive Director/Partner (or Designated Member in an LLP) who undertakes to complete the initial application; certify that the statements it contains are accurate to the best of his/her knowledge; be the on-going point of contact for Chartered title purposes; and undertake that changes affecting Authorised Firm status will be promptly notified to CII Customer Service. Finally he or she will undertake completion and submission of any annual declaration renewal data required.

At least one Executive Director/Partner of the limited liability company or what is known as 'Designated Member' under the Limited Liability Partnerships Act 2000 must have the Chartered title being sought by the company or LLP.

#### **5. Disciplinary procedures**

The Disciplinary procedures are contained in the Laws of the CII (defined as the Charter, Bye-laws, Regulations and Codes or other requirements of the Institute from time to time published). The code of Ethics and Conduct and the terms and conditions relating to entry are especially relevant in this context. These may be viewed at [www.cii.co.uk](http://www.cii.co.uk) in the section headed 'About the CII'.

The Responsible Member is responsible for compliance with the requirements of this scheme and will be liable to disciplinary sanctions where a disciplinary panel has found there to be a relevant breach to the laws of the CII. It should be noted that where such a breach has been held, the CII reserve the right to withdraw from the company or partnership, the Chartered title conferred.

#### **6. Corporate Chartered Title Directory**

On being granted the Chartered title applied for details of the company, partnership or limited liability partnership will appear in a Directory to be published for public reference.