

MORTGAGE CLUB DETAILS	
Company name	
Director name	
<p><b>Data Protection</b></p> <ul style="list-style-type: none"> <li>All customer information is kept in a lockable cabinet</li> <li>Computers that hold customer data are locked when unattended</li> <li>Telephone calls are recorded</li> <li>Customer information is not passed to a third party unless authorised by an applicant</li> </ul> <p><b>Financial Crime</b></p> <ul style="list-style-type: none"> <li>It is your responsibility to do what you can to prevent your business and Shawbrook Bank being exposed to financial crime</li> </ul> <p><b>Compliance framework within your business</b></p> <p><input type="checkbox"/> I/ <input type="checkbox"/> We can confirm that we hold the following policies detailed below:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Audit and monitoring policy</li> <li><input type="checkbox"/> Compliance policy</li> <li><input type="checkbox"/> Complaint handling policy</li> <li><input type="checkbox"/> Conflicts of interest policy</li> <li><input type="checkbox"/> Data protection policy</li> </ul> <p><input type="checkbox"/> I/ <input type="checkbox"/> We can confirm that we have the following procedures in place:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Product process</li> <li><input type="checkbox"/> Quality control procedures</li> <li><input type="checkbox"/> Monitoring procedures</li> <li><input type="checkbox"/> Business submitted to Shawbrook Bank has been written in line with and with due consideration to the FCA's 11 Principals for Business</li> </ul> <p><input type="checkbox"/> I/ <input type="checkbox"/> We can confirm that the above policies and procedures can be viewed on any site.</p>	
If any of the above is not in place, please provide further comments below	
<b>By signing below, you are confirming that the above policies and procedures are currently in place</b>	
Signature*	Date
Print name*	
For and on behalf of	

\* To be signed by a Director