

NACFB DECLARATION

Assessment conducted by	Matt Robertson
Assessor's position	Assurance Officer
Date of assessment	20/05/2024

ADC Financial Ltd

is an approved Member of the

National Association of Commercial Finance Brokers (NACFB)

Please find below information regarding the NACFB Member, their business, and key regulatory elements:

BUSINESS INFORMATION

Trading name	N/A				
Trading address	Squirrels Drey Woodfield Road Stevenage Hertfordshire SG1 4BP				
Companies House number	6203719				
Professional Indemnity Insurance held?	Yes	✓	No		Not required

PERSONNEL

Contact name	Amanda De Courcy				
Job title	Director				
Email address	amanda@adcfinancial.co.uk				
Telephone number	014382 13781				

APPOINTED REPRESENTATIVES (ARs)

Number of Appointed Representatives (ARs)	Number of Introducer Appointed Representatives (IARs)
0	0

AR CHECKLIST

The Principal Firm conducts appropriate checks and assessments prior to onboarding any AR	NA
The Principal Firm has an appropriate AR agreement in place	NA
The Principal Firm conducts appropriate monitoring of all AR relationships	NA
The Principal Firm ensures the AR adopts appropriate policies and procedures of the Principal Firm	NA

REGULATORY INFORMATION

FCA firm reference number (FRN)	741237		
ICO registration number	ZA040979		
All regulatory reporting and standing data are up to date	✓		

POLICIES & PROCEDURES

Anti-Bribery and Corruption	✓
Anti-Money Laundering and Financial Crime	✓
Complaints Handling	✓
Data Protection	✓
Financial Promotion	✓
Treating Customers Fairly	✓
Vulnerable Customer	✓

COMPLAINTS

Number of complaints received in last 12 months	0	Number of complaints upheld or partially upheld	0
Number of complaints referred to a complaints resolution service (CRS)	0	Number of decisions overturned by a CRS within the last 12 months	0

TRAINING & COMPETENCY

Appropriate training in place, with appraisal-led competency assessments conducted at least annually	✓
Appropriate policies and procedures in place to identify, manage, monitor, and report complaints	✓

The above information is accurate as of the date that the NACFB Member undertook an Assurance Consultation. Further business and regulatory information should be requested from the firm directly.