

PROVISION OF SERVICES REGULATIONS SUMMARY SHEET FOR
EVEN KEEL FINANCIAL LIMITED

The following information is designed to draw the attention of interested parties to the information required to be disclosed by the Provision of Services Regulations 2009.

Licensing Body

Dorothy Brown is licensed to act as an Insolvency Practitioner in the United Kingdom by the ICAEW and is a member of this professional body.

Rules Governing Actions

All IPs are bound by the rules of their professional body, including any that relate specifically to insolvency. The rules of the professional body that licences Dorothy Brown can be found at <http://www.icaew.com/en/members/regulations-standards-and-guidance/insolvency/insolvency-regulations-and-guidance>. In addition, IPs are bound by the Statements of Insolvency Practice (SIPs), details of which can be found at <https://www.r3.org.uk/what-we-do/publications/professional/statements-of-insolvency-practice>.

Ethics

All IPs are required to comply with the Insolvency Code of Ethics and a copy of the Code can be found at <http://www.icaew.com/en/technical/insolvency/insolvency-regulations-and-standards>.

Complaints

At Even Keel Financial Limited we always strive to provide a professional and efficient service. However, we recognise that it is in the nature of insolvency proceedings for disputes to arise from time to time. As such, should you have any comments or complaints regarding the administration of a particular case then in the first instance you should contact the IP acting as office holder.

If you consider that the IP has not dealt with your comments or complaint appropriately you should then put details of your concerns in writing to our complaints officer Karen Stewart, 2 Marlborough Terrace, Derry BT48 9AL. This will then formally invoke our complaints procedure and we will endeavour to deal with your complaint under the supervision of a senior partner unconnected with the appointment.

Most disputes can be resolved amicably either through the provision of further information or following negotiations. However, in the event that you have exhausted our complaints procedure and you are not satisfied that your complaint has been resolved or dealt with appropriately, you may complain to the regulatory body that licences the insolvency practitioner concerned. Any such complaints should be addressed to The Insolvency Service, IP Complaints, 3rd Floor, 1 City Walk, Leeds, LS11 9DA, and you can make a submission using an on-line form available at www.gov.uk/complain-about-insolvency-practitioner; or you can email insolvency.enquiryline@insolvency.gsi.gov.uk; or you may phone 0300 678 0015. Information on the call charges that apply is available at <https://www.gov.uk/call-charges>.

Even Keel Financial Limited is regulated by The Financial Conduct Authority, reference number 718204, to provide regulated activities. Further details are held on the Consumer Credit Register, which can be found at <http://www.fca.org.uk/firms/systems-reporting/consumer-credit-register> Complaints relating to matters under our reference number can be referred to The Financial Ombudsman Service, Exchange Tower, London E14 9SR and you may be able to access their Alternative Dispute Resolution (ADR) system. More information can be found at <http://financial-ombudsman.org.uk/consumer/complaints.htm>.

Professional Indemnity Insurance

Even Keel Financial Limited's Professional Indemnity Insurance is provided by CNA Insurance Company Limited, of 13th Floor 20 Fenchurch Street, London EC3M 3BY. This professional indemnity insurance provides worldwide coverage [excluding professional business carried out from an office in the United States of America or Canada, and any action for a claim bought in any court in the United States of America or Canada].

VAT

Even Keel Financial Limited is registered for VAT under registration no. 183576573.

Bribery Act 2010

Even Keel Financial Limited is committed to applying the highest standards of ethical conduct and integrity in its business activities. Every employee and individual acting on Even Keel Financial Limited's behalf is responsible for maintaining our reputation and for conducting company business honestly and professionally.

Even Keel Financial Limited take a zero-tolerance approach to bribery and corruption and are committed to acting professionally, fairly and with integrity in all our business dealings and relationships wherever we operate.

Even Keel Financial Limited requires all those who are associated with it to observe the highest standards of impartiality, integrity and objectivity.

Even Keel Financial Limited prohibits anyone acting on its behalf from:

- bribing another person. A bribe includes the offering, promising or giving of any financial or other type of advantage;
- accepting a bribe. This includes requesting, agreeing to receive or accepting any financial, or another kind of advantage;
- bribing a foreign public official; and
- condoning the offering or acceptance of bribes.

Even Keel Financial Limited will:

- avoid doing business with others who do not accept our values and who may harm our reputation;
- maintain processes, procedures and records that limit the risk of direct or indirect bribery;
- promote awareness of this policy amongst its staff, those acting on its behalf and entities with which it has any commercial dealings;

- investigate all instances of alleged bribery, and will assist the police, and other authorities when appropriate, in any resultant prosecutions. In addition, disciplinary action will be considered against individual members of staff;
- review this policy regularly and update it when necessary.