

PROVISION OF SERVICES REGULATIONS SUMMARY SHEET FOR ANTONY BATTY & COMPANY LTD

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

The following of the Firm's Insolvency Practitioners: William Antony Batty (8111), Hugh Jesseman (9480), Claire Howell (23610) & James Stares (11490) are licensed to act as Insolvency Practitioners in the United Kingdom by the ICAEW. While Jeff Brenner (9301) is licensed to act as Insolvency Practitioners in the United Kingdom by the IPA.

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 Antony Batty & Company LTD's IPs can be found - www.icaew.com/regulation/insolvency/sips-regulations-and-guidance. In addition, IPs are bound by the Statements of Insolvency Practice (SIPs), details of which can be found at www.r3.org.uk/technical-library/england-wales/sips/.

Ethics

All IPs are required to comply with the Insolvency Code of Ethics and a copy of the Code can be found at www.icaew.com/regulation/insolvency/sips-regulations-and-guidance.

Bribery Act 2010

The Firm complies with the provisions of the Bribery Act 2010. The Firm is committed to carrying on its business fairly, openly and honestly. The Firm's culture is one where bribery is never acceptable.

Complaints

At Antony Batty & Company LLP 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, Antony Batty at 3 Field Court, Gray's Inn, London, WC1R 5EF. 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.gov.uk; or you may phone 0300 678 0015 – details of the current call charge rates can be found at <https://www.gov.uk/call-charges>.

Professional Indemnity Insurance

Antony Batty & Company LTD's Professional Indemnity Insurance is provided by Travelers Insurance Company Limited 61-63 London Road, Redhill, Surrey, RH1 1NA. 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

Antony Batty & Company LTD is registered for VAT under registration no. 125 4565 19.

Bribery Act 2010

Antony Batty & Company LTD is committed to applying the highest standards of ethical conduct and integrity in its business activities. Every employee and individual acting on Antony Batty & Company LTD's behalf is responsible for maintaining our reputation and for conducting company business honestly and professionally.

Antony Batty & Company LTD 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.

Antony Batty & Company LTD requires all those who are associated with it to observe the highest standards of impartiality, integrity and objectivity.

Antony Batty & Company LTD 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.

Antony Batty & Company LTD 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.