



CORPORATE INFORMATION PACK





SMABTP Germany GmbH is a German Managing General Agent (MGA)

As an underwriting agency, we provide tailored insurance solutions through an intelligent, risk-based underwriting approach on behalf of our risk carrier SMA SA. Read more about our carrier on our website.

SMABTP GE focuses on tailor-made insurance products and services to cover Construction and Engineering as well as Casualty risks, and progressively Transport, Marine and Energy insurance.

SMABTP GE is a subdivision of DUPI MGA Invest B.V., which is part of DUPI GROUP B.V. The Group's headquarter is in Rotterdam, and also has offices in Amsterdam, Copenhagen and Paris.

SMABTP GE is often asked to complete "Know Your Customer" forms and tender documents requesting information about the company. This Corporate Information Pack contains standard company information that SMABTP GE is prepared to release. It includes information about our staff, management, business and finance.

It is imperative that personal data is not shared with anyone outside SMABTP GE without the written consent of the person(s) concerned.

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CORPORATE

1. Full legal name

SMABTP Germany GmbH

2. Trading names

n.a.

3. Has the statutory name changed in the past three years?

No.

4. Registered and trading address

Im Zollhafen 24
50678 Köln
Germany

5. Registration number

HRB 115470

6. DUNS number

31-556-3724

7. Website address

smabtp.de

8. Telephone number

+49 221 47 44 88 0

9. Email contact

info@smabtp.de

10. Status of company / place of incorporation

Gesellschaft mit beschränkter Haftung (GmbH) / Private Limited Liability Company / Germany.

11. Ownership

SMABTP GE is owned 100% by DUPI MGA Invest B.V., which is 100% owned by DUPI Group B.V.

12. Shareholdings / UBO

Available on request via
compliance@smabtp.de

13. Date of incorporation SMABTP GE

April 6th 2023

14. (Statutory) Directors of SMABTP GE

Director	Title
O. Fröschen	Managing Director Geschäftsführer

15. Career resume & CV's for senior staff / directors

SMABTP GE does not release CV's or other personal details of directors or employees. Please check our website for individual's title and contact details.

16. Regulatory status

Authorised and regulated by the in respect to activities as a MGA (underwriting agent) by the Industrie- und Handelskammer Köln [IHK].

17. Reference number

Registered in the insurance intermediary register (www.vermittlerregister.info) under number D-KWVB-TXJXR-26

18. Handling premium

SMABTP GE keeps premium accounts in different currencies and separates them from the claims account and the general expenses account.

19. SMABTP GE can passport into the following countries under EU Freedom of Services:

- Austria
- Belgium
- Bulgaria
- Croatia
- Cyprus
- Czech Republic
- Denmark
- Estonia
- Finland
- France
- Greece
- Hungary
- Iceland
- Ireland
- Italy
- Latvia
- Liechtenstein
- Lithuania
- Luxembourg
- Malta
- Netherlands
- Norway
- Poland
- Portugal
- Romania
- Slovenia
- Slovakia
- Spain
- Sweden

20. Number of staff employed at October 2023

4

21. Handling complaints

For Complaints related to Commercial Insurance, complaints are to be sent to SMABTP GE.

SMABTP GE will handle incoming complaints.
 Mail to: compliance@smabtp.de

22. FATCA Compliance

FATCA status: nonqualified intermediary / active NFFE W-8IMY form available on request via DUPI Group Compliance Officer.

PROFESSIONAL INDEMNITY COVER

23. Primary insurer's name

Liberty Mutual Insurance 50%
Allianz: 50%

24. Insurance inception & expiration date

Inception: 01-01-2023
Expiry: 31-12-2023

25. Aggregate limit of cover

€ 10.000.000

26. Limit of cover for each and every claim

€ 10.000.000

27. Does our PI cover include dishonesty of employees?

Yes.





FINANCE

28. Name of SMABTP GE's bank

ABN AMRO Bank N.V. (Frankfurt Branch)

29. Bank address

Mainzer Landstraße 1
60329 Frankfurt
Germany

30. Status of accounts

Insurer and client monies are held in
Non Statutory Client Bank Accounts.

31. Are bank accounts independently audited

Yes, on an annual basis.

32. Bank accounts

Company account SMABTP Germany GmbH

IBAN

EURO: DE20 5032 4000 3000 0306 38

SWIFT: FTSBDEFA

Client monies account SMABTP Germany GmbH

IBAN

EURO: DE98 5032 4000 3000 0308 83

USD: DE64 5032 4000 3000 0308 16

GBP: DE42 5032 4000 3000 0308 42

NOK: DE20 5032 4000 3000 0308 32

DKK: DE95 5032 4000 3000 0308 40

SWIFT: FTSBDEFA

33. Subsidiaries

SMABTP GE has no subsidiaries

34. Handling client money

All client monies are held in Non Statutory
Client Bank Accounts in order to secure that
client monies and corporate monies are not
co-mingled.

35. VAT registration number

DE 362435548

36. Versicherungssteuernummer

810/V20000118015

ADMINISTRATIVE SYSTEMS

37. SMABTP GE has procedures and systems in place to monitor aged and outstanding debt

As per DUPI Group policy and procedures.

38. Aged debt procedure

Our current aged debt procedure implies daily review; daily account reconciliation.

39. IT Systems

1. Navigator (custom made policy- and claims administration system developed by DUPI Groups' in-house software company FrameStory Software B.V.);
2. Citrix (in combination with Windows Terminal Server);

40. Business continuity

SMABTP GE's system backups consist of (business) daily backups. Each backup is stored on a central backup system, and subsequently replicated to an off-site location. All SMABTP GE's staff have secured remote access to the office systems.

TRADE BODIES / OTHER REGULATORY

41. Are we a member of any insurance industry trade association or professional organization?

No.

42. Are we in compliance with the relevant jurisdictions' data privacy regulation?

Yes.

43. Does SMABTP GE has up to date written policies/procedures outlining its systems and controls for financial crime mitigation covering?

Yes.

1. Financial Crime Compliance Manual (including AML, International Sanctions, Anti Bribery and Corruption);
2. Fraud Protocol;
3. Sanction Regulations Procedures Protocol;
4. Code of Conduct.

DECLARATION

I confirm that to the best of my knowledge and belief the information provided in this document and any attachments hereto is correct and that I have taken reasonable steps to ensure that this is the case.

O. Fröschen
Managing Director

