

Northpoint Associates Limited

Important Regulatory Information – August 2024

1. Provision of Services Regulations

Licensing Body

Greg Whitehead is licensed to act and take appointments as an Insolvency Practitioner (IP) in the United Kingdom by the Insolvency Practitioners Association (“IPA”). His IP Number is 8827.

Greg Whitehead is a Chartered Certified Accountant with ACCA. Northpoint is a member of ACCA.

Linda Farish and Emily Mitchell are licensed insolvency practitioner with the IPA but do not take insolvency appointments.

Rules Governing Actions

IPs are bound by the rules of their professional body, including any that relate specifically to insolvency. See www.insolvency-practitioners.org.uk.

IPs are bound by Statements of Insolvency Practice (SIPs). See www.insolvency-practitioners.org.uk.

Ethics

IPs must comply with the Insolvency Code of Ethics. See www.insolvency-practitioners.org.uk.

Complaints

We try to provide a professional and efficient service. 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 Greg Whitehead as office holder.

If you consider that Greg Whitehead has not dealt with your comments or complaint appropriately you should then put details of your concerns in writing to Northpoint. This will then formally invoke our complaints procedure and we will endeavour to deal with your complaint formally, with an option to deal with it through an Insolvency Practitioner unconnected to the case in question.

Most disputes can be resolved amicably through the provision of further information or 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.

Complaints should be addressed to The Insolvency Service, IP Complaints, 3rd Floor, 1 City Walk, Leeds, LS11 9DA. Or make a submission at www.gov.uk/complain-about-insolvency-practitioner. Or email insolvency.enquiryline@insolvency.gsi.gov.uk. Or call 0300 678 0015. Information on call charges at <https://www.gov.uk/call-charges>.

Professional Indemnity Insurance

Northpoint's Professional Indemnity Insurance is provided by Omnyy LLP, 9th Floor, John Stow House, 18 Bevis Marks, London EC3A 7JB.

VAT

Northpoint VAT registration Number 842 5362 31.

Bribery Act 2010

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

Northpoint 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.

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

Northpoint Associates 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.

Northpoint 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.

2. Privacy Policy

Purpose of this Notice

This notice describes how Northpoint Associates Limited and Greg Whitehead collect and use personal data about you, in accordance with the General Data Protection Regulation (GDPR), the Data Protection Act [1998 OR 2018] and any other national implementing laws, regulations and secondary legislation, as amended or updated from time to time, in the UK ('Data Protection Legislation').

About Us

Northpoint Associates Limited ("Northpoint", "we", "us", "our" and "ours") is a Professional Advisory Firm. We are registered in England and Wales as a limited liability company under number: 05448873 and our registered office is at Cobalt Business Exchange, Cobalt Park Way, Wallsend, Newcastle upon Tyne, NE28 9NZ.

For the purpose of the Data Protection Legislation and this notice, we are the 'data controller'. This means that we are responsible for deciding how we hold and use personal data. We are required under the Data Protection Legislation to notify you of information contained in this privacy notice.

We have appointed a data protection manager. Our data protection manager is our Data Protection Point of Contact and is responsible for assisting with enquiries in relation to this privacy notice or our treatment of your personal data. Should you wish to contact our Data Protection Point of Contact you can do so using the contact details below.

How we may collect your personal data

We obtain personal data about you, for example, when:

- you request a proposal from us in respect of the services we provide;
- you/your employer engage us to provide our services and also during the provision of services;
- you contact us by email, telephone, post or social media (for example when you have a query about our services); or
- from third parties and/or publicly available resources (for example, from Companies House).

The kind of information we hold about you

The information we hold about you may include the following:

- your personal details (such as your name and/or address);
- details of contact we have had with you in relation to the provision, or the proposed provision, of our services;
- details of any services you have received from us;
- our correspondence and communications with you;
- information about any complaints and enquiries you make to us;
- information we receive from other sources, such as publicly available information, information provided by your employer or our clients or information from our member network firms.
- We currently employ the services of Veriphy Ltd, a credit reference agency, to assist us with performing identification checks on our clients for the purposes of compliance with the Money Laundering Regulations. Any personal information received from Veriphy will be processed

only to confirm your ID to us for the purposes of preventing money laundering or terrorist financing. You can access Veriphy's privacy policy at [Privacy Policy \(veriphy.com\)](https://www.veriphy.com/privacy-policy) at where you will find more information regarding Veriphy's data processing activities.

How we use personal data about you

We may process your personal data for purposes necessary for the performance of our contract with your employer or our clients and to comply with our legal obligations.

We may process your personal data for the purposes necessary for the performance of our contract with our clients. This may include processing your personal data where you are an employee, subcontractor, supplier or customer of our client.

We process your personal data for the purposes of our own legitimate interests provided that those interests do not override any of your own interests, rights and freedoms which require the protection of personal data. This includes processing for marketing, business development, statistical and management purposes.

We may process your personal data for certain additional purposes with your consent, and in these limited circumstances where your consent is required for the processing of your personal data then you have the right to withdraw your consent to processing for such specific purposes.

Please note that we may process your personal data for more than one lawful basis depending on the specific purpose for which we are using your data.

Situations in which we will use your personal data

We may use your personal data in order to:

- carry out our obligations arising from any agreements entered into between your employer or our clients and us (which will most usually be for the provision of our services);
- carry out our obligations arising from any agreements entered into between our clients and us (which will most usually be for the provision of our services) where you may be a subcontractor, supplier or customer of our client;
- provide you with information related to our services and our events and activities that you request from us or which we feel may interest you, provided you have consented to be contacted for such purposes;
- seek your thoughts and opinions on the services we provide; and
- notify you about any changes to our services.

In some circumstances we may anonymise or pseudonymise the personal data so that it can no longer be associated with you, in which case we may use it without further notice to you.

If you refuse to provide us with certain information when requested, we may not be able to perform the contract we have entered into with you. Alternatively, we may be unable to comply with our legal or regulatory obligations. We may also process your personal data without your knowledge or consent, in accordance with this notice, where we are legally required or permitted to do so.

Data retention

We will only retain your personal data for as long as is necessary to fulfil the purposes for which it is collected. When assessing what retention period is appropriate for your personal data, we take into consideration:

- the requirements of our business and the services provided;
- any statutory or legal obligations;

- the purposes for which we originally collected the personal data;
- the lawful grounds on which we based our processing;
- the types of personal data we have collected;
- the amount and categories of your personal data; and
- whether the purpose of the processing could reasonably be fulfilled by other means.

Change of purpose

Where we need to use your personal data for another reason, other than for the purpose for which we collected it, we will only use your personal data where that reason is compatible with the original purpose. Should it be necessary to use your personal data for a new purpose, we will notify you and communicate the legal basis which allows us to do so before starting any new processing.

Data sharing

Why might you share my personal data with third parties?

We will share your personal data with third parties where we are required by law, where it is necessary to administer the relationship between us or where we have another legitimate interest in doing so.

Which third-party service providers process my personal data?

“Third parties” includes third-party service providers [and other entities within our group OR the members of our firm’s network]. The following activities are carried out by third-party service providers: IT and cloud services, professional advisory services, administration services, marketing services and banking services. All of our third-party service providers are required to take commercially reasonable and appropriate security measures to protect your personal data. We only permit our third-party service providers to process your personal data for specified purposes and in accordance with our instructions.

What about other third parties?

We may share your personal data with other third parties, for example in the context of the possible sale or restructuring of the business. We may also need to share your personal data with a regulator or to otherwise comply with the law.

Transferring Personal Data outside the European Economic Area

We will not transfer the personal data we collect about you outside of the EEA.

Data Security

We have put in place commercially reasonable and appropriate security measures to prevent your personal data from being accidentally lost, used or accessed in an unauthorised way, altered or disclosed. In addition, we limit access to your personal data to those employees, agents, contactors and other third parties who have a business need to know. They will only process your personal data on our instructions, and they are subject to a duty of confidentiality.

We have put in place procedures to deal with any suspected data security breach and will notify you and any applicable regulator of a suspected breach where we are legally required to do so.

Rights of Access, Correction Erasure and Restriction

Your duty to inform us of changes

It is important that the personal data we hold about you is accurate and current. Should your personal information change, please notify us of any changes of which we need to be made aware by contacting us, using the contact details below.

Your rights in connection with personal data

Under certain circumstances, by law you have the right to:

- Request access to your personal data. This enables you to receive details of the personal data we hold about you and to check that we are processing it lawfully.
- Request correction of the personal data that we hold about you.
- Request erasure of your personal data. This enables you to ask us to delete or remove personal data where there is no good reason for us continuing to process it. You also have the right to ask us to delete or remove your personal data where you have exercised your right to object to processing (see below).
- Object to processing of your personal data where we are relying on a legitimate interest (or those of a third party) and there is something about your particular situation which makes you want to object to processing on this basis. You also have the right to object where we are processing your personal information for direct marketing purposes.
- Request the restriction of processing of your personal data. This enables you to ask us to suspend the processing of personal data about you, for example if you want us to establish its accuracy or the reason for processing it.
- Request the transfer of your personal data to you or another data controller if the processing is based on consent, carried out by automated means and this is technically feasible.

If you want to exercise any of the above rights, please email our data protection point of contact, Greg Whitehead at greg@northpoint.co.uk. You will not have to pay a fee to access your personal data (or to exercise any of the other rights). However, we may charge a reasonable fee if your request for access is clearly unfounded or excessive. Alternatively, we may refuse to comply with the request in such circumstances.

We may need to request specific information from you to help us confirm your identity and ensure your right to access the information (or to exercise any of your other rights). This is another appropriate security measure to ensure that personal information is not disclosed to any person who has no right to receive it.

Right to Withdraw Consent

In the limited circumstances where you may have provided your consent to the collection, processing and transfer of your personal data for a specific purpose (for example, in relation to direct marketing that you have indicated you would like to receive from us), you have the right to withdraw your consent for that specific processing at any time.

To withdraw your consent, please email our data protection point of contact, Greg Whitehead at greg@northpoint.co.uk / 0191 280 4129. Once we have received notification that you have withdrawn your consent, we will no longer process your personal information (personal data) for the purpose or purposes you originally agreed to, unless we have another legitimate basis for doing so in law.

Changes to this Notice

Any changes we may make to our privacy notice in the future will be provided to you by email. This privacy notice was last updated on 13 January 2021.

Contact us

Questions regarding this notice may go to our Data Protect Point of Contact, Greg Whitehead greg@northpoint.co.uk/0191 280 4129. You also have the right to make a complaint to the Information Commissioner's Office (ICO), the UK supervisory authority for data protection issues, at any time. The ICO's contact details are Information Commissioner's Office, Whycliffe Ho. Water Lane, Wilmslow SK9 5AF.