

SCHEDULE 5

REGISTRATION OF BROKERS AND DEALERS

Registration as a broker or dealer and amendment of entries

4.—(1) On accepting a person's application for registration or on being directed under paragraph 6(9) to register a person following an appeal in respect of such an application, the waste regulation authority must make an entry in its register—

- (a) showing that person as a registered broker or dealer in controlled waste and allocating that person a registration number (which may include any letter);
- (b) specifying the date on which the registration takes effect and its date of expiry;
- (c) stating any business name of the applicant and the address of the applicant's principal place of business (together with any telephone, telex or fax number and email address of the applicant) and, in the case of an individual, the applicant's date of birth;
- (d) in the case of a body corporate, listing the names of each director, manager, secretary or other similar officer of that body and their respective dates of birth;
- (e) in the case of a company registered under the Companies Acts, specifying its registered number and, in the case of a company incorporated outside Great Britain, the country in which it was incorporated;
- (f) in a case where the person who is registered or another relevant person has been convicted of a relevant offence, giving the person's name, details of the offence, the date of conviction, the penalty imposed, the name of the Court and, in the case of an individual, the person's date of birth; and
- (g) in a case where the person who is registered or any company in the same group of companies as that person is the holder of a waste management licence, stating the name of the holder of the licence and the name of the authority which granted it.

(2) In the case of a business which is, or is to be, carried on by a partnership, all the partners must be registered under one entry and only one registration number may be allocated to the partnership.

(3) On making an entry in its register under sub-paragraph (1) the waste regulation authority must provide the registered person or partnership free of charge with a copy of the entry in the register.

(4) On accepting a person's application for the renewal of a registration or on being directed under paragraph 6(9) to register a person following an appeal in respect of such an application, the waste regulation authority must amend the relevant entry in the register—

- (a) to show the date on which the renewal takes effect and the revised date of expiry of the registration;
- (b) to record any other change disclosed as a result of the application; and
- (c) to note in the register the date on which the amendments are made.

(5) The waste regulation authority must at the same time as amending the register under sub-paragraph (4) provide the registered person or partnership free of charge with a copy of the amended entry in the register.

(6) A person who is registered must notify the waste regulation authority which maintains the relevant register of any change of circumstances affecting information in the register relating to that person.

(7) On—

- (a) being notified of any change of circumstances in accordance with sub-paragraph (6);

- (b) accepting a prospective partner’s application for registration in relation to a business carried on by a partnership whose members are already registered; or
 - (c) being directed under paragraph 6(9) to register a prospective partner,
- the waste regulation authority must—
- (i) amend the relevant entry to reflect the change of circumstances or the registration of the prospective partner;
 - (ii) note in the register the date on which the amendment is made;
 - (iii) provide the registered person or partnership free of charge with a copy of the amended entry in the register.
- (8) In this paragraph—
- “the Companies Acts” has the meaning given by section 2 of the Companies Act 2006⁽¹⁾;
 - “group” has the meaning given by section 1261(1) of that Act.

(1) 2006 c.46, to which there are amendments not relevant to these Regulations.