

Intermediary Due Diligence Questionnaire

Please return this completed form to Walker Crips Structured Investments, 128 Queen Victoria Street, London EC4V 4BJ.

1. Firm details

Company Name	
Trading Name (if different)	
Registered Office Address	
Postcode	
Website	
Structured Products Contact Name	
Correspondence Address (if different)	
Postcode	
Telephone	Email

2. About the Firm

FCA Reference Number	
How many advisers are currently authorised by the firm?	
For how many years has the firm offered structured products to retail investors?	
Are you part of a network? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Name and address of network (if applicable)	
Postcode	
Are you an Appointed Representative? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Name and address of Principal (if applicable)	
Postcode	
Do you offer independent or restricted advice? Independent <input type="checkbox"/> Restricted <input type="checkbox"/>	
What types of structured products does the firm recommend to retail investors? Capital at Risk <input type="checkbox"/> Capital Protected <input type="checkbox"/> Deposits <input type="checkbox"/> Notes <input type="checkbox"/>	
Does the firm set a maximum portfolio exposure for structured investment products? Yes <input type="checkbox"/> No <input type="checkbox"/>	
If yes, what is the proportion?	
Approximately what percentage of the firm's annual investment business relates to structured products?	%
What percentage of the firm's structured products business is typically conducted on an execution-only basis?	%

3. Training and competency

Are all advisers in possession of a valid SPS certificate? Yes ☐ No ☐

How many advisers have been assessed as competent to advise on structured products?

How often do advisers undergo competency assessments?

4. Regulation & Compliance

Name of Compliance Officer (CF10)

Main Compliance contact details

Name

Correspondence Address

Postcode

Telephone

Email

Number of complaints concerning investment advice in relation to structured products upheld by the firm in the past 5 years:

Number of complaints concerning investment advice in relation to structured products upheld by the FOS in the past 5 years:

Has the firm been subject to regulatory investigations, sanctions, fines or warnings within the last 10 years? Yes ☐ No ☐

Please provide full details

Please confirm that the firm has in place the following procedures and processes to meet appropriate regulatory standards:

AML procedures ☐ TCF policy ☐ Complaints procedures ☐ Compliance monitoring processes ☐ Training and Competence regime ☐

Financial crime procedures ☐ Conduct Risk policy ☐ Conflicts of Interest policy ☐ Criminal finances Act ☐

Vulnerable Customer policy ☐

5. Declaration

I/we confirm that the information provided is true and correct. In the event of any material change to any of the information provided I/we confirm that I/we will contact Walker Crips Structured Investments with further details.

I confirm that I carry the requisite authority to submit this information on behalf of the firm.

Signed	
Print Name	Position in Company
Date	FCA Individual Reference Number
For internal use only	
Reviewed by (Print name)	Approved by compliance (Print name)
Signed	Signed
Date	Date
Notes	