

BANK DUE DILIGENCE QUESTIONNAIRE

For SIPP and SSAS



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1 Corporate information

Company name	<input type="text"/>
Company Registration Number (CRN)	<input type="text"/>
FCA registration number	<input type="text"/>
Registered address	<input type="text"/>
Physical head office address	<input type="text"/>
Country of incorporation	<input type="text"/>
Parent company name	<input type="text"/>
Parent company country of incorporation	<input type="text"/>
Name of stock exchange on which parent company is listed	<input type="text"/>
Credit rating (including name of credit rating agency)	<input type="text"/>
Do you outsource any area of your business overseas?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please provide details in the box below
	<input type="text"/>
Has the company been trading for less than 3 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, copies of the company's business plan and financial statements will be required
In the past 5 years has any member of the company been fined, investigated or had any form of sanction applied from any regulatory body?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please provide details in the box below
	<input type="text"/>
Is there any current or pending litigation against the company or its parent company?	<input type="checkbox"/> Yes <input type="checkbox"/> No If Yes, please provide details in the box below
	<input type="text"/>
Do you hold a banking licence directly or through your parent company?	<input type="checkbox"/> Direct <input type="checkbox"/> Through parent company

2 Compliance information

Are you able to hold SIPP & SSAS monies? ☐ Yes ☐ No

Do you have professional indemnity insurance (PII) cover commensurate with the size of your business and financial resources? ☐ Yes - PII cover of £10m or more ☐ Yes - PII cover of less than £10m ☐ No PII held

Please provide us with details of the cover held (including a copy of the policy document) and justification of the level of cover.

Our standard policy is to decline applications where no PII is in force.

Please provide further details on the levels or type of PII cover within your business:

Are you able to provide us with account statements at least quarterly as at 31 March, 30 June, 30 September and 31 December each year? ☐ Yes ☐ No

Do you accept unadvised SIPP or SSAS clients? ☐ Yes ☐ No

Do you have a documented conflict of interest policy? ☐ Yes ☐ No

If yes, please attach a copy of this policy.

Do you provide online access to clients, advisers and Curtis Banks? ☐ Yes ☐ No

Do you have adequate resources to satisfy the regulator's capital requirements and a policy to monitor and maintain such resources? ☐ Yes ☐ No

Please confirm you have the appropriate policies and controls in place to monitor and prevent financial crime ☐ Yes ☐ No

Please confirm you're GDPR compliant or the steps and measures needed to ensure your compliance

Please confirm you're Consumer Duty compliant or the steps and measures needed to ensure your compliance

Have you completed a fair value assessment and concluded that your proposition represents value for money? ☐ Yes ☐ No

If yes, please provide information for distributors confirming the outcome of your fair value assessment:

3 Product information

Please list the types of notice and fixed term accounts and product names available to SIPP and SSAS monies

Please confirm the account opening process for each of these products

Please attach the relevant application form and terms & conditions for each product

☐ Attached

Is there any further information you require to be provided to support a SIPP or SSAS application?

How would you notify us of changes to the terms & conditions, notice terms and interest rates available?

What notification do you provide on accounts nearing maturity?

Are accounts accessible prior to maturity or within notice periods?

☐ Yes ☐ No

If Yes, on what terms?

For each of the listed notice, fixed term accounts and products, please state the charges applicable:

4 Contacts

Please provide us with an appropriate contact name, telephone number and email address for each of the following:

Where appropriate, a dedicated person or department responsible for SIPP or SSAS services

For day-to-day administrative enquiries and instructions

For regular and ad hoc valuation statements and reporting

For all compliance and regulatory related matters

5 Declaration

Please read the following recitals and have two authorised signatories of your firm sign the declaration below:

- I/we confirm the firm has appropriate corporate governance and compliance arrangements in place covering the services provided to Curtis Banks SIPP and SSAS clients.
- I/we confirm the firm has appropriate processes and procedures in place to ensure adherence to all relevant FCA and PRA legislation, including (but not limited to) that relating to staff training and competence, client money and assets and Consumer Duty, in relation to the services provided to Curtis Banks SIPP and SSAS clients.
- I/we confirm that firm has in place appropriate business continuity arrangements in respect of services provided to Curtis Banks SIPP and SSAS clients.
- I/we confirm the firm has in place appropriate data protection/data security arrangements in respect of the services provided to Curtis Banks SIPP and SSAS clients.
- I/we confirm that the firm complies with the obligations under the Modern Slavery Act 2015.
- I/we confirm that the firm will notify Curtis Banks of any changes to the information contained within this form, including but not limited to regulatory status, breaches of regulation/legislation, custodians, key contacts.
- I/we believe that the facts and matters contained in this form are true and the information provided is accurate to the best of my/our knowledge:

Bank name

Financial Services Register firm reference number

1

Name

Position in Firm

Signature

Date

2

Name

Position in Firm

Signature

Date

Notes

For literature in alternative formats, such as Braille, large print, audio or E-text, please call us on 0370 414 7000, or via the Typetalk service on 18001 0370 414 7000.

Curtis Banks Limited,
3 Temple Quay,
Bristol, BS1 6DZ

T 0370 414 7000
F 0370 414 8000
curtisbanks.co.uk

Call charges will vary. We may monitor and record calls.

"Curtis Banks" is the trading name of Curtis Banks Group Limited (CBGL) (registered in England, number 07934492), Curtis Banks Limited (CBL) (registered in England, number 06758825), Suffolk Life Pensions Limited (SLPL) (registered in England, number 01180742), Suffolk Life Trustees Limited (SLT) (registered in England, number 06341296), Suffolk Life Annuities Limited (SLAL) (registered in England, number 01011674), SLA Property Company Limited (SLAPC) (registered in England, number 01203396), Tower Pension Trustees (S-B) Limited (TPTSB) (registered in Scotland, number SC340871), Bridgewater Pension Trustees Limited (BPTL) (registered in England, number 03821053), SPS Trustees Limited (SPST) (registered in England, number 08312411), Colston Trustees Limited (CTL) (registered in England, number 06867955), Montpelier Pension Trustees Limited (MPTL) (registered in England, number 05802677), Temple Quay Pension Trustees Limited (TQPTL) (registered in England, number 05679427), Tower Pension Trustees Limited (TPTL) (registered in England, number 02178783), Crescent Trustees Limited (CrTL) (registered in England, number 03915165).

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CBGL, CBL, TPTSB, BPTL, SPST, CTL, MPTL, TQPTL, TPTL, CrTL have their registered office at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP. SLPL, SLT, SLAL, SLAPC have their registered office at 153 Princes Street, Ipswich, Suffolk, IP1 1QJ. CBL and SLPL are authorised and regulated by the Financial Conduct Authority. SLAL is authorised as an insurance company authorised by Prudential Regulation Authority (PRA) and regulated by the FCA and PRA. CBGL, CBL, SLPL, SLT, SLAL and SLAPC are members of a VAT group with VAT registration number 514 0358 80.

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