



INVESTMENT FIRM QUESTIONNAIRE

For SIPP and SSAS



curtisbanks.co.uk

One Investment Firm Questionnaire per firm is required. If your firm uses an external Stockbroker or Platform, they must also be approved by Curtis Banks.

About Curtis Banks

Curtis Banks Ltd and Curtis Banks Pensions (Curtis Banks) have a regulatory requirement to formalise the services provided to its SIPP and SSAS clients by Discretionary Managers, Platform Providers and Stockbrokers (Investment Firms). The Investment Firm and Curtis Banks will sign a Global Investment Agreement.

Before issuing the GIA, Curtis Banks will require all Investment Firms to complete this Investment Firm Questionnaire (IFQ). This questionnaire allows Curtis Banks to understand the corporate and regulatory status of the Investment Firm and the nature of its services. Curtis Banks will assess each application against its own due diligence requirements and reserves the right to request further information as part of the process.

Regulatory Considerations

Curtis Banks will only accept new Investment Firms and their custodians if all parties are regulated by the Financial Conduct Authority (FCA) and have professional indemnity insurance (PII) in proportion with the size of their business, financial resources and the investment profiles adopted for their clients. All Curtis Banks SIPP and SSAS clients must be classified as a retail client by default unless they are able to elect and evidence their professional client status. If investment services are restricted to professional clients, we will require further details to understand the complex nature of the underlying investments, strategy or services and to determine who is responsible for undertaking both suitability and appropriateness assessments of clients.

Investment Services & Acceptable Investments

Curtis Banks' SIPP products are registered pension schemes and are regulated by the FCA. The corporate trustee will hold all the assets of the scheme in accordance with the trust deed and rules. SIPP and SSAS products are governed by HMRC rules and the FCA guidance on investments within SIPPs is applied equally to Curtis Banks SIPP and SSAS products. All SIPP and SSAS products are subject to a strict list of permitted investments compiled and maintained by Curtis Banks. Investments which are deemed by us to be specialist investments will be a subject to additional due diligence and must be approved on a case by case basis by Curtis Banks.

Promotion

Curtis Banks will only consider an Investment Firm for clients or prospective clients that are introduced to them through a regulated financial adviser. Curtis Banks does not allow Investment Firms to use a GIA as a means of endorsement or promotion of any investment services offered by the Investment Firm.

Investment Partners

Curtis Banks operates a list of Investment Partners. The list is made up of firms with which we have effective systems in place so that our lower annual SIPP administration fee can apply. Typically these systems include automated data feeds, a streamlined application process and the ability to process instructions electronically. Any investment Firm looking to invest in, or provide complex investment services or who cannot provide a data feed will not be considered for Investment Partner status.

Global Investment Agreement (GIA)

The Investment Firm will be required to sign and return a copy of the GIA to Curtis Banks together with a sample of data reporting files. Curtis Banks cannot accept any investment business until the GIA has been completed. Curtis Banks reserves the right to charge a fee for processing an application from an Investment Firm.

How do I submit the Investment Firm Questionnaire?

You can submit the Investment Firm Questionnaire to us using the following contact details:

Curtis Banks, 153 Princes Street, Ipswich, Suffolk, IP1 1QJ

Contents

Section	Page
1 Investment Firm Details	3
2 Summary of Investment Services	6
3 Governance and Controls	10
4 Data Reporting	11
5 Contacts	12
6 Investment Firm Declaration	14
7 Investment Firm Checklist	16

1 Investment Firm Details

We will only consider applications from companies registered in the United Kingdom who are regulated by the Financial Conduct Authority and have the permissions to carry out the role.

1.1 Type of Investment Firm

Directly Authorised Firm: ☐ Please complete section 1.2 and 1.4

Appointed Representatives or Trading Styles: ☐ Please complete section 1.3 and 1.4

1.2 Directly Authorised Firms

This section is for firms directly authorised by the FCA.

Full legal name of the investment Firm

Financial Services Register firm reference number

Company Registration Number (CRN)

Date of Incorporation

How many years has the firm been trading? years

In which year did the firm last file its accounts?

Date of FCA authorisation

Please enclose a list of the firm's FCA permissions

Are there any FCA warnings or limited permissions? ☐ Yes ☐ No

If yes, please give details in the box below

Registered Address

Trading Address (if different to registered address above)

Telephone

Email

Website

1.2 Directly Authorised Firms (continued)

Do you operate under a different trading name? ☐ Yes ☐ No If Yes, please provide trading name(s) in the section below

Trading Name(s) 1

2

Please tick all the types of service you provide:

☐ Discretionary

☐ Model Portfolio

☐ Advisory

☐ Execution-only

☐ Investment platform

1 Name of Custodian(s)

Financial Services Register firm reference number

Name of Custodian(s)

2 Financial Services Register firm reference number

Curtis Banks can only accept FCA regulated custodians located in the UK

1.3 Appointed Representatives or Trading Styles

This section is for firms who act as an Appointed Representative or Trading Style of a FCA authorised firm.

Trading Name

Financial Services Register firm reference number

Company Registration Number (CRN)

Date of Incorporation

How many years has the firm been trading? years

In which year did the firm last file its accounts?

Date of FCA authorisation

Please enclose a list of the firm's FCA permissions

Are there any FCA warnings or limited permissions? ☐ Yes ☐ No

If yes, please give details in the box below

1.3 Appointed Representatives or Trading Styles (continued)

Registered Address

Trading Address (if different to
registered address above)

Telephone

Email

Website

Please tick all the types of service
you provide:

☐

Discretionary

☐

Model Portfolio

☐

Advisory

☐

Execution-only

☐

Investment platform

Name of FCA authorised Principal

Principal FCA Number

Expiry Date of Agreement
with Principal

The Principal must provide written confirmation that they are happy for the appointed representative to open SIPP and SSAS accounts.

1

Name of Custodian(s)

Financial Services Register firm
reference number

2

Name of Custodian(s)

Financial Services Register firm
reference number

1.4 Professional Indemnity Insurance (PII)

Do you have professional indemnity insurance (PII)
cover commensurate with the size of your business,
financial resources and the investment profiles
adopted for your clients?

☐

Yes - PII cover of £10m
or more

☐

Yes - PII cover of less than
£10m

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

☐

No PII held

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.

1.5 Cash Management

This section is for details of how cash funds will be held.

Do you or your custodian use a UK deposit taker? ☐ Yes ☐ No

Will funds be held in a pooled account? ☐ Yes ☐ No

Will funds be held in an individual account? ☐ Yes ☐ No

Please note: We will require details of the Investment Firm's standard settlement instructions

2 Summary of Investment Services

2.1 Types of Services

Managed Investment Services (Discretionary, Model Portfolio) ☐ Yes ☐ No [Please complete sections 2.2 to 2.6](#)

Executions Only (Advisory, Stockbroker and Platform) ☐ Yes ☐ No [Please complete sections 2.3 to 2.6](#)

2.2 Managed Investment Services

This section is for firms managing investments on a discretionary basis or through model portfolio solutions.

Name or description of investment service(s)

Target Market & USP

Minimum Investment Maximum Investment

Are investment services restricted to professionals ☐ Yes ☐ No [If yes, please provide details below](#)

How do you market services?

Who is required to assess appropriateness or suitability of investments and services? ☐ Investment Firm ☐ Financial Adviser ☐ Client

Do you invest a significant proportion of an account into a particular asset type, jurisdiction or sector? ☐ Yes ☐ No [If yes, please provide details below](#)

2.2 Managed Investment Services (continued)

Do you have a rebalancing policy or procedure? ☐ Yes ☐ No [If yes, please provide details below](#)

Do you use algorithms or automated trading solutions? ☐ Yes ☐ No [If yes, please provide details below](#)

2.3 Investment Services

Do you provide any of the following services or account features?

☐ CFD

☐ FX

☐ Non correlated assets

☐ Leveraging

☐ Power of Attorney/Authority to Deal [To nominate a third party representative to provide instructions on the account other than the SIPP member](#)

Do you allow investment in specialist investments (please see the relevant Schedule of Allowable Investments, available on our website, www.curtisbanks.co.uk)? ☐ Yes ☐ No [If yes, please provide details below](#)

Are you able to hold equities or bonds in local custody, outside of Crest? ☐ Yes ☐ No [If yes, please provide details below](#)

Do you restrict trading by venue, jurisdiction or asset type? ☐ Yes ☐ No [If yes, please provide details below](#)

Do you perform due diligence on unregulated funds? ☐ Yes ☐ No [If yes, please provide details below](#)

2.4 Custodian Services

Please note: This section is to be completed with details of custodians responsible for holding client cash and assets.

How will investments be held?

☐ Custodian's Nominee

☐ Pension Trustee

☐ Other

Please note: We will only allow investment firms to use FCA regulated custodians located in the UK

2.4 Custodian Services (continued)

Custodian 1

Contact name

Address

Telephone

Fax

Email

Financial Services Register firm reference number

Company registration number (CRN)

Date of incorporation

How many years has the firm been trading? years

In which year did the firm last file its accounts?

Date of FCA authorisation

Please enclose a list of the firm's FCA permissions

Are there any FCA warnings or limited permissions? ☐ Yes ☐ No

If yes, please give details in the box below

Custodian 2

Contact name

Address

Telephone

Fax

Email

Financial Services Register firm reference number

Company registration number (CRN)

Date of incorporation

How many years has the firm been trading? years

In which year did the firm last file its accounts?

Date of FCA authorisation

Please enclose a list of the firm's FCA permissions

Are there any FCA warnings or limited permissions? ☐ Yes ☐ No

If yes, please give details in the box below

2.5 Investment Literature and Documentation

A full checklist of the documentation required is provided in section 7.

Please confirm what documentation is available to support your investment services.

Service Brochure	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Factsheet(s)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Terms and Conditions	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Prospectus	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Key Features	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Fees and Charges	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Please confirm what documentation is provided to financial advisers.

Adviser Terms of Business	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Risk Warnings	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Target Market Guidance	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Please confirm what documents are in place for account opening.

Application Form	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Client Terms & Conditions	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Please confirm what documents are in place for complex/professional client services.

Professional Client Declaration	<input type="checkbox"/> Yes	<input type="checkbox"/> No
NMPI Declaration	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Please include any other specific literature or documentation in the section below.

Other	<input type="text"/>
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Please note: We will require copies of all documentation.

2.6 Enhanced Services

This section is for investment Firms to provide details of their enhanced electronic services.

Please confirm which enhanced services are available through your investment proposition?

Electronic Applications	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Electronic Withdrawals	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Electronic Statements	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Electronic Tax Vouchers	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Other Services	<input type="text"/>
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3 Governance and Controls

3.1 Company Information

This section is to be completed by the directly authorised firm.

Name of Business	
Parent Company or Individual Shareholders owning 25% or more of issue share capital	<div>1</div> <div>2</div> <div>3</div> <div>4</div>
Number of Accounts Under Administration	
Assets under Administration	
Number of Office Locations	
Number of staff	
Are you a member of the London Stock Exchange	<input type="checkbox"/> Yes <input type="checkbox"/> No
Has the company been trading for less than 3 years?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, a copy of the company's business plan and financial statements will be required.	
Please provide a list of firms connected or associated with the firm	<div>1</div> <div>2</div>

3.2 Regulatory Permissions & Advice

This section is for details of your firm's current regulatory permissions, waivers and restrictions.

Regulatory Status (e.g. authorised)			
FCA Client Money Permissions	<input type="checkbox"/> Yes <input type="checkbox"/> No	If No, please confirm that all client monies are held via the custodian(s) named in section 2.4	<input type="checkbox"/> Yes <input type="checkbox"/> No
FCA Waivers	<input type="checkbox"/> Yes <input type="checkbox"/> No		
FCA Warnings	<input type="checkbox"/> Yes <input type="checkbox"/> No		
FCA fines or any other types of censure	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Does the firm or associated firm provide advice on pension transfers or opt outs	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Does the firm provide investment advice directly or via associated company?	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Summary of FCA permissions and further details on warnings, fines, waivers and restrictions			

Please note: We cannot approve firms with pending applications or interim permissions.

3.3 Compliance

I/we confirm that the investment firm named ☐ in section 1, and any associated companies to the investment firm named in section 1, do not undertake any business with unregulated firms or individuals.

Are you and your custodians able to hold and invest SIPP & SSAS monies? ☐ Yes ☐ No

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

Do you have a documented Conflict of Interest Policy? ☐ Yes ☐ No

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

Do you facilitate adviser charging? ☐ Yes ☐ No If yes, do you have controls and/or limits over adviser charging? ☐ Yes ☐ No

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

Do you provide EMIR reporting for SIPP and SSAS clients as part of your standard services? ☐ 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

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.

4 Data Reporting

4.1 Data feed

Please note: Data feeds can provide a more streamlined and accurate method of reporting to us and allows us to update our records in a more efficient and timely manner.

An automated data feed will provide a cost benefit to our clients and is one of the mandatory requirements for admission to our list of Investment Partners. Full reporting requirements are set out in our Data Reporting Requirements document.

Daily Valuation File	Cash Transaction information	Stock/fund trade movements
Closing Cash Balances	Stock/fund holdings information (must include SEDOL or ISIN)	Capital Adequacy Investment Categorisation

Please note: All information provided above is at individual account level and must satisfy our format requirements.

If you believe you have the capabilities to provide this information in an electronic format, please provide details of who will provide this information:

☐ Investment Firm ☐ Platform/Stockbroker ☐ Custodian

Please provide your contact details for data feeds below:

Contact name

Address

Telephone

Fax

Email

5 Contacts

To help direct our enquiries to the most appropriate person or department, please provide details of the following contact points.

5.1 Relationship Management

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

Contact name	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Fax	<input type="text"/>
Email	<input type="text"/>

5.2 Administration

For day to day administrative enquiries and instructions.

Contact name	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Fax	<input type="text"/>
Email	<input type="text"/>

5.3 Valuations/Statements

For regular and ad hoc valuation statements and reporting.

Contact name	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Fax	<input type="text"/>
Email	<input type="text"/>

5.4 Compliance

For all compliance and regulatory related matters.

Contact name	<input type="text"/>
Address	<input type="text"/>
Telephone	<input type="text"/>
Fax	<input type="text"/>
Email	<input type="text"/>

5.5 Business Development

Where appropriate, a person or department responsible for business development, to help us better understand your operating model and the key advisers that use your services, and to seek out further mutual opportunities.

One of our Business Development Managers may contact this person or department.

Contact name/department	<input type="text"/>
Telephone	<input type="text"/>
Email	<input type="text"/>

6 Investment Firm Declaration

All investment Firms should read carefully the declaration below before signing in section 6.2 and 6.3. If you do not understand any point then please ask us for further information.

6.1 Signature(s) and Declaration

Please note: Two representatives will be required to sign on behalf of each firm.

- ☐ **Directly Authorised Firms**
Please complete section 6.2
- ☐ **Appointed Representatives or Trading Styles**
Please complete section 6.3

6.2 Signature(s) of Directly Authorised Firms

Data Protection

This section sets out how the Curtis Banks Group would expect you ('the firm' below) to comply with the General Data Protection Regulations (GDPR). Please review the following clauses and if you have any additional comments or notes to make, please include these on a separate sheet and enclose it with this form. If necessary Curtis Banks will contact you to discuss any points.

- I/we confirm that the firm has appointed a Data Protection Officer (DPO) if required.
- I/we confirm that the firm has the appropriate registration in place with the Information Commissioner's Office (ICO).
- I/we confirm that under GDPR the firm is able to comply with the new individual rights as set out under Articles 15-22 of the GDPR (2016/679).
- I/we confirm that the firm will only use the personal data and special category data for the purposes as agreed with the Curtis Banks Group.
- I/we confirm that the firm has set out to senior management and/or staff, training to raise awareness and increase understanding of GDPR where relevant.
- I/we confirm that the firm has reviewed and updated any relevant Governance documents including, but not limited to, Data Protection, Privacy Policies, and treatment of Special Category Data.
- I/we confirm that the firm has undertaken as part of the implementation of GDPR, and has a process in place to undertake in future, Data Protection Impact Assessments where relevant.
- I/we confirm that the firm will assess all personal data collected from the Curtis Banks Group and only hold data under the relevant lawful basis.
- I/we confirm that the firm has implemented a Data Retention Policy to ensure data is only processed in line with a lawful basis of processing, and deleted/securely disposed of data where none are applicable.
- I/we confirm that the firm has made preparations to detect and report breaches internally, to the relevant Curtis Banks Group company and/or ICO within the time frames set out under GDPR.
- I/we confirm that the firm has implemented a Subject Access Request process that complies with GDPR.
- I/we confirm that the firm conducts due diligence on third parties appropriately.
- I/we confirm that the firm will inform the Curtis Banks Group immediately if it intends to transfer personal data outside of the EU. This is only undertaken in strict compliance with the conditions for transfer set out in Chapter V of GDPR.
- 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 legislation, including (but not limited to) that relating to staff training and competence, client money and assets and treating customers fairly 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, investment strategy/approach, 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:

Declaration

Adviser firm name
Financial Services Register
firm reference number

1	Name	<input type="text"/>
	Position in Firm	<input type="text"/>
	Signature	<input type="text"/>
	Date	<input type="text"/> <input type="text"/> <input type="text"/>

2	Name	<input type="text"/>
	Position in Firm	<input type="text"/>
	Signature	<input type="text"/>
	Date	<input type="text"/> <input type="text"/> <input type="text"/>

6.3 Signature(s) of Appointed Representatives or Trading Styles

Data Protection

This section sets out how the Curtis Banks Group would expect you ('the firm' below) to comply with the General Data Protection Regulations (GDPR). Please review the following clauses and if you have any additional comments or notes to make, please include these on a separate sheet and enclose it with this form. If necessary Curtis Banks will contact you to discuss any points.

- I/we confirm that the firm has appointed a Data Protection Officer (DPO) if required.
- I/we confirm that the firm has the appropriate registration in place with the Information Commissioner's Office (ICO).
- I/we confirm that under GDPR the firm is able to comply with the new individual rights as set out under Articles 15-22 of the GDPR (2016/679).
- I/we confirm that the firm will only use the personal data and special category data for the purposes as agreed with the Curtis Banks Group.
- I/we confirm that the firm has set out to senior management and/or staff, training to raise awareness and increase understanding of GDPR where relevant.
- I/we confirm that the firm has reviewed and updated any relevant Governance documents including, but not limited to, Data Protection, Privacy Policies, and treatment of Special Category Data.
- I/we confirm that the firm has undertaken as part of the implementation of GDPR, and has a process in place to undertake in future, Data Protection Impact Assessments where relevant.
- I/we confirm that the firm will assess all personal data collected from the Curtis Banks Group and only hold data under the relevant lawful basis.
- I/we confirm that the firm has implemented a Data Retention Policy to ensure data is only processed in line with a lawful basis of processing, and deleted/securely disposed of data where none are applicable.
- I/we confirm that the firm has made preparations to detect and report breaches internally, to the relevant Curtis Banks Group company and/or ICO within the time frames set out under GDPR.
- I/we confirm that the firm has implemented a Subject Access Request process that complies with GDPR.
- I/we confirm that the firm conducts due diligence on third parties appropriately.
- I/we confirm that the firm will inform the Curtis Banks Group immediately if it intends to transfer personal data outside of the EU. This is only undertaken in strict compliance with the conditions for transfer set out in Chapter V of GDPR.

Declaration

- 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 legislation, including (but not limited to) that relating to staff training and competence, client money and assets and treating customers fairly 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, investment strategy/approach, 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:

Adviser firm name

Financial Services Register
firm reference number

Name

Position in Firm

Signature

Date

Name

Position in Firm

Signature

Date

7 Investment Firm Checklist

All investment Firms will be required to provide relevant literature and documentation in support of the investment services they provide. Please indicate below what information is currently available and will accompany this application.

7.1 Investment Services Literature

Please provide details of the literature documenting your investment services.

- | | |
|--|---|
| <input type="checkbox"/> Service Brochure | <input type="checkbox"/> Prospectus |
| <input type="checkbox"/> Factsheet(s) | <input type="checkbox"/> Key Features |
| <input type="checkbox"/> Terms and Conditions | <input type="checkbox"/> Fees and Charges Sheet |
| <input type="checkbox"/> Investment Managers
Information for Distributors | |

7.2 Financial Adviser Forms and Client Declarations

Please provide details of the forms and declarations that are required for financial advisers and clients.

- | | |
|--|--|
| <input type="checkbox"/> Adviser Terms of Business | <input type="checkbox"/> Target Market Guidance |
| <input type="checkbox"/> Risk Warnings | <input type="checkbox"/> Professional Client Declaration |
| <input type="checkbox"/> NMPI Declaration | <input type="checkbox"/> Power of Attorney/Authority to Deal |

7.3 Account Opening Forms & Client Agreements

Please provide copies of all relevant account opening forms and clients service agreements.

- | | |
|---|--|
| <input type="checkbox"/> Application Form | <input type="checkbox"/> Client Agreement/Terms & Conditions |
|---|--|

7.4 Investments Analysis

We will require details of the underlying assets invested in discretionary or model portfolio accounts.

- | | |
|---|---|
| <input type="checkbox"/> Sample list of holdings
including ISINs | <input type="checkbox"/> Illustration of Portfolio Allocation |
|---|---|

7.5 Company Due Diligence

Please provide all relevant due diligence information relating to each investment firm.

- | | |
|---|--|
| <input type="checkbox"/> Business Plan (for firms less
than 3 years old) | <input type="checkbox"/> Latest Pillar 3 (P3)
Disclosure Document |
| <input type="checkbox"/> Company structure Chart | <input type="checkbox"/> Latest Financial Statement |
| <input type="checkbox"/> Authorised signatory list | <input type="checkbox"/> Future financial forecast |
| <input type="checkbox"/> Most recent audited accounts | <input type="checkbox"/> Current management accounts |

Notes

Notes

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

Curtis Banks,
153 Princes Street,
Ipswich, IP1 1QJ

T 0370 414 7000
F 0370 414 8000

Call charges will vary. We may record and monitor 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 (BPTM) (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 Limited (TQPL) (registered in England, number 05679427), Tower Pension Trustees Limited (TPTL) (registered in England, number 02178783), Crescent Trustees Limited (CrTL) (registered in England, number 03915165). "Curtis Banks Pensions" is the trading name of SLPL. CBGL, CBL, TPTSB, BPTM, SPST, CTL, MPTL, TQPL, 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, BPTL, CTL, SPSTL, MPTL, TQPTL, TPTL, CrTL and TPTSB are members of a VAT group with VAT registration number 207996471. SLPL, SLAL, SLT and SLAPC are members of a VAT group with VAT registration number 241841520. All companies are wholly owned subsidiaries of Nucleus Financial Platforms Limited (registered in England, number 06033126) whose registered office is at Suite B & C, First Floor, Milford House, 43-55 Milford Street, Salisbury, SP1 2BP, and are members of the Nucleus Group. Further details of the Nucleus Group can be found at nucleusfinancial.com. (12/24)