

BANK DUE DILIGENCE QUESTIONNAIRE

For SIPP and SSAS



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1 Corporate information

Company name

Company Registration Number (CRN)

FCA registration number

Registered address

Physical head office address

Country of incorporation

Parent company name

Parent company country of
incorporation

Name of stock exchange on
which parent company is listed

Credit rating

Do you outsource any area
of your business overseas?

Yes

No If Yes, please provide details in the box below

Has the company been
trading for less than 3 years?

Yes

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?

Yes

No If Yes, please provide details in the box below

Is there any current or pending
litigation against the company
or its parent company?

Yes

No If Yes, please provide details in the box below

Do you hold a banking licence
directly or through your parent
company?

Direct

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 | | | |

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?

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 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, 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

Curtis Banks Limited,
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Call charges will vary. We may monitor and record calls.

If you're contacting us by email, please remember not to send any personal, financial or banking information because email is not a secure method of communication.

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