



Financial Adviser Due Diligence Questionnaire

This is our standard Due Diligence Questionnaire which is required prior to setting up an agency with a Financial Adviser (IFA or other Financial Conduct Authority (FCA) regulated adviser). We value the strong relationships with our existing Financial Adviser partners and as a result of this we ask all new potential advisers and/or firms for background Due Diligence information. Our aim is to protect these important relationships.

If this is a new relationship with Investec Wealth & Investment (IW&I), **please complete all sections of this document**, as this will provide the information necessary to enable us to determine if an agency is appropriate. However, if existing agencies are already held for you, your new firm or new network, please ignore sections numbered 3, 4, 5, 6, 7, 13 & 14 and **fully complete** all remaining sections.

1. Please provide details of the name and address of the firm

ADVISER NAME		POSITION AT THE FIRM	
NAME OF FIRM			
FCA REGISTERED ADDRESS			
		POSTCODE	
CORRESPONDENCE ADDRESS (IF DIFFERENT)			
		POSTCODE	
TELEPHONE NUMBER	MOBILE NUMBER	FAX NUMBER	
EMAIL ADDRESS			

2. Are there any other offices or companies within your firm? (please provide details if applicable)

3. Please provide some background on the Firm

WHEN WAS THE FIRM ESTABLISHED?	DD MM YY	HOW MANY PEOPLE ARE EMPLOYED BY THE FIRM?		WHAT IS THE AVERAGE STAFF TURNOVER IN THE LAST 3 YEARS?	%
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4. What is the firm's legal status?

Limited company Limited Liability Partnership Partnership Please provide registration number

5. Please supply details of the Company Directors/Partners

NAME	POSITION
NAME	POSITION
NAME	POSITION
NAME	POSITION

6. Have you or any of the Directors/Partners or employees of the firm ever been subject to a bankruptcy or insolvency order?

Yes No If yes, please provide details

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7. Who are the key decision makers? (if different from question 5)

NAME	POSITION
NAME	POSITION
NAME	POSITION
NAME	POSITION

8. What is your authorisation status?

8a. Please provide your personal FCA number

8b. Directly authorised by FCA Firms FCA number (if applicable)

8c. Acting as an appointed representative Please provide details of the Network/Company with FCA Authorisation

NAME	
ADDRESS	
	POSTCODE <input type="text"/>
NETWORK/COMPANY FCA NUMBER (IF APPLICABLE) <input type="text"/>	COMPANY REGISTRATION NUMBER <input type="text"/>
CONTACT NAME <input type="text"/>	CONTACT TELEPHONE <input type="text"/>
CONTACT EMAIL <input type="text"/>	

8d. Other Please provide details of the regulatory body including any authorisation number

8e. None

9. Did you already have an agency with us? Yes No

9a. If "Yes" please provide your previous agency number

9b. Please add name of previous firm

9c. Are any of your clients still linked to this agency? Yes No

9d. If "Yes" please provide details of your contact within IW&I

9e. Is this agency to remain live? Yes No N.B. This agency will only remain live if the Adviser/Firm remains authorised by the FCA (or equivalent)

9f. Date of transfer of existing clients to the new agency

Please Note

- a) To enable us to release data and facilitate any adviser agreed remuneration to the new agency a completed Client of Financial Adviser Amendment form (IW1343) will be required for each existing client being transferred to the new agency.
- b) In addition a new IW&I Online User Access Request and Agreement Form for Financial Advisers (IW1062) will need to be completed to have access to your clients details via our IW&I Online Service. Please see section 16.

10. Have you and/or the Firm been subject to any investigations or disciplinary action taken by the FCA or other regulatory body?

Yes No If yes, please provide details

11. Have you and/or the Firm received any complaints in the last 3 years?

Yes No If yes, please provide details

12. Have you and/or the Firm been subject to any litigation within the last 3 years or do you anticipate proceedings being issued?

Yes No If yes, please provide details

13. Please provide an outline of the services provided to your clients

14. Please provide details of your experience of using external discretionary investment managers

14a. What is your level of experience? N/A 1-5 Years 5-10 Years >10 Years

14b. What is the approximate value of your clients assets under your control? £ m

14c. How do you invest for your clients?

Self Selected % Platforms % Discretionary Investment Managers % Other (please provide details) %

14d. Which existing investment manager firms do you use?

15. New agency details

We will normally open an agency in the name of the Adviser Firm or when there is a Network in the name of the Network re the Adviser Firm. However, if you require the agency for a specific adviser please let us know below.

NETWORK NAME	Re	ADVISER FIRM	Re	ADVISER NAME
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Date Agency to commence

Contact within IW&I NAME LOCATION

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16. IW&I Online

We normally set up Advisers with access to their clients' account(s) using IW&I Online.

Please provide a memorable six-letter word that will be used for security purposes.

Applicant 1

Please Note:

1. Each applicant must have their own email address and preferably mobile telephone number.
2. Kindly ensure that you have provided both the email address and mobile telephone number within Section 1 of this form.
3. To login for the first time it will be necessary to call the Client Service Centre and have access to your PC or laptop, and your mobile phone. Kindly also have your user name (your email address) and the memorable six-letter word used on your application to hand as these will be required.
4. Please refer to our Terms and Conditions below for details of the terms and conditions applicable for the IW&I Online Service.

If there are to be additional users please tick the box and we will provide application forms

Terms and conditions

Investec Wealth & Investment (IW&I) offers IW&I Online to you in accordance with the applicable 'Terms for IW&I Online'. These are detailed in the Terms and Conditions document provided to you, and are reprinted below for convenience.

Disclaimer

The information contained on our website is published in good faith and has been obtained from trade and other sources believed to be reliable and accurate. No representation or warranty, express or implied, is made by us or by any person as to its accuracy, completeness or fairness and it should not be relied on as such. Any opinions or estimates expressed reflect our judgement at this date and are subject to change without notice. Any references to tax allowances and reliefs are based upon our understanding of the current legislation, which is subject to change. We are not responsible for the accuracy of information contained within sites provided by third parties which may have links to or from our pages.

Username and Password

In relation to this Username and Password you acknowledge and undertake that:

- i. you will be responsible for the confidentiality and use of your Username and Password;
- ii. other than with our prior written consent, you will not disclose your Username and Password to any other person for any purpose whatsoever;
- iii. we may rely on all instructions, orders and other communications entered using your Username and Password, and you will be bound by any transaction entered into or expenses incurred on your behalf in reliance on such instructions, orders and other communications; and
- iv. you will immediately notify us if you become aware of the loss, theft or disclosure to any third party or of any unauthorised use of your Username and Password.
- v. **you will immediately notify us if the named Adviser leaves your firm, in order that we can disable access.**

If we believe that your Username and Password is being used without your knowledge by unauthorised persons, we may without prior notice suspend your rights to use IW&I Online. Further, if we believe that you have supplied your Username and Password to other persons in breach of this Schedule, then we may terminate access to IW&I Online accordingly.

Data

We will provide you with such market data and information ('Data') through IW&I Online as we may determine from time to time. Data is obtained from both our systems and that of third party data providers, which we believe to be reliable but may be subject to change without notice.

You acknowledge and agree that:

- i. we do not independently verify and have no responsibility whatsoever for the content or accuracy of the Data and we give no warranty or assurance of any kind:
 - (a) as to the accuracy or completeness of any Data or as to the suitability of any Data for any purpose intended by you; or

(b) that the third party provider has the right and entitlement to provide the Data; and we shall have no liability for losses, costs, liabilities or expenses (including, without limitation, any loss of profit) which may arise directly or indirectly from use of or supply of Data or for any infringement of any third party intellectual property rights by reason of the provision of Data;

- ii. all Data is not to be interpreted as constituting any sort of advice or recommendation by us that any investment referred to therein is suitable for you;
- iii. all Data is either our own property or the property of third party data providers and is protected by copyright and other intellectual property laws. It may be displayed, re-formatted, stored or printed for your personal non-commercial use only. You agree not to reproduce, re-transmit or distribute Data to anyone without our prior written consent (and, where relevant, the prior written consent of the relevant data provider) and undertake that you will not sell or supply Data to any third party; and
- iv. you may print copies of any item in hard copy for your personal use or for use by others within your organisation. You may also download any item to a local hard disc provided it is for your personal use or access by others within your organisation.

Data Protection Legislation

Investec Wealth & Investment Limited is committed to processing your personal data in accordance with EU data protection laws.

We may use your personal data to provide you with services you request from us, or to manage your accounts, make decisions, detect and prevent fraud, fulfil any contractual relationship with you, undertake analysis and assessment, inform you about our products and services, ensure that we comply with legal and regulatory requirements and/or for other purposes where in our legitimate interests.

You must make sure that if you give us personal data about someone else, you should have a lawful basis for doing so, for example, you have their consent to share personal data with us. Where applicable, you should ensure they read this Data Protection Notice and understand how we will use and disclose their information, in the ways described in this Data Protection Notice.

For further details as to how Investec Wealth & Investment Limited uses personal data, please contact the Data Protection Officer or refer to our Data Protection Notice online at: www.investecwin.co.uk/data-protection-notice.

Liability

You acknowledge that the operation of IW&I Online is dependent upon computer and communication systems and software which may be susceptible to malfunction, unauthorised access, failure or interruption beyond the control of ourselves and that the Internet is not a completely reliable transmission medium and you agree that we shall have no liability and shall not be responsible for any failure to provide IW&I Online on the occurrence of a Force Majeure event and in such circumstances, any obligation we may have to supply or continue to supply IW&I Online shall be suspended pending resolution of the event or state of affairs in question.

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17. Electronic Reporting

If you use a back office system and require details to be provided for this client please provide details of the provider.

If we are able to support your request we will arrange to provide data. However, we do not offer this service for all back office systems.

18. Remuneration

We are able to facilitate adviser agreed remuneration which we can pay to you on behalf of your clients.

Non-Recurring Adviser Agreed Remuneration (% or £) can be paid at commencement. This will be paid in full on receipt of any cash and on the completion of the entire transfer of assets into the portfolio. (Please note that it is not intended to undertake interim payments).

Recurring Adviser Agreed Remuneration (% or £) is calculated quarterly in arrears based on the value of the portfolio on the last business day of February, May, August and November at the rate agreed in the Client Agreement or subsequent Client of Financial Adviser Amendment Form.

N.B. All remuneration payments are **inclusive** of any VAT that may be applicable.

Any changes to your existing adviser agreed remuneration and/or for additional remuneration relating to a further investment "top-up" (cash and/or stocks) to an existing client portfolio except for regular contributions to SIPP's etc, will require the completion of a Client of Financial Adviser Amendment Form (IW1343).

To enable us to make payments to you on behalf of your clients please provide details of your bank account. If you are a member of a Network these payments will normally only be made directly to the Networks Bank Account. However, if you have obtained prior agreement from your Network that revenue can be paid directly to your own bank account please tick the box.

ACCOUNT NAME		BANK NAME			
ADDRESS					
				POSTCODE	<input type="text"/>
ACCOUNT NUMBER		SORT CODE			

19. Anti-Money Laundering

I/We understand that Investec Wealth & Investment will require me/us to have obtained sufficient information to verify the identity of my/our clients and be able to provide evidence of a standard set out within the guidance for the UK Financial Sector issued by JMLSG or exceeds the standard evidence.

I/We understand that there will be occasions where Investec Wealth & Investment will request certified copies of the underlying documents. If I/We are unable to provide documentary evidence of money laundering verification, I/we have not undertaken verification or additional verification documentation is required, I/we understand that Investec Wealth & Investment will contact the client/s directly in order to fulfill its obligations under the money laundering legislation.

20. Declarations

I/We confirm that I/we have completed the above form accurately and to the best of my/our knowledge is correct.

I/We confirm that I/we will notify Investec Wealth & Investment of any changes to the above information.

I/We understand that Investec Wealth & Investment reserves the right to decline this application to open an agency or choose to defer the application pending additional information.

Completed by an authorised signatory of the firm:

NAME	
POSITION	
SIGNED	DATE <input type="text"/>

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INVESTMENT MANAGER /BUSINESS DEVELOPMENT DIRECTOR NAME

Please complete this form and return to your Investment Manager or other IW&I contact.

Bath	01225 341580	Edinburgh	0131 226 5000	Liverpool	0151 227 2030
Belfast	02890 321002	Exeter	01392 204404	London	020 7597 1234
Birmingham	0121 232 0700	Glasgow	0141 333 9323	Manchester	0161 832 6868
Bournemouth	01202 208100	Guildford	01483 304707	Reigate	01737 224223
Cheltenham	01242 514756	Leeds	0113 245 4488	Sheffield	0114 275 5100

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