

# Intermediary Questionnaire

**Please complete this questionnaire in full and provide all requested documentation to avoid any delays.**

## Contact details

Name of firm and any trading names

Registered office address

Postcode

Business address if different to above

Postcode

Website

Name of main contact for follow-up

Position within the firm

Direct telephone

Mobile

Email address

Have any current or previous officers of the board / shareholders been convicted of any criminal offence (other than minor motoring offences). Is any prosecution pending or has any person been disqualified as a company director? If so please provide details.

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## Regulation

In which jurisdiction(s) is the firm regulated to conduct this business? Please provide details:

Please specify the date of the most recent regulatory inspection (if any).

## Client protection

Does the firm hold Professional Indemnity Insurance? Yes      No

If 'Yes' what is the limit of cover for the indemnity?

Does the firm have a dedicated compliance team? Yes      No

Name of the Compliance Officer

Name of MLRO

Name of MLCO

Does the firm use an external compliance consultancy firm? Yes      No

If 'Yes' please provide details:

Does the firm follow compliance policy and procedures? Yes      No

Does the firm have a complaints register? Yes      No

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**Does the firm have a well documented policy and procedure in place for:**

Anti Money Laundering (AML)	Yes	No
Counter Terrorist Financing (CTF)	Yes	No
PEP	Yes	No
Sanctions	Yes	No
Bribery and Corruption	Yes	No
Does the firm have a Bribery & Corruption Policy?	Yes	No
Does the firm have a formal business continuity plan?	Yes	No

Please describe the basic provisions:

Please provide details of how employees are remunerated:

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## Completion and sign off

Questionnaire completed by

Position

### Signed off by

I/We declare that the information given in this application is true and complete.

Name

Signature

Position

Date

## Confidentiality

All information provided herein or herewith will be treated as confidential and will not at any time for any reason (save as required by law or regulation or at the request of an applicable regulatory authority) be disclosed to any person outside Vantage Pension Trustees Limited.

*Vantage Pension Trustees Limited reserves the right to ask for evidence or additional supporting information as required.*

Vantage Pension Trustees Limited, PO Box 420, Mielles House, St. Helier, Jersey JE4 0WQ  
**T:** +44 (0)1534 758875    **E:** info@vantage.je    **www.vantage-pensions.co**     Follow Vantage