



## Regulated Introducer Due Diligence Questionnaire

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Name of firm:		
Firm address:		
Principal(s) owner(s), directors, shareholders and Senior Managers		
Pension Transfer Specialist/Advisers will be checked on Introductions		
Main contact	Name:	
	Role:	
	Telephone number:	
	Email address:	
Website address:		
FCA registration number:		
How long has the company been authorised by the FCA?		
Is the company directly authorised or authorised through a network?		
Do you have permission to be an Introducer from within your network?		

<p>Do you have or have you ever had permission to transact defined benefit transfer business within your current firm?</p> <p>If not within your current regulated firm, is there an association or link to another regulated firm who has done defined benefit transfer business previously?</p> <p>If yes, please provide details?</p> <p>Within this previous business, please outline how much and what type of business you advised.</p> <p>If you are part of a Network, you have permission to become an Introducer and/or if there are permissions within the Network, why are you registering with EPA?</p>	
<p>If yes to any of the above, could you explain why do you no longer hold the permissions for this business?</p>	
<p>Does your firm have a model portfolio service (MPS), CIP or CRP proposition within your firm's Investment and/or Retirement proposition? Please provide details:</p>	
<p>Who manages your investment proposition?</p>	
<p>Please describe your investment proposition and approach to building investment portfolios for your clients - now and throughout retirement?</p>	

<p>Does the firm have a documented investment process, CIP or CRP or Investment committee?</p> <p>Please confirm that you have read our advice approach under EPA advice process, contained within the Introducer agreement.</p>	
<p>How many pension and investment related complaints were received by the firm in the preceding 24 months?</p>	
<p>How many were upheld? How many related to SIPP advice? How many for DB advice?</p>	
<p>How would you describe your investment approach?</p>	
<p>What cashflow modelling do you currently use for clients and please state the principle assumptions that you currently use when building your models.</p>	