**Principals and Permitted Staff DPB Questionnaire**

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| **Firm name:** | Click or tap here to enter text. | | |
| **DPB Contact Principal:** | Click or tap here to enter text. | | |
| **This form should be completed and returned to** | Click or tap here to enter text. | by | Click or tap to enter a date. |
| **If you have any queries please contact:** | Click or tap here to enter text. | | |
| **Reporting period from:** | Click or tap to enter a date. | | |
| **Reporting period to:** | Click or tap to enter a date. | | |

*You should answer all questions carefully. Your answers will form part of the firm’s annual investment business compliance review, which is a requirement of the firm’s DPB licence.*

**Please see Part 3, Schedule 2 of the** [**ICAS DPB Handbook**](https://www.icas.com/__data/assets/pdf_file/0011/469676/DPB-IB-Handbook-effective-1-June-2023-002.pdf) **for details of regulated activities.**

**Name of person completing the form**: *Click or tap here to enter text.*

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| **Regulated activities** | | |
|  | Have you, or any staff under your control, undertaken any of the following activities? | |
|  | Referred work to a PTP where no further involvement whatsoever was taken in the advising process. | *Choose an item.* |
|  | Referred work to a PTP, and/or commented on the advice received by the client, but did not make alternative recommendations. | *Choose an item.* |
|  | Arranged deals in quoted securities at the request of the client or on the advice of a PTP. | *Choose an item.* |
|  | Managed investments in conjunction with a PTP. | *Choose an item.* |
|  | Advised on the disposal of investments, other than shares of unquoted companies and rights in a pension scheme or policy. | Choose an item. |
|  | Advised on transactions in the shares of unquoted companies. | *Choose an item.* |
|  | Engaged in corporate finance activity involving transactions in shares of unquoted companies. | *Choose an item.* |
|  | Acted as a trustee or personal representative or held a power of attorney where all investment decisions were taken by, or on the advice of, a PTP. | *Choose an item.* |
|  | Managed investments without the involvement of a PTP. | *Choose an item.* |
|  | Advised on the disposal of rights in a personal pension scheme or policy. | *Choose an item.* |
|  | Engaged in corporate finance activity involving transactions in shares of quoted companies. | *Choose an item.* |
|  | Advised on the purchase of investments. | *Choose an item.* |
|  | Approved investment business advertisements or financial promotions for clients. | *Choose an item.* |
|  | Acted as a trustee or personal representative or held a power of attorney where investment decisions were taken without the involvement of a PTP. | *Choose an item.* |
|  | Advised on regulated home finance plans. | *Choose an item.* |
|  | Advised on general insurance. | *Choose an item.* |
| Where the answer to any of the above is Yes, please complete [Schedule 1](#Schedule1) | | |

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|  | Has the firm received any commission in respect of services you have provided to clients? | *Choose an item.* |
|  | If ‘Yes’, please provide details.  Click or tap here to enter text. | |
|  | Have you carried out any work highlighted above for new clients prior to carrying out any other services or for existing clients where no other services are provided? | *Choose an item.* |
|  | Have you referred any party, client or not, to an IFA, broker or other financial services entity not on the firm’s approved list? | *Choose an item.* |
|  | Have you taken on any personal appointments, such as a trusteeship, power of attorney or executorship, other than those already reported on a personal appointment notification form? | *Choose an item.* |
|  | Have any parties made any complaints about the firm’s investment services other than those already reported on a complaint form? | *Choose an item.* |
|  | Have any new client accounts been opened on behalf of clients? | *Choose an item.* |
|  | Have you approved any advertisements for the firm other than those notified on an advertisement/promotion approval form? | *Choose an item.* |
|  | Have you received, retained or passed on any client property not recorded in the firm’s client property register, no matter for how short a period it was held? | *Choose an item.* |

I have answered the questions above truthfully and honestly, to the best of my knowledge and belief.

I have read the firm’s DPB Manual and the [ICAS DPB Handbook](https://www.icas.com/__data/assets/pdf_file/0011/469676/DPB-IB-Handbook-effective-1-June-2023-002.pdf).

I have only undertaken regulated activities where I am permitted by the firm to do so.

I have not undertaken any regulated activities for which I am not fully competent and I have obtained sufficient CPD to maintain such competence.

Any staff under my control, and not on the permitted list, have only undertaken regulated activities under my direct supervision.

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| Signed: | *Click or tap here to enter text.* | Date: | *Click or tap to enter a date.* |

**Schedule 1 – Clients for which regulated activity has been undertaken**

**A picture containing text

Description automatically generated**

|  |  |
| --- | --- |
| **Client** | **Categories of regulated activity undertaken** |
| *Click or tap here to enter text.* | |  | | --- | | *Choose an item.* | |