



DUE DILIGENCE CHECKLIST

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| COMPANY DETAILS: | |
| Registered company name: | |
| Trading Names: | |
| Registered Office: | |
| Trading addresses: | |
| Email: | |
| Phone: | |
| Fax: | |
| Company Incorporation Number | |
| FCA/SRA Registration Number (if applicable) | |
| ICO License Number (if applicable) | |
| Contact Name: | |
| Website address | |
| COMPLIANCE: | |
| Do you engage an outside compliance specialist? (if yes, please name) | |
| Do you have documented compliance policies / controls in place Please summarise these policies / controls | |
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| Please describe your ongoing compliance process to ensure your company stays up to date with changes in the law as well as any and all regulations applicable to your business | |
| Have you had any contact from a regulator that we need to be aware of? | |
| Complaints | |
| Do you have a customer complaints policy and how do customers access this? | |
| How many complaints were received in the last 12 months? How many of the complaints received were upheld? | |
| What training do your staff receive in relation to your policies and procedures? | |
| Please provide details of any complaints to the FCA/SRA complaints within the last two years | |
| Please provide details of any ICO complaints within the last two years | |
| Data Security and Protection | |
| Please name and provide contact details of your Data Protection Officer | |
| How long do you retain customer data? | |
| How do you deal with breaches made by staff in relation to your policies and procedures | |
| General | |
| Do you have a Business Continuity Plan? | |
| How often the plan is tested? | |
| Personnel | |
| Compliance Officer Name | |
| Compliance contact email: | |
| Signed by | |
| On behalf of | |
| Print Name: | |
| Position: | |

