

BCP Products Due Diligence

To be completed by Managing Director, Sales Director or Principal of the Intermediary Firm

Legal Name of Intermediary (*the Firm*):

Trading name *if different*:

Has the Firm placed clients into Capital Secure Deposit Based Bonds?

YES NO

How long has it being doing so?

Has the Firm placed clients into Capital Secure Note/Certificate Based Bonds?

YES NO

How long has it being doing so?

Do you understand the difference between Capital Secure Deposit Based Bonds and Capital Secure Note/Certificate Based Bonds?

YES NO

Do you understand that not all capital secure products provide compensation arrangements in respect of counterparty default?

YES NO

Do you understand that a Note and a Certificate are senior unsecured debt securities issued by a bank?

YES NO

Has the Firm placed clients into Soft Protected/ "Kick-Out" Bonds?

YES NO

How long has it being doing so?

For soft capital protected products do you understand the impact on the client's investment in the event of breaching the barrier?

YES NO

DECLARATION

I confirm that

- With respect to a BCP product (where BCP act as a producer, lead distributor or fund manager) which the Firm recommends to a client the Firm will advise BCP if any marketing content or the terms and conditions are not understood by the Firm;
- Where there is no compensation scheme for investors in the event of counterparty default the Firm will advise its clients of this fact;
- Where a client's previous investment experience in capital secure products is products providing hard capital security, the Firm will highlight and explain the differences of these as compared to products with soft capital protection.

SIGNATURE

I confirm the Firm has adequate systems and controls in place to meet the Central Bank of Ireland's Consumer Protection Code and Minimum Competency Code.

I confirm the above statements are true and accurate.:

Signed for and on behalf of the Firm:

Name (*print*):

Position: