

Appropriateness Assessment

Whilst we encourage investors to seek advice from a financial adviser prior to investing in a Walker Crips structured investment plan, we understand that your investment experience, education or occupation may have equipped you with relevant investment knowledge to the extent that you are very comfortable making your own investment decisions.

Some of our structured investment plans are available to investors with such investment knowledge and experience that they are likely to understand the features, terms and risks involved in investment into structured investment plans without seeking professional advice, i.e. on a non-advised or 'execution-only' basis.

Before accepting an application to invest in a Walker Crips structured investment plan on a non-advised basis, we need to understand your level of relevant investment knowledge and experience to assess whether such investment is likely to be appropriate for you.

The following questions are designed to indicate whether you have relevant investment knowledge and experience and whether we are therefore able to accept an application from you on a non-advised basis.

Unfortunately, where we have not received a completed Appropriateness Assessment, or where the outcome of the assessment does not conclude that investment into a structured investment plan on a non-advised basis is likely to be appropriate, we regret that we cannot accept your application and may request that you seek advice from a financial adviser before re-submitting an application.

Please return your completed form to wcsi@wcgplc.co.uk or by post to Walker Crips Structured Investments, Old Change House, 128 Queen Victoria Street, London EC4V 4BJ.

Please answer each of the questions. Should you choose not to answer one or more of the questions we will not be able to assess the appropriateness of this investment for you and may decline your application.

1. Structured Products

Do you understand and accept that, in investing in a structured capital-at-risk product:	Yes	No
Your capital is at risk and you may lose some or all of your investment?	<input type="checkbox"/>	<input type="checkbox"/>
The value of the product may fluctuate over time and if you sell it before the maturity date you may receive back significantly less than you invested?	<input type="checkbox"/>	<input type="checkbox"/>
You must be able to commit to the full investment term of the product, for example six years, and you should therefore have sufficient alternative funds to meet any planned expenses or emergencies?	<input type="checkbox"/>	<input type="checkbox"/>
If the Counterparty were to fail or become insolvent you could lose some or all of your investment and you would not have recourse to the Financial Services Compensation Scheme (FSCS)?	<input type="checkbox"/>	<input type="checkbox"/>
You will not receive any return above the amount that is shown in the product literature and that you may not receive any return at all?	<input type="checkbox"/>	<input type="checkbox"/>
The potential return on the product is dependent on the performance of one or more indices, for example the FTSE 100 Index and the S&P 500 Index?	<input type="checkbox"/>	<input type="checkbox"/>
A structured investment which is linked to more than one index increases your chance of losing capital and decreases your chance of capital growth?	<input type="checkbox"/>	<input type="checkbox"/>

2. Knowledge and Experience

Which of these investments have you held in the past?

- Stocks and shares
- Tracker funds (e.g. funds that track an index)
- Actively managed funds (i.e. funds managed by a fund manager)
- Structured products
- Spread bets/options
- Other
- I have not previously held any investments

For how long have you been investing?

- 10 years +
- Up to 10 years
- Up to 5 years
- Up to 2 years
- No investment experience

What is your attitude to personal finances?

- I work, or have previously worked, in the financial industry and therefore consider myself very knowledgeable on financial matters
- I follow financial markets closely and have a good understanding of financial matters
- I am interested and reasonably knowledgeable in financial markets but don't consider myself an expert
- I have a basic knowledge of financial markets and some understanding of general financial matters
- I am not particularly knowledgeable or interested in financial matters

How many times a year do you buy investment products?

- More than 10 times
- 6 to 10 times
- 3 to 5 times
- 1 to 2 times
- Less than once
- Never

What is the value of your household investable assets?

- Over £1 million
- £500,000 to £1 million
- £250,000 to £500,000
- £200,000 to £250,000
- £150,000 to £200,000
- £100,000 to £150,000
- £50,000 to £100,000
- £25,000 to £50,000
- £10,000 to £25,000
- £0 to £10,000

What qualifications / level of education do you have?

- Masters / PhD
- Bachelor Degree
- A Level (or equivalent)
- Vocational / professional
- GCSE (or equivalent)
- No formal qualification

3. Applicant declaration

The information above is true and correct to the best of my knowledge and belief, and I agree to advise WCSB without delay of any change in my circumstances affecting any of the information on this assessment.

Signature

Print Name

Date

For internal use only

Score Category Outcome

Assessed by Date

Old Change House, 128 Queen Victoria Street, London EC4V 4BJ
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