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?		
The value of the product may fluctuate over time and if you sell it before the maturity date you may receive back significantly less that you invested?		
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?		
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)?		
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?		
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?		
A structured investment which is linked to more than one index increases your chance of losing capital and decreases your chance of capital growth?		

2. Knowledge and Experience

5 1	
Which of these investments have you held in the past?	How many times a ye products?
Stocks and shares	More than 10 times
Tracker funds (e.g. funds that track an index)	6 to 10 times
Actively managed funds (i.e. funds managed by a	3 to 5 times
fund manager)	1 to 2 times
Structured products	Less than once
Spread bets/options	Never
Other	
I have not previously held any investments	
	What is the value of y investable assets?
For how long have you been investing?	Over £1 million
🗌 10 years +	☐ £500,000 to £1 mil
Up to 10 years	\Box £250,000 to £100,
Up to 5 years	\Box £200,000 to £300,
Up to 2 years	☐ £150,000 to £200,0
No investment experience	☐ £100,000 to £150,0
	☐ £50,000 to £100,0
What is your attitude to personal finances?	£25,000 to £50,00
\Box I work, or have previously worked, in the financial	☐ £10,000 to £25,000
industry and therefore consider myself very	☐ £0 to £10,000
knowledgeable on financial matters	
I follow financial markets closely and have a good understanding of financial matters	What qualifications /
I am interested and reasonably knowledgeable in	do you have?
financial markets but don't consider myself an	Masters / PhD
expert	Bachelor Degree
\Box I have a basic knowledge of financial markets and	A Level (or equivale
some understanding of general financial matters	Vocational / profes
I am not particularly knowledgeable or interested	

I am not particularly knowledgeable or interested in financial matters

ear do you buy investment

your household

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level of education

- ent)
- sional
- GCSE (or equivalent)
- □ No formal qualification

3. Applicant declaration

	on above is true and correct to the best of my knowledge in my circumstances affecting any of the information or		thout delay
Signature			
Print Name			
Date		I	
For internal use on			
Score	Category	Outcome	••••••
Assessed by		Date	

Old Change House, 128 Queen Victoria Street, London EC4V 4BJ 020 3100 8880 l wcsi@wcgplc.co.uk l www.wcgplc.co.uk/wcsi

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