

Dear Sir

INTRODUCER REVIEW OF SUITABILITY

Name of Financial Institution	
Name of Customer	
Current Investment Strategy	

I confirm that within the last 12 months I have updated and reviewed the information held for my client, and my assessment of the suitability of Oxonian Capital's service and the client's particular investment strategy, in accordance with the Rules in COBS9A of the FCA Handbook. In making this assessment I have taken into account all necessary "Know Your Client" information, including their knowledge and experience, financial situation and investment objectives.

As a result of that review (Please tick one of the following)

- ☐ The existing investment strategy remains suitable for my client
- ☐ The current investment strategy is no longer suitable for my client and should be altered to:

Growth / Balanced Growth / Balanced / Cautious Balanced / Cautious

Because:

- ☐ Please contact me to discuss my client's investment strategy

Vulnerable Clients:

I have considered the vulnerability of the client(s) and as a result of that assessment:

- ☐ Do not consider the client(s) vulnerable
- ☐ Do consider the client(s) vulnerable

If you consider the client(s) vulnerable, please explain why and what actions you have taken:

Signed	Full Name	
	Position	
	Date	

Head Office:

1 The Square, Temple Quay, Bristol BS1 6DG

tel: 0117 925 6073

email: enquiries@rcbim.co.uk **www.rcbim.co.uk**

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