



**BLACKMORE BORLEY LIMITED**  
**(FSA) REGULATORY INSURANCE CHECKLIST**

52 Lime Street  
London  
EC3M 7NP

1) Have you read and understood the rules and regulations issued by your regulator and are you in compliance?	Yes / No
2) Have you requested any updates in the regulatory requirements to which you must apply?	Yes / No
3) Are you confident that all transactions initiated by yourself have been in compliance with the appropriate regulations?	Yes / No
4) Assuming that you are in compliance are you confident that your fellow employees are also compliant, especially those for which you manage?	Yes / No
5) Have you ever been investigated?	Yes / No
6) Do you know of anybody who has been investigated?	Yes / No
7) Would you know what to do if you were investigated?	Yes / No
8) Do you think your company would offer you financial support and time away from work whilst you are preparing for and attending an investigation?	Yes / No
9) Could you afford independent expert legal representation if investigated?	Yes / No
10) Do you know how much such legal advice would cost?	Yes / No
11) If you were investigated and found to be in breach of the regulations do you think your career would be affected?	Yes / No
12) Are you satisfied that there are no conflicts of interest between you and your employer with regard to regulatory matters?	Yes / No
13) Are procedures in place to ensure that your company complies with all existing regulatory legislation and E.U. Directives?	Yes / No
14) Are you satisfied that adequate insurance has been considered, and where appropriate purchased, to protect your company's assets?	Yes / No

This list is of a general questions only and does not form part of a Regulatory Insurance application or condition to any insurance policy issued. However it is designed to try and demonstrate the need for this insurance. For more details please contact Blackmore Borley Limited on 020 7929 4616 or visit our website ([www.regulatoryinsurance.com](http://www.regulatoryinsurance.com)) for sight of the policy wording and an online quotation.