

**Illustrative Questionnaire for the
Due Diligence of
Vendor Technology and Cyber Security**

**(Short Form Version)**

|  |
| --- |
| NAME OF COMPANY RESPONDING: |
| Click here to enter text. |
|  |
| AS OF DATE OF THIS DDQ:  |
| Click here to enter a date. |
|  |
| CONTACT DETAILS FOR PERSON AT VENDOR TO DISCUSS THIS DDQ WITH: |
| Click here to enter text. |
|  |
| [ ]  | Tick here if the vendor undertakes to notify the recipient of material changes that take place to answers provided in this DDQ |
| NAME OF REQUESTING AITEC/AIMA MEMBER: |
| Click here to enter text. |

PURPOSE

AITEC consists of over 400 CTO’s, CISO’s and other executive level technologists who work in the alternate investment space and AIMA has more than 1,800 members globally. AITEC and AIMA are currently looking to take advantage of their memberships’ scale by asking members to engage their vendor partners to participate in the DDQ program.

Essentially the program puts the vendor in control by leaving who gets access to their completed questionnaires up to them. Only AITEC and AIMA members who are your clients or prospects and who have executed their own confidentiality agreement with your firm will have access to your completed questionnaire.

**Members are forbidden from distributing your completed questionnaires to other members without explicit permission from your firm.**

Participation in the program simply requires that your firm have a completed copy on hand for members to request their own copies. It will be up to your firm and clients to negotiate a confidentiality agreement prior to sharing with them your completed questionnaire.

DISCLAIMER

None of AITEC, AIMA, or their respective officers, employees or agents makes any representation or warranty, express or implied, as to the adequacy, completeness or correctness of the questionnaire. No liability whatsoever is accepted by AITEC, AIMA, or their respective officers, employees or agents for any loss howsoever arising from any use of this questionnaire or its contents or otherwise arising in connection therewith. For the avoidance of doubt, note that, by providing this questionnaire, neither AITEC nor AIMA acts as legal counsel in any jurisdiction.

USE OF THIS QUESTIONNAIRE IS RESTRICTED

Members of AITEC and AIMA have a limited license to use this questionnaire while they are members in the circumstances set out in the Terms of Use. Vendors who are not members of AITEC or AIMA also have a limited license to use this questionnaire in the relevant circumstances set out in the Terms of Use. This license does not include permission to circulate this questionnaire to any other persons nor does it include permission for use by non-members in any other circumstances. The copyright in this questionnaire is the sole property of AITEC and AIMA. You may not distribute it or copy it for any purpose other than in line with the limited license set out above without prior written consent from AITEC and AIMA.

VENDOR CERTIFICATION

Vendors filling in this DDQ must make one of the certifications below. When the DDQ is provided in other than electronic platform format, the certification must appear in a location that is between the front cover page and the table of contents regardless of format.

|  |
| --- |
| Tick the one that applies. If none do, then neither you nor your firm is authorised to distribute this DDQ under AITEC’s or AIMA’s copyright. |
|[ ]  I am a member of AITEC and I represent the vendor and *neither I nor the vendor have changed any of the questions or set response choices*. We have abided by the Terms of Use. |
|[ ]  I am a member of AITEC and I represent the vendor and *some of the questions or set response choices have been changed and I have accordingly removed the AITEC and AIMA branding as required*. We have abided by the Terms of Use. |
|[ ]  Our firm is a vendor that is a member of AIMA and *we have not changed any of the questions or set response choices*. We have abided by the Terms of Use. |
|[ ]  Our firm is a vendor that is a member of AIMA and *we have changed some of the questions or set response choices and have accordingly removed the AITEC and AIMA branding as required*. We have abided by the Terms of Use. |
|[ ]  Our firm is not itself a member of AIMA or represented by a member of AITEC but this DDQ was provided to our firm to fill in by a member of AIMA or AITEC. We understand that because our firm is not a member of AIMA or represented by a member of AITEC, our firm is not authorised under the copyright to supply a completed copy of this DDQ to anyone other than the providing member of AIMA or AITEC. *We have not changed any of the questions or set response choices*. We have abided by the Terms of Use. |
|[ ]  Our firm is not itself a member of AIMA or represented by a member of AITEC but this DDQ was provided to our firm to fill in by a member of AIMA or AITEC. We understand that because our firm is not a member of AIMA or represented by a member of AITEC, our firm is not authorised under the copyright to supply a completed copy of this DDQ to anyone other than the providing member of AIMA or AITEC. *We have changed some of the questions or set response choices and have accordingly removed the AITEC and AIMA branding as required*. We have abided by the Terms of Use. |

[Short Form Questionnaire 2](#_Toc529872515)

[1. Company Information 2](#_Toc529872516)

[2. Product/Service Information 5](#_Toc529872517)

[3. Policies, Procedures, Standards and Controls 6](#_Toc529872518)

[4. Data Security 7](#_Toc529872519)

[5. System Maintenance 10](#_Toc529872520)

[6. Access Controls 11](#_Toc529872521)

[7. Infrastructure Security 13](#_Toc529872522)

[8. Physical Security 15](#_Toc529872523)

[9. Business Continuity 16](#_Toc529872524)

[10. Cyber Incident Response 18](#_Toc529872525)

[11. Software Development 18](#_Toc529872526)

[12. Additional Questions 19](#_Toc529872527)

[13 Company Comments 19](#_Toc529872528)

[FURTHER INSTRUCTIONS 20](#_Toc529872529)

[TERMS OF USE 22](#_Toc529872530)

| Short Form Questionnaire |
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| *To the reader*: In the first column, if the “N/A” box is selected, the company believes the question is not applicable to the company’s operations and the company has deliberately left all of the answer choices for that question blank. If the “More” box is selected, this is a signal to the reader that the company has provided additional information relating to that particular question/response/topic in the “Company Comments” area starting on page 19. |
| 1. Company Information |
| 1.1 Contact Information |
| 1.1.1 [ ] N/A [ ] More | What is the name of the vendor completing this DDQ (referred to in the DDQ as the ‘company’)? | Click here to enter text. |
| 1.1.2 [ ] N/A [ ] More | Is the legal name of the company different from the name of the company completing this DDQ? | [ ]  Yes, and the company’s legal name is provided below.[ ]  NoClick here to enter text. |
| 1.1.3 [ ] N/A [ ] More | What is the company’s principal business address? | Click here to enter text.  |
| 1.1.4 [ ] N/A [ ] More | Is the registered address of the company different from its principal business address? | [ ]  Yes, and the company’s registered address is provided below.[ ]  NoClick here to enter text. |
| 1.1.5 [ ] N/A [ ] More | What is the company’s registration number? | Click here to enter text.[ ]  Not applicable |
| 1.1.6 [ ] N/A [ ] More | What is the company’s website address? | Click here to enter text. |
| 1.1.7 [ ] N/A [ ] More | (a) Does the company have a primary relationship manager? | [ ]  Yes[ ]  No, and, as a consequence, (b)-(e) below have been left blank.[ ]  No, and, as a consequence, the rows for Questions 1.1.7(b)-(e) in the template DDQ have been omitted. |
| [ ] N/A [ ] More | (b) What is the full name of the primary relationship manager? | Click here to enter text. |
| [ ] N/A [ ] More | (c) What is the job title of the primary relationship manager? | Click here to enter text. |
| [ ] N/A [ ] More | (d) What is the telephone number of the primary relationship manager? | Click here to enter text. |
| [ ] N/A [ ] More | (e) What is the email address of the primary relationship manager? | Click here to enter text. |
| 1.1.8 [ ] N/A [ ] More | Does the company have an information security contact that clients can reach out to directly? | [ ]  Yes, and contact details for that person are set out below.[ ]  NoClick here to enter text. |
| 1.2 Financial Matters |
| 1.2.1 [ ] N/A [ ] More | Has the company ever received a qualified or going concern opinion with respect to its audited financial statements? | [ ]  Yes, and details are provided below.[ ]  No[ ]  Not applicable Click here to enter text. |
| 1.3 Regulatory Matters |
| 1.3.1 [ ] N/A [ ] More | Does the company require any authorization and/or registration with a regulatory authority in order to provide the relevant product and/or service? | [ ]  Yes, and the names(s) of the relevant regulator(s) together with the authorization and/or registration number(s) is provided below.[ ]  NoClick here to enter text. |
| 1.4 Employment Screening |
| 1.4.1 [ ] N/A [ ] More | Which types of internal (i.e., performed by company personnel) and external (i.e., performed by a third-party vendor) background checks does the company conduct for each category of person/entity before they are hired and are granted access to sensitive data and how frequently are such checks made/renewed?**Instructions:** For each type of check listed in the table below, indicate which types of persons are subject to that check and with what frequency (selecting as many of the frequency choices as apply in each case).For companies employing more than 250 people, the response to this question may be limited to the C-suite and employees, consultants, external providers and others related to the relevant product and/or service. | [ ]  See table below.[ ]  The company has more than 250 employees and we have chosen to limit our response to this question in accordance with the instructions. See table below.[ ]  None, and, as a consequence, the table below has been left blank.[ ]  None, and, as a consequence, the rows containing the table following Question 1.4.1 in the template DDQ have been omitted. |
| Type of background check | Type of person/entity |
| Permanent Employee | Temporary Employee | Consultant | External Provider | Other |
| Credit (internal) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Credit (external) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Criminal (internal) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Criminal (external) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Drug (internal) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Drug (external) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Employment (internal) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Employment (external) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Other (internal) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| Other (external) | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable | [ ]  Pre-hiring[ ]  On hiring[ ]  Annually[ ]  Ad hoc[ ]  Not applicable |
| 1.4.2 [ ] N/A [ ] More | Are employees, subcontractors and temporary workers with access to client data legally bound to confidentiality (whether separately or as part of their employment contract and/or code of conduct)? | [ ]  Yes[ ]  No |
| 1.4.3 [ ] N/A [ ] More | Are employees, subcontractors and temporary workers with access to client data, bound by the company’s Information Security Procedures?  | [ ]  Yes[ ]  No |
| 1.4.4 [ ] N/A [ ] More | Does the company review/assess the security posture of all third parties that have access to the company’s client data or environment via their own systems? (*Select one*) | [ ]  Company personnel undertake this review/assessment with the assistance of an independent third-party firm.[ ]  Company personnel undertake this review/assessment without the assistance of any third parties.[ ]  An independent third-party firm performs this review/assessment for the company.[ ]  Not applicable |
| 1.5 Complaints and Litigation |
| 1.5.1 [ ] N/A [ ] More | Have there been any prior lawsuits (in the last five years) to which the company was a party that involved allegations of privacy breaches or data breaches? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 1.5.2 [ ] N/A [ ] More | Are there any current or pending lawsuits to which the company is a party that involve allegations of privacy breaches or data breaches?  | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 2. Product/Service Information |
| 2.1 [ ] N/A [ ] More | By what name does the company refer to the product and/or service to which the responses in the rest of the DDQ relate (the ‘relevant product and/or service’)? | Click here to enter text. |
| 2.2 [ ] N/A [ ] More | Please describe the nature of the relevant product and/or service. | Click here to enter text. |
| 2.3[ ] N/A [ ] More | To how many active clients does the company provide the relevant product and/or service? Please indicate whether this is the current peak. | Click here to enter text. |
| 2.4 [ ] N/A [ ] More | Does the company have any dedicated cyber security staff supporting the relevant product and/or service? | [ ]  Yes[ ]  No |
| 3. Policies, Procedures, Standards and Controls |
| 3.1 [ ] N/A [ ] More | What aspects are covered in the company’s policies, procedures, standards and controls? *(Select all that apply)* | [ ]  Acceptable use[ ]  Account/credentials management[ ]  Anti-virus and anti-malware[ ]  Clean desk[ ]  Data destruction[ ]  Email and messaging[ ]  Encryption[ ]  Multi-factor authentication[ ]  Network access[ ]  Passwords[ ]  Patch management[ ]  Personal/mobile devices[ ]  Personally-identifiable and/or sensitive information[ ]  Personnel security training[ ]  Physical security[ ]  Remote access [ ]  Removable media[ ]  Reporting security violations[ ]  Social media/networking[ ]  Software usage and licensing[ ]  Systems and software inventory[ ]  Systems monitoring[ ]  Third party/vendor access[ ]  Wireless network communications[ ]  Other (Provide additional comments)[ ]  Not applicableClick here to enter text. |
| 3.2 [ ] N/A [ ] More | How often are the company’s written policies and procedures reviewed and updated? *(Select one)* | [ ]  At least monthly[ ]  At least quarterly[ ]  At least semi-annually[ ]  At least annually[ ]  Other (Provide additional comments)[ ]  Not applicableClick here to enter text. |
| 3.3[ ] N/A [ ] More | Does the company make any exceptions to the security policy/processes for person or group of persons? *(Select all that apply)* | [ ]  C-suite executives[ ]  Senior staff[ ]  Staff working remotely[ ]  Temporary employees[ ]  Consultants[ ]  Other (Provide additional comments)[ ]  No exceptionsClick here to enter text. |
| 3.4 [ ] N/A [ ] More | Are policies or procedures in place to plan, manage, test, document and approve changes to production systems? | [ ]  Yes, and a summary of the change management procedures is provided below.[ ]  No[ ]  Not applicableClick here to enter text. |
| 3.5 [ ] N/A [ ] More | Which of the following applies to security awareness training of staff? *(Select all that apply)* | [ ]  In-person security training[ ]  Mandatory for all staff[ ]  Tailored dependent on role[ ]  Staff periodically test phished[ ]  Online security training material[ ]  Staff notices regarding new security threats[ ]  Password security best practices training[ ]  Other (Provide additional comments)[ ]  None of the aboveClick here to enter text. |
| 3.6 [ ] N/A [ ] More | How often does the company conduct security awareness training? *(Select all that apply)* | [ ]  On an as-needed basis for individuals[ ]  When staff first join[ ]  Annually[ ]  Other (Provide additional comments)[ ]  No training is providedClick here to enter text. |
| 4. Data Security |
| 4.1 Data Management |
| 4.1.1 [ ] N/A [ ] More | Does the company process Non-Public Personal Information (‘NPPI’) or Personally Identifiable Information (‘PII’) or Sensitive Personal Information (‘SPI’) (whether supplied by the client or other party) as it pertains the product/service offered? | [ ]  Yes[ ]  No |
| 4.1.2 [ ] N/A [ ] More | Where does the company store client data for this product and/or service? *(Select all that apply)* | [ ]  Data centers[ ]  Cloud providers[ ]  On laptops or other devices allowed to be carried offsite by employees[ ]  On laptops or other devices not allowed to be carried offsite[ ]  On laptops or other devices controlled by contractors[ ]  Other (Provide additional comments)[ ]  Not applicableClick here to enter text. |
| 4.2 Mobile Access |
| 4.2.1 [ ] N/A [ ] More | (a) Does the company allow employees to use company provisioned laptops or tablet devices to store or process company information? | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 4.2.1(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) What security measures does the company implement to protect information on all company provisioned laptops and tablet devices? *(Select all that apply)* | [ ]  Antivirus[ ]  Configuration management[ ]  Data loss prevention[ ]  Drive encryption[ ]  Endpoint Detection and Response (EDR)[ ]  Enforced VPN[ ]  Host-based firewall[ ]  Host-based Intrusion Prevention System (HIPS)[ ]  Inventory management[ ]  Location tracking[ ]  Mobile device policy[ ]  Mobile Device Management (MDM) platform[ ]  Operating system hardening[ ]  Web filtering[ ]  Regular patching schedule (at least quarterly)[ ]  Remote wipe capabilities[ ]  Sandboxing[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 4.2.2 [ ] N/A [ ] More | (a) Does the company allow employees to use removable media (e.g., USB storage, DVD) to store or process company information? *(Select all that apply)* | [ ]  Yes[ ]  No except as explained below[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 4.2.2(b) in the template DDQ has been omitted.Click here to enter text. |
| [ ] N/A [ ] More | (b) What security measures does the company implement to protect information on all removable media and the devices the media is plugged into? *(Select all that apply)* | [ ]  Antivirus[ ]  Configuration management[ ]  Data loss prevention[ ]  Endpoint Detection and Response (EDR)[ ]  Enforced encryption of removable media[ ]  Host-based firewall[ ]  Host-based Intrusion Prevention System (HIPS)[ ]  Regular patching schedule (at least quarterly)[ ]  Inventory management[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 4.2.3 [ ] N/A [ ] More | (a) Does the company allow employees to use company provisioned mobile devices to store or process company information? *(Select all that apply)* | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 4.2.3(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) What security measures does the company implement to protect information on all company provisioned mobile devices? *(Select all that apply)* | [ ]  Application whitelisting[ ]  Disallow jail-broken/rooted devices[ ]  Encryption of all storage[ ]  Enforced patch levels[ ]  Enforced VPN[ ]  Inventory management[ ]  Location tracking[ ]  Mobile device policy[ ]  Mobile Device Management (MDM) platform[ ]  Multifactor authentication[ ]  Remote wipe capabilities[ ]  Secure containers[ ]  Strong PIN/password protection[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 4.2.4 [ ] N/A [ ] More | (a) Does the company allow employees to bring their own mobile devices (i.e., BYOD) to store or process company information? | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 4.2.4(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) What safeguards does the company have in place to prevent staff’s personal devices from being compromised? *(Select all that apply)* | [ ]  Application whitelisting[ ]  BYOD policy[ ]  Disallow jail-broken/rooted devices[ ]  Encryption of all storage [ ]  Enforced patch levels[ ]  Enforced VPN[ ]  Inventory management[ ]  Location tracking[ ]  Mobile Device Management (MDM) platform[ ]  Multifactor authentication[ ]  Remote wipe capabilities[ ]  Secure containers[ ]  Strong PIN/password protection[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 4.3 Data Loss Prevention |
| 4.3.1 [ ] N/A [ ] More | Does the company have monitoring to prevent or detect data leakage? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 4.3.2 [ ] N/A [ ] More | Please indicate the types of sites/services blocked by the company through a web proxy or other means. *(Select all that apply)* | [ ]  Compromised/malicious web sites[ ]  Personal web mail[ ]  Data sharing sites[ ]  Social media sites[ ]  Internet chat[ ]  Other (Provide additional comments)[ ]  No services are blockedClick here to enter text. |
| 4.3.3 [ ] N/A [ ] More | Which of the following applies to the secure disposal of electronic storage media (e.g., hard drives, optical media) and hard copy data (e.g., document pulping or shredding)? *(Select all that apply)* | [ ]  Store physical devices in a location with restricted access[ ]  Maintain records of decommissioning[ ]  Obtain evidence (Certificate of Disposal)[ ]  Secure removal and destruction of documents based on sensitivity of data[ ]  Secure removal and destruction of electronic storage media based on sensitivity of data[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 5. System Maintenance |
| 5.1 [ ] N/A [ ] More | What testing is performed before applying major third-party system updates? *(Select all that apply)* | [ ]  Tested by technical staff[ ]  Tested by end users[ ]  Automated testing[ ]  Rollback plans are made and tested[ ]  Deployed into a separate test environment[ ]  Security review[ ]  Performance and capacity review[ ]  Other (Provide additional comments)[ ]  None (Provide additional comments)Click here to enter text. |
| 5.2 [ ] N/A [ ] More | (a) Does the company conduct regular vulnerability assessments on its internal devices?  | [ ]  Yes[ ]  No, and, as a consequence, (b)-(c) below have been left blank.[ ]  No, and, as a consequence, the rows for Questions 5.2(b)-(c) in the template DDQ have been omitted.[ ]  Not applicable, and, as a consequence, (b)-(c) below have been left blank. [ ]  Not applicable, and, as a consequence, the rows for Questions 5.2(b)-(c) in the template DDQ have been omitted. |
| [ ] N/A [ ] More | (b) How often does the company conduct a vulnerability assessment? *(Select one)* | [ ]  Intraday[ ]  At least daily[ ]  At least weekly[ ]  At least monthly[ ]  At least quarterly[ ]  At least semi-annually[ ]  At least annually[ ]  Other (Provide additional comments)Click here to enter text. |
| [ ] N/A [ ] More | (c) Which of the following does the company check as part of the vulnerability assessments performed? *(Select all that apply)* | [ ]  All computers[ ]  All workstations[ ]  All servers[ ]  All printers, telephones and network devices[ ]  All internet facing systems[ ]  Missing operating system patches[ ]  Out of date software[ ]  Web application vulnerabilities[ ]  Fuzzing[ ]  Other (Provide additional comments)Click here to enter text. |
| 5.3 [ ] N/A [ ] More | How often are security updates applied to all network devices, servers, desktops and applications? *(Select all that apply)* | [ ]  Daily[ ]  Weekly[ ]  Monthly[ ]  Quarterly[ ]  Semi-annually[ ]  Annually[ ]  Other (Provide additional comments)[ ]  Never[ ]  Not applicableClick here to enter text. |
| 6. Access Controls |
| 6.1 Entitlements |
| 6.1.1 [ ] N/A [ ] More | Are entitlements to all applications, databases, servers and systems restricted only to personnel who need such access for operational purposes (i.e., least privilege)? | [ ]  Yes[ ]  No  |
| 6.1.2 [ ] N/A [ ] More | How often are the user entitlements to all applications, databases, servers and systems reviewed? *(Select all that apply)* | [ ]  On initial setup only[ ]  Daily[ ]  Weekly[ ]  Monthly[ ]  Quarterly[ ]  Semi-annually[ ]  Annually[ ]  Other (Provide additional comments)[ ]  NeverClick here to enter text. |
| 6.2 Client Access Controls |
| 6.2.1 [ ] N/A [ ] More | (a) Does the company provide clients a login of any type? | [ ]  Yes[ ]  No, and, as a consequence, (b)-(g) below have been left blank.[ ]  No, and, as a consequence, the rows for Questions 6.2.1(b)-(g) in the template DDQ have been omitted. |
| [ ] N/A [ ] More | (b) Are client logon credentials (user ID and password) encrypted during network transit? | [ ]  Yes[ ]  No |
| [ ] N/A [ ] More | (c) Are client passwords protected in storage (i.e., using a securely designed password hashing function)? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| [ ] N/A [ ] More | (d) Is there an automated control in place to prevent excessive login attempts under the same account or from the same IP address (i.e., client accounts will be locked after a predefined number of unsuccessful login attempts)? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| [ ] N/A [ ] More | (e) Does the company’s system support single sign on (SSO) methods for authentication? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| [ ] N/A [ ] More | (f) Does the company’s system offer the ability to restrict access within the application based on roles assigned to authorized users?  | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| [ ] N/A [ ] More | (g) Does the company’s system provide access audit reports for client review? | [ ]  Yes[ ]  No |
| 6.3 Internal Staff Access Controls |
| 6.3.1 [ ] N/A [ ] More | Which of the following applies to the use of two-factor authentication within the company? *(Select all that apply)* | [ ]  Used for all remote access by staff[ ]  Used for all logins internally[ ]  Used for access to restricted administrative functions/high risk environments/elevated rights[ ]  Other (Provide additional comments)[ ]  Not applicableClick here to enter text. |
| 6.3.2 [ ] N/A [ ] More | Which of the following applies to granting, denying and reviewing the authorization and entitlements to company resources? *(Select all that apply)* | [ ]  Entitlements are approved by business sponsor/manager[ ]  Entitlements are reviewed periodically for appropriateness[ ]  Entitlements are reviewed upon role changes/termination[ ]  Entitlements are centrally managed by a restricted group of administrators[ ]  Entitlements process follows a role-based access approach[ ]  Entitlements follow the principle of least privilege[ ]  Other (Provide additional comments)[ ]  Not applicableClick here to enter text. |
| 6.3.3 [ ] N/A [ ] More | Which of the following applies as it pertains to the logging of staff activity when accessing client data? *(Select all that apply)* | [ ]  Logs are aggregated and stored centrally for analysis and review[ ]  Logs are stored directly on the systems accessed[ ]  Logs are reviewed on a regular basis for anomalies[ ]  Alerts are generated from anomalies discovered in logs[ ]  Logs are secured to protect against alteration[ ]  No logging of this activity |
| 7. Infrastructure Security |
| 7.1 [ ] N/A [ ] More | Which of the following applies to the network protection(s) in place? *(Select all that apply)* | [ ]  Firewalls[ ]  Port security[ ]  Intrusion Prevention System (IPS)[ ]  Intrusion Detection System (IDS)[ ]  Anomaly monitoring[ ]  DHCP snooping [ ]  Dynamic ARP Inspection (DAI)[ ]  Honeypots[ ]  Other (Provide additional comments)[ ]  No network security solution is in placeClick here to enter text. |
| 7.2 [ ] N/A [ ] More | (a) Which of the following applies as it pertains to the logging of system activity and network traffic? *(Select all that apply)* | [ ]  Logs are aggregated and stored centrally for analysis and review[ ]  Logs are stored directly on the systems accessed[ ]  Logs are reviewed on a regular basis for anomalies[ ]  Alerts are generated from anomalies discovered in logs[ ]  Logs are secured to protect against alteration[ ]  No logging of this activity, and, as a consequence, (b) below has been left blank.[ ]  No logging of this activity, and, as a consequence, the row for Question 7.2(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) What type of logs are aggregated and stored centrally? *(Select all that apply)* | [ ]  DNS[ ]  Firewall[ ]  IDS/IPS[ ]  Network devices (e.g., routers, switches)[ ]  Endpoint security logs[ ]  Operating system events[ ]  E-mail traffic[ ]  Application logs[ ]  Web logs[ ]  Filesystem accesses[ ]  Other (Provide additional comments)[ ]  NoneClick here to enter text. |
| 7.3 [ ] N/A [ ] More | Does the company enforce multi-factor authentication (MFA) when all internal staff, contractors and consultants connect remotely (e.g., through a VPN, external web access, Outlook Web Access or other)?  | [ ]  Yes[ ]  No[ ]  Not applicable |
| 7.4 [ ] N/A [ ] More | (a) Does the company’s platform or service require connecting to a client’s network or servers?  | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 7.4(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) Is any client data copied or cached within the company’s infrastructure?  | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 7.5 [ ] N/A [ ] More | Does the company restrict administrative access to desktops, laptops, phones and tablets for all employees and third parties?  | [ ]  Yes[ ]  No, and details are provided below.[ ]  Not applicableClick here to enter text. |
| 7.6 [ ] N/A [ ] More | (a) Does the company conduct periodic penetration tests on its external facing applications, network and devices? | [ ]  Yes[ ]  No, and, as a consequence, (b)-(c) below have been left blank.[ ]  No, and, as a consequence, the rows for Questions 7.6(b)-(c) in the template DDQ have been omitted.[ ]  Not applicable, and, as a consequence, (b)-(c) below have been left blank. [ ]  Not applicable, and, as a consequence, the rows for Questions 7.6(b)-(c) in the template DDQ have been omitted. |
| [ ] N/A [ ] More | (b) How often does the company conduct a penetration test? *(Select all that apply)* | [ ]  Continuously, we have an ongoing red team contract[ ]  On every significant technology change[ ]  On every significant internet-facing technology change[ ]  At least semi-annually[ ]  At least annually[ ]  Other (Provide additional comments)Click here to enter text. |
| [ ] N/A [ ] More | (c) Which of the following does the company include as part of the penetration test scope? *(Select all that apply)* | [ ]  All workstations[ ]  All servers[ ]  All internet facing systems[ ]  A representative subset of the environment[ ]  Infrastructure assessment[ ]  Application assessment[ ]  Other (Provide additional comments)Click here to enter text. |
| 8. Physical Security |
| 8.1 [ ] N/A [ ] More | What type of entry access control system does the company utilize at each office? *(Select all that apply)* | [ ]  Biometric[ ]  Key card[ ]  Combination lock[ ]  Physical key[ ]  Other (Provide additional comments)[ ]  The company does not use an entry access control system.Click here to enter text. |
| 8.2 [ ] N/A [ ] More | (a) Are procedures in place to manage visitors within the office? | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 8.2(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) Have steps been taken to ensure visitors do not have the ability to observe or access employee computer systems or confidential information? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 8.3 [ ] N/A [ ] More | What type of access control system does the company use to protect its data center(s), communications room(s) and/or server room(s)? *(Select all that apply)* | [ ]  Biometric[ ]  Key card[ ]  Combination lock[ ]  Physical key[ ]  Other (Provide additional comments)[ ]  The company does not use an access control system for any of its data center(s), communications room(s) and server room(s).Click here to enter text. |
| 9. Business Continuity |
| 9.1 Policy |
| 9.1.1 [ ] N/A [ ] More | Has the company developed a Business Continuity Plan (BCP)? | [ ]  Yes[ ]  No |
| 9.1.2 [ ] N/A [ ] More | Does the company have a vendor risk management process in place to assess the risk and resilience of critical third parties the company depends on? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 9.2 Specifications |
| 9.2.1[ ] N/A [ ] More | Please select the option closest to the company’s set expected Recovery Time Objective (RTO) and Recovery Point Objective (RPO) for failover to backup systems. *(Select one)* | [ ]  Same day recovery with data up to the point of failure[ ]  Same day recovery with data from the previous day[ ]  Next day recovery with data up to the point of failure[ ]  Other (Provide additional comments)[ ]  No specific RTO/RPO setClick here to enter text. |
| 9.2.2 [ ] N/A [ ] More | (a) How frequently are BCP/DR tests performed? *(Select one)* | [ ]  At least monthly[ ]  At least quarterly[ ]  At least semi-annually [ ]  At least annually[ ]  Other (Provide additional comments)[ ]  Never, and, as a consequence, (b) below has been left blank.[ ]  Never, and, as a consequence, the row for Question 9.2.2(b) in the template DDQ has been omitted.Click here to enter text. |
| [ ] N/A [ ] More | (b) Which elements of the company’s estate are tested as part of its BCP/DR testing program? *(Select all that apply)* | [ ]  System and data recovery[ ]  Data center failover[ ]  Workplace recovery[ ]  Communications infrastructure[ ]  Staff call tree or notification system[ ]  Cyber defense and incident detection capabilities[ ]  Other (Provide additional comments)Click here to enter text. |
| 9.2.3 [ ] N/A [ ] More | At what interval does the company perform test restores from backups containing critical systems data to ensure the integrity of the backup procedures and data? *(Select one)* | [ ]  At least daily[ ]  At least weekly[ ]  At least monthly[ ]  At least quarterly[ ]  At least semi-annually[ ]  At least annually[ ]  Other (Provide additional comments)[ ]  NeverClick here to enter text. |
| 9.2.4 [ ] N/A [ ] More | Which of the following methods are used for backing up critical systems and data? *(Select all that apply)* | [ ]  Site to site *synchronous* replication[ ]  Site to site *asynchronous* replication[ ]  Storage snapshots[ ]  Object store backup[ ]  Cloud backup[ ]  Removeable backup media[ ]  Other(Provide additional comments)[ ]  Critical systems and data are not backed upClick here to enter text. |
| 9.2.5 [ ] N/A [ ] More | Please select the option that most closely describes the capacity of the company’s infrastructure in the event of a BCP/DR incident involving critical systems and data. *(Select one)* | [ ]  Operates at or near normal production capacity for a sustained period[ ]  Operates at a reduced capacity or for a limited duration, and a further explanation is provided below.[ ]  Other (Provide additional comments)Click here to enter text. |
| 9.2.6 [ ] N/A [ ] More | Has the BCP/DR plan been activated in the past three years? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 10. Cyber Incident Response |
| 10.1 Detection and Response |
| 10.1.1 [ ] N/A [ ] More | How regularly are systems, logs and events monitored for evidence of a cyber security incident? *(Select all that apply)* | [ ]  Alerts are reviewed continuously in (near) real-time[ ]  When a user reports a potential problem[ ]  Daily[ ]  Intraweek[ ]  Weekly[ ]  Monthly[ ]  Quarterly[ ]  Semi-annually[ ]  Annually[ ]  Other (Provide additional comments)[ ]  Not regularly monitoredClick here to enter text. |
| 10.1.2 [ ] N/A [ ] More | If a cyber incident is detected, what team(s) or individual(s) lead the response? *(Select all that apply)* | [ ]  IT helpdesk[ ]  Managed security service provider[ ]  Dedicated security operations team[ ]  Dedicated security team[ ]  IT team[ ]  Pre-determined incident response team[ ]  Other (Provide additional comments)Click here to enter text. |
| 10.2 Cyber Incidents |
| 10.2.1 [ ] N/A [ ] More | (a) Has the company experienced any material internal or external information security incident in the past three years?  | [ ]  Yes[ ]  No, and, as a consequence, (b) below has been left blank.[ ]  No, and, as a consequence, the row for Question 10.2.1(b) in the template DDQ has been omitted. |
| [ ] N/A [ ] More | (b) Please describe any incidents, lessons learned and solutions put in place to mitigate a repeat of that type of incident going forward. | Click here to enter text. |
| 10.2.2[ ] N/A [ ] More | Has the company ever made a claim on a cybersecurity insurance policy? | [ ]  Yes, and details are provided below.[ ]  NoClick here to enter text. |
| 11. Software Development |
| 11.1 [ ] N/A [ ] More | Does the company do any in-house software development or is the company the recipient of custom software developed by a third party on their behalf? | [ ]  Yes[ ]  No, and, as a consequence, the rest of this section has been left blank.[ ]  No, and, as a consequence, the rows for Questions 11.1.2-11.1.3 in the template DDQ have been omitted. |
| 11.2 [ ] N/A [ ] More | Are separate environments maintained for development, testing and production?  | [ ]  Yes[ ]  No, and details are provided below.Click here to enter text. |
| 11.3 [ ] N/A [ ] More | Does the company prevent client data from being used in non-production environments and systems unless obfuscated or scrambled?  | [ ]  Yes[ ]  No |
| 12. Additional Questions  |
| Further Question | Add a question below:Click here to enter text. | Click here to enter text. |
| 13 Company Comments |
| Comment | Enter relevant question number:Click here to enter text. | Click here to enter text. |

Explanations, Assumptions and Disclaimers

The space below has been provided for vendors to provide investment managers with any general explanations, assumptions and disclaimers that are relevant to the responses in this DDQ. If there are explanations or assumptions specific to individual questions, these should be included in the space provided for this purpose at the end of the applicable module with the relevant question(s) identified.

|  |
| --- |
| Click here to enter text. |

**This questionnaire was completed by (name):**

**The information in this questionnaire is accurate as of (date):**

By signing this questionnaire, you attest that the answers are complete and correct to the best of your knowledge and accurately reflect your company’s actual practices, policies, procedures and controls as of the date indicated above.

Date:

Signature:

Name:

Title:

Email:

Phone:



**Illustrative Questionnaire for the
Due Diligence of
Vendor Technology and Cyber Security**

**(Short Form)**

# FURTHER INSTRUCTIONS

**This form of the questions related to the diligence of vendor technology and cyber security represents a condensed version of the AITEC-AIMA Illustrative Questionnaire for the Due Diligence of Vendor Technology and Cyber Security (2019). Members using this questionnaire should consider whether and to what extent they need or want more information than has been provided in this short form version.**

For members using this questionnaire to perform due diligence on vendors, it is important to remember that this questionnaire is simply a tool. Not all of the questions are going to be applicable to all vendors, but we recommend that members ask sufficient questions and request associated supporting material so that they are able to make an informed decision.

Members should review with their legal counsel and other advisors the value of the responses and to what extent, if any, they may rely upon such responses. The terms of any relationship with a vendor will normally be confined to the terms of the relevant contract. In order to obtain the best possible information on any specific vendor, additional questions should be raised to clarify any point of uncertainty and, where practicable, verbal examination should be undertaken.

While AITEC and AIMA have used all reasonable efforts to produce a questionnaire of general application in connection with a due diligence appraisal of vendors, prior to any member sending out the questionnaire, it is strongly recommended that the questions are reviewed and, where necessary, supplemented to suit its own requirements and its state of knowledge of the vendor’s operations.

It is strongly recommended that users neither alter nor delete any of the questions. The value of this questionnaire for members and vendors alike lies in the standardization of the questions to allow members to easily compare vendors and to reduce the workload of responding to different forms of questionnaire.

That said, if there are additional questions to be asked, there is a section at the end of each module set aside for this purpose and additions should not be made anywhere else. That space can also be used by an outsource provider to provide any clarifications or additional information not otherwise called for by the standard question set.

To signal to readers that there is something relevant to read in the additional questions section, users should tick the **“More”** option in the first column.

If a question is not applicable to the user’s business model, instead of leaving it completely blank or removing the row, consider simply ticking the **“N/A”** option in the first column to signal to readers that the question is not applicable. Although this option has been provided for each row, users should consider selecting the “Not applicable” option among the answer choices where such a choice is available rather than selecting the “N/A” option. Readers may follow up to ask further questions about why a company believes an individual question is not applicable.

**In the event of any questions being altered or omitted from this questionnaire, users are required to remove all references to AIMA from the document but may include the following statement in the header on each page: “This questionnaire is based on the AITEC-AIMA Illustrative Questionnaire for the Due Diligence of Vendor Technology and Cyber Security (Short Form) (2019).”**

The only exceptions to the general rule above are that:

* users presenting the DDQ in Word or PDF form may delete the rows containing the follow-on questions if they select the answer option in a question that signals to readers that template DDQ rows have been omitted; and
* users may omit the pages containing the “Further Instructions” and the attached “Terms of Use” when presenting the filled in DDQ to recipients; and
* if desired, users may remove any “N/A” and “More” options that are not ticked in the first column to make the ones that are ticked easier to identify.

Please answer all the questions. For many questions, there is a requirement to provide additional commentary depending on your answer to a yes/no question. Please include the additional information in the text box provided for such questions. For other questions, there is an option to provide additional text if you want to, but the text boxes for those questions can be left blank if a further explanation is not required.

To add questions, please use the “further questions” function at the end of the relevant section(s).

To add comments or further information in response to individual questions where no text box has been provided for that purpose, please use the “comments” function at the end of the relevant section(s).

Please do not delete or amend any of the content control boxes (except as discussed above) even though this is possible to do.

The content controls used in this document were not available for versions of Word up to and including Word 2010. They may also not be available in “mini” versions of Word available through Office 365, Google Docs, and various tablet apps. In these situations, the content controls may or may not be visible and/or operable. If you accidentally delete a content control, any response that would have been in the content control will no longer be tagged correctly for data extraction. As the document is in Word, it is possible to insert text outside the content controls, although this is not recommended and may adversely affect an outsource provider’s ability to make certain of the certifications. Any response outside a content control will not be tagged correctly for data extraction and will detract from the usefulness of the information for some users.

Formatting

This DDQ has been formatted to fit on A4-sized paper. However, users that prefer Letter-sized paper can simply change the paper size. Please note that for best results this should be done on a section-by-section basis rather than simply changing it in a single place or changing it while having selected all.

Before finalizing your document, you should:

* delete this “Further Instructions” section and the “Terms of Use” section below, as well as the section break that separates these from the DDQ’s signature block;
* place your mouse anywhere in the table of contents, right click your mouse, select the “Update field” option and select “Update page numbers only” to update the table of contents; and
* update the page number shown in the “To the reader” note included at the top of the first section of questions by right clicking on the page number shown (inside the grey shadowed box representing the field code) and selecting the “Update field” option to update the page number.



**Illustrative Questionnaire for the
Due Diligence of
Vendor Technology and Cyber Security**

**(Short Form)**

# TERMS OF USE

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The table below shows how this questionnaire is permitted to be used.

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