



Financial Services Questionnaire

Fees from financial services work

Please state total fees derived from financial advice that was/is directly regulated by the FSA:

Last financial year when FSA work was carried out ending: Current financial year ending:

Date £ Date £

Please specify the percentage of this income derived from the following:

Table with columns for investment categories, last financial year, and current financial year. Includes categories like Investment in Unit Trusts, Insurance Bonds, etc.

Do you manage or have you managed any discretionary portfolios on behalf of any client? (if yes, please provide a detailed explanation below) Yes No

Empty text box for explanation of discretionary portfolios.

On what categories of investment business are you or were you authorised by the FSA to provide advice?

Empty text box for investment business categories.

Has your firm ever been the subject of a complaint made to the Financial Ombudsman Service or any equivalent professional organisation? (if yes, please provide a detailed explanation below) Yes No

Empty text box for complaint explanation.

Does your firm undertake any activities which are defined in the Insurance Mediation Directive 2002/92/EC and are subject to the Directive's Professional Indemnity Insurance (PII) requirements? Yes No

**Pension Transfers and Opt-Outs, Free-standing AVC's, Mortgage Endowments and Split Capital Investment Trusts**

(a) **Has your firm at any time given advice on, or been involved in arranging Pension Transfers/Opt-Outs/Non-Joiners?** Yes  No

If **Yes**, in what capacity did your firm act?  
 As a Financial advisor providing advice to clients? Yes  No   
 As an introductory agent only for a permitted Third Party Yes  No

Please also provide details of:  
 Gross fees (including commission) received from these activities £   
 Number of pension cases dealt with by your firm   
 How many cases have been reviewed by your firm?   
 How many cases are yet to be reviewed?   
 How many Review cases require redress?   
 What is the average redress for these cases? £

(b) **Has your firm at any time given advice on, or been involved in arranging Free-Standing Additional Voluntary Contributions (FSAVC's)?** Yes  No

If **Yes**, please complete the following:  
 How many FSAVC's were effected in total?   
 What is the average contribution in respect of these FSAVC's? £   
 How many cases require Review within the stipulations of the FSA?   
 How many Review cases require redress?   
 What is the average redress for these cases? £

(c) **Has your firm at any time given advice on, or been involved in arranging Mortgage Endowments?** Yes  No

If **Yes**, please provide the details of:  
 Gross fees (including commission) received from these activities £   
 Number of policies arranged   
 Any compensation paid in respect of these activities £

(d) **Has your firm at any time given advice on, or been involved in arranging Split Capital Investment trusts?** Yes  No

If **Yes**, in what capacity did your firm act?  
 As a financial advisor providing advice to clients Yes  No   
 As an introductory agent only for a permitted Third Party Yes  No   
 Please also provide details of:  
 Gross fees (including commission) received from these activities £   
 Percentage relating to investment in Zero Dividend Shares?  %  
 Percentage relating to investment in Income Shares?  %  
 Percentage relating to investment in Capital Shares?  %  
 Any compensation paid in respect of these activities? £

(e) **Has your firm at any time given advice on, or been involved in arranging Payment Protection Insurance (PPI)?** Yes  No

Number of policies pre 14 January 2005   
 Number of policies post 14 January 2005

**This form must be signed by a partner/principal or member of the firm.**

Signature  Date

Print name

Name