

Supplementary Financial Services Questionnaire – Only complete if you have answered 'Yes' to any of the questions in Section 9 – Financial Services Work
Financial Services Questionnaire - Fees from financial services work

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

	Last financial year when FSA work was carried out		Current financial year
Investment in Unit Trusts or Investment Trusts			
• UK	%		%
• Offshore including Channel Isles and Isle of Man	%		%
Investment in Insurance Bonds			
• UK	%		%
• Offshore including Channel Isles and Isle of Man	%		%
Investment in Listed/Unlisted Securities			
• UK	%		%
• Offshore including Channel Isles and Isle of Man	%		%
Investment in Commodities	%		%
Investment in Bonds	%		%
Investment in Tangibles (eg. fine art)	%		%
Institutional Fund Management	%		%
Split Capital Investment Trusts	%		%
Endowments including Mortgage Endowments	%		%
Pensions and Free-standing AVC's	%		%
Life Assurance Products including whole of life plans	%		%
Corporate Finance	%		%
Home Income Plans/Equity Release Schemes	%		%
Other (please give full details)			
	%		%
	%		%
	%		%
Total:	100%		100%

 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

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

 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

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? %

(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

Endowment Questionnaire

For completion if the practice writes or has in the past written any endowment policies (including low cost or low start policies) linked to mortgages.

Endowment Sales

1 Please state the number of policies sold, fees and largest and average mortgage values against which endowments were arranged in the following years:

Year	Total number Sold	Total Fees	Largest	Average	Regulator(s)
1986-1990					
1991					
1992 to present					

2 Were written records always kept including 'fact finds' and 'reasons why' letters or equivalent? Yes No

3 What proportion of endowments were written with the maturity date beyond the retirement date of the individual? %

4 Were assumed growth rates in line with the regulators guidelines? Yes No

5 Has the firm received any responses to the warning letters or annual reviews issued by the life companies? Yes No

6 Has the practice ever been a tied agent or an appointed representative? Yes No

7 Has the practice advised intending investors (and documented on file) that:

a) an endowment cannot be guaranteed to pay off any mortgage loan at maturity? Yes No

b) other forms of mortgage repayments are available which meet the client's needs? Yes No

c) an endowment policy involves an investment risk? Yes No

8 Has the firm complied with all relevant regulatory requirements in respect of each sale? Yes No

9 What is the earliest date of the endowment files that you are currently storing in closed files:

All questions require explanation where appropriate

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

Signature

Date

Print Name