

Financial Services Additional Information

Who regulates you for financial services work:

Financial Services Authority?

Yes No

The Law Society SRA?

Yes No

Do you provide discrete investment and/or insurance services as a mainstream activity?

Yes No

Has your firm or any prior practice provided discrete investment or insurance services in the past?

Yes No

Please state your gross fee income from financial services work for each of the last ten years:

Prior 9 £		Prior 8 £		Prior 7 £		Prior 6 £		Prior 5 £	
Prior 4 £		Prior 3 £		Prior 2 £		Prior 1 £		Prior £	

If your firm or any prior practice has provided, sold, transacted, administered or advised on the following products or services, please state the approximate percentage of gross fee income from financial services over the last ten years derived from:

Endowments	%
Structured Capital at Risk products (e.g. precipice bonds)	%
Split Capital Investment Trusts	%
Stocks and shares, listed securities and bonds	%
Private Client Portfolio Management Discretionary	%
Private Client Portfolio Management Non Discretionary	%
Unit trusts	%
Pension plans to individuals	%
Group personal pensions	%
Pension Fund Managers, Trustees or Administrators	%
Self Invested Pension Plans	%
Corporate finance	%
Equity release/lifetime mortgage plans/Home reversion plans	%
Other domestic mortgages	%
Building Society or bank agency	%
Personal lines insurance (Motor, household, pure protection, health insurance etc)	%
Commercial lines insurance (Motor, property, liability etc)	%
Other - please give details below	%

Please state the number of policies arranged over the last five years in the following categories:

After the event insurance	<input type="text"/>	Restrictive covenant indemnity	<input type="text"/>
Defective title indemnity	<input type="text"/>	Missing beneficiary indemnity	<input type="text"/>

Do you operate any binding or delegated authority underwriting scheme on behalf of any insurer? Yes No

If 'No', please jump straight to the next question

Pension Transfer opt-outs & non-joiners and FSAVCS

In respect of the statutory review of personal pensions and Free Standing Additional Voluntary Contributions transacted between 1988 and 1994 have you completed the population identification, mailings, follow up mailings and exclusion from review of cases, loss calculation and offers of redress in accordance with your regulator's requirements? Yes No

Have all requests for review been notified to current or previous insurers as claims or circumstances? Yes No

Endowments

Please state how many endowments your firm or any prior practice arranged in the following years:

1988	<input type="text"/>	1989	<input type="text"/>	1990	<input type="text"/>	1991	<input type="text"/>	1992	<input type="text"/>
1993	<input type="text"/>	1994	<input type="text"/>	1995	<input type="text"/>	1996	<input type="text"/>	1997	<input type="text"/>
1998	<input type="text"/>	1999	<input type="text"/>	2000	<input type="text"/>	2001	<input type="text"/>	2002	<input type="text"/>
2003	<input type="text"/>	2004	<input type="text"/>	2005	<input type="text"/>	2006	<input type="text"/>		

How many complaints have you received in relation to endowment sales?

Have you advised investors in writing of any time bar in respect of complaints relating to endowment sales? Yes No

Split Capital Investment Trusts/Precipice Bonds (SCARPS)

In respect of structured capital At risk Products please complete the following table in respect of the nine largest amounts invested (per investor) since 2002:

Name of Investor	Name of Fund/ Provider	Amount Invested *	% Total **	Current Value (£)*	Loss (£)*	Gain/loss on all other investments (£)***	Loss as % of Total Investments

* Re. Split Capital Investment Trust and Precipice Bond Investments
 ** What percentage is the Split Capital Investment Trust and Precipice Bond Investment of the total investments?
 *** i.e. Everything else other than Split Capital Investment Trust and Precipice Bond Investments