

INSURANCE BROKERS FSAVC SUPPLEMENTARY QUESTIONNAIRE

Please read the following questions carefully and answer them all providing additional information where required. Should you require more space please provide answers on a separate sheet of paper.

Answer the question using **BLOCK CAPITALS** and tick boxes where appropriate.

Name of the Proposer(s)

Has the Proposer ever been involved in arranging (including giving advice) free standing additional voluntary contributions (FSAVC's)?

YES

NO

If yes please advise the numbers for each of the years.

| YEAR | No. OF CASES |
|------|--------------|
| 1988 | |
| 1989 | |
| 1990 | |
| 1991 | |
| 1992 | |
| 1993 | |
| 1994 | |
| 1995 | |
| 1996 | |
| 1997 | |
| 1998 | |
| 1999 | |
| 2000 | |
| 2001 | |
| 2002 | |
| 2003 | |

Please advise, in the table below, the numbers of FSAVC's effected for:

Persons entitled to join a matched AVC scheme where their employer will contribute to an in house AVC alongside the employee contribution but excluding execution only clients.

Persons entitled to join other subsidised schemes with the employer meeting the cost of an enhancement in benefits, (eg the additional accrual of benefits or the provision of added years but excluding execution only clients).

| YEAR | MATCHED AVC SCHEME | OTHER SUBSIDISED SCHEMES |
|------|--------------------|--------------------------|
| 1988 | | |
| 1989 | | |
| 1990 | | |
| 1991 | | |
| 1992 | | |
| 1993 | | |
| 1994 | | |
| 1995 | | |
| 1996 | | |
| 1997 | | |
| 1998 | | |
| 1999 | | |
| 2000 | | |
| 2001 | | |
| 2002 | | |
| 2003 | | |

Referring back to the answers given above was it the Proposer's practice to obtain sufficient information recorded in writing to show that the transaction recommended was suitable for the clients needs (e.g. Client Financial Planning Analysis and/or Know Your Client questionnaires)?

YES

NO

If no please provide details.

Referring back to the answers provided above was it the proposers practice to provide intending FSAVC clients with a written explanation as to why the transaction recommended is suitable for their needs such as providing a written comparison between their in house AVC option and any recommended FSAVC or a Reason Why letter?

YES

NO

If no please provide details.

Does the Proposer keep records to comply with Table 5 to the PIA rules chapter 5 in respect of every transaction falling within (2) above?

YES

NO

If no referring to records relating to a pension transfer transaction (bearing in mind the Adopted Rules of FIMBRA that all such records should be retained indefinitely), please state which records have been destroyed, and why, the transfer value, the name and age of the client concerned, whether they had already left the employers employment, and the name of the Occupational Pension Scheme.

If no in relation to other cases, please state when and in what circumstances the records were destroyed.

DECLARATION

I/we declare and warrant that after enquiry all statements and particulars contained in this Proposal and addenda are true and that no information whatsoever has been withheld which might increase the risk of the Underwriters or influence the acceptance of this Proposal and should the above particulars alter in any way I/We will advise Underwriters as soon as is practicable.

I/We understand that failure to disclose any material facts which would influence the acceptance and assessment of the Proposal may result in the Underwriters refusing to provide indemnity or voiding the possibility in every respect.

I/We hereby agree and accept that this Declaration shall be the basis of the contract between both parties if entered into.

SIGNATURE

POSITION

NAME

DATE