

INSURANCE BROKERS FINANCIAL SERVICES 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)

Does the Proposer undertake any work as defined under the Financial Service Act 1986, the Financial Services and Markets Act 2000 and/or any supplementary amendment?

YES

NO

If no please ignore the remaining questions and sign and date this declaration.

Please list, on the Proposer's letter headed paper, all partners, employees and consultants (including their qualifications) entitled to undertake Financial Services work.

Please state the approximate total percentage of fees/income for the last financial year derived from work undertaken as defined under the Financial Service Act 1986, the Financial Services and Markets Act 2000 and/or any supplementary amendment?

Does the Proposer anticipate any significant change in the answer given in (4) above during the next financial year?

YES

NO

If yes please provide details.

In relation to the above, please allocate below the fees/income between activities undertaken.

Pensions	
Endowments	
Other Life	
Mortgages	
Free Standing Additional Voluntary Contributions (FSAVC's)	
Building Society Agencies	
Pension Fund Managers/Trustees or Administrators	
Investment in Unit Trusts/Insurance Bonds/Tangibles/Bonds/Commodities	
Investment in Split-Capital Investment Trusts/Zero Dividend Preference Shares (including Unit Trusts holding investments of 33.33% or more in Split-Capital Investment Trusts)	
Other (please specify)	
	100%

Has the proposer been subject to any "Phase" of the Pensions Review?

YES

NO

If yes please provide full details of the procedures adopted and of all redress payments made to the policy holders.

Has the Proposer previously given advice which falls within the Financial Service Act 1986, the Financial Services and Markets Act 2000 and/or any supplementary amendment but have now ceased to advise?

YES

NO

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