

1) Do You currently carry out any regulated activities as defined in the Financial Services and Markets Act 2000 or act as an introducer in respect of such regulated activities (other than in connection with General Insurance Products)?

2) If NO please confirm if You have undertaken such activities in the past

If YES please confirm the date You ceased to conduct such business and the reason why You chose to cease conducting such business

3) Please confirm whether You transferred the liability for such business to an independent third party at cessation date?

If YES please enclose documentary evidence of transfer of liability

4) Have You ever purchased/acquired any other firm, company or book of business where You have assumed any liability for any regulated activities as defined in the Financial Services and Markets Act 2000 which were carried prior to the acquisition date?

If You have answered NO to questions 1, 2 AND 4 You do not need to answer any further questions. Please sign and date the Declaration at the end of the questionnaire.

5) Are You or have You ever been directly regulated by the Financial Services Authority?

6) Are You or have You ever been regulated or authorised by any other professional body?

If YES to either question 5 or 6 please provide full details:

7) Do You operate or have You at any time operated a Financial Services Company?

8) Do You operate or have You at any time operated a Financial Services Division?

If YES to either question 7 or 8 please complete the table below showing the total commission received for the past ten years as well as the current and next financial year:

Year	Commission/Brokerage/Fees received	Year	Commission/Brokerage/Fees received	Year	Commission/Brokerage/Fees received
	£		£		£
	£		£		£
	£		£		£
	£		£		£

9) In relation to questions 1 and 2 please confirm in which capacity do You act/have acted: (if more than one area applies, please provide an approximate percentage split):

Role:	Yes/No	Percentage
Financial Advisor		%
Introductory Advisor		%
Execution only		%
Tied Agent or appointed representative		%

If You have declared fees as an Introducing Agent in question 9 please answer questions 10 and 11. Otherwise please skip to question 12.

10) Do You have a formal agreement in place where the third party used assumes liability for the work undertaken?
If YES please enclose a copy of the agreement YES/NO

11) Do You or have You even in the past provide any advice to Your client while acting as an Introducer other than introduction of the Third Party?
If YES please provide full details: YES/NO

12) Have You at any time acted as an Introducer, advised or sold any Split Capital Closed End Fund or Zero Dividend Preference Shares? YES/NO

13) Have You at any time acted as an Introducer, advised or sold any Unit Trusts where the portfolio composition consists of a Share Capital Closed End Fund or Zero Dividend Preference Share? YES/NO

If YES to either question 12 or 13 please complete the table below:

	Number	Average Value	Maximum Value
Split Capital Closed End Fund or Zero Dividend Preference Shares		£	£
Unit Trusts where the portfolio composition consists of a Share Capital Closed End Fund or Zero Dividend Preference Shares		£	£

14) Have You at any time acted as an Introducer, advised or sold any Free-Standing Additional Voluntary Contributions (FSAVCs)? YES/NO

If YES please complete the table below:

Total number of cases:	
Total number of cases Reviewed (as stipulated by the FSA):	
Total number of cases where compensation is due or paid:	
Total number of cases where no compensation is due:	
Total number of cases where the Review is incomplete:	

15) Have You at any time acted as an Introducer, advised or sold any Endowment linked mortgages? YES/NO

If YES please complete the table below:

Year	Number:	Average Value	Maximum Value
1988-1994		£	£
1995-1998		£	£
1999 to present		£	£

16) Have You at any time acted as an Introducer, advised or sold any Pension Transfers/Opt-outs/Non-joiners between April 1988 and June 1994? YES/NO

If YES please answer questions 17 and 18. Otherwise please skip to question 19.

YES/NO

17) Please confirm the number of cases and the total amount where compensation was paid/due:

Number of cases:	
Amount of Compensation:	£

18) Please confirm that the Pension Review has been completed and compliance signed off by an independent third party? YES/NO

If NO please provide full details:

19) Have You at any time acted as an Introducer, advised or sold any Pensions, Annuities, Income Drawdown or Equity other than what You have declared in question 16? YES/NO

If YES please provide full details including the number of cases and gross fees received:

20) Are You aware of any compliance problems in relation to regulated activities as defined in the Financial Services and Markets Act 2000? YES/NO

If YES please provide full details:

21) Please provide a full description of any other regulated activity which has not been already disclosed in this questionnaire that you have undertaken during the last five years or plan on undertaking during the forthcoming year:

DECLARATION

I/we declare that, after full enquiry, the contents of this questionnaire are true and that I/we have not misstated, omitted or suppressed any material fact or information. I/we agree that this proposal together with any other information supplied by me/us shall form the basis of any contract of insurance which may be effected.

If there is any material alteration to the facts and information which I/we have provided or any new material matter arises before the completion of the contract of insurance, I/we undertake to inform Underwriters.

I/we hereby consent to any information I/we have provided being processed by you for the purposes of providing insurance and claims handling, which may necessitate sharing such information with third parties. Manchester Underwriting Management Ltd. may use this information for marketing (by post, telephone, e-mail or fax) subject to the conditions of the Data Protection Act.

Signature of Principal:

Date:

A copy of this questionnaire should be retained by you for your own records.