

Financial Services Supplementary Questionnaire

Name of Firm

Ref:

1 Fees from financial services work

Please state total fees derived from financial advice that was/is directly regulated by the Financial Regulator

Last financial year when the Financial Services work was carried out ending

/ /

Fees earned from Financial Services work in the year detailed above

€

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

Last financial year when Financial Regulator work was carried out ending

/ /

Current financial year ending

/ /

Investment in unit trusts or investment trusts

Republic of Ireland	%	%
Offshore including Channel Isles and Isle of Man	%	%

Investment in insurance bonds

Republic of Ireland	%	%
Offshore including Channel Isles and Isle of Man	%	%

Investment in listed/unlisted securities

Republic of Ireland	%	%
Offshore including Channel Isles and Isle of Man	%	%

Investment in commodities

	%	%
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Investment in bonds

	%	%
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Investment in tangibles (eg fine art)

	%	%
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Institutional fund management

	%	%
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Split capital investment trusts

	%	%
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Endowments including mortgage endowments

	%	%
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Pensions and free-standing AVCs

	%	%
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Life assurance products including whole of life plans

	%	%
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Corporate finance

	%	%
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Home income plans/equity release schemes

	%	%
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Other (please give full details)

	%	%
	%	%

Total 100%

Total 100%

Do you manage or have you managed any discretionary portfolios on behalf of any client?

Yes No

If yes, please provide an explanation

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

Has your firm ever been the subject of a complaint made to the Financial Services Ombudsman or any equivalent professional organisation?

Yes No

If yes, please provide an explanation

2 Pension transfers and opt-outs, free-standing AVCs, 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 (FSAVCs)? Yes No

If yes, please complete the following:

How many FSAVCs were effected in total?

What is the average contribution in respect of these FSAVCs? €

How many cases require review within the stipulations of the Financial Regulator?

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 following details:

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 %

Declaration

I/We declare that the above statements and particulars are true, full enquiry having been made, and I/we have not omitted, suppressed or mis-stated any material facts and undertake to inform the insurer of any change to any material fact. I/We understand that the information I/we provide will be used in deciding the price charged by the insurer for the risk and whether the insurer will accept the application. I/We further agree that this declaration, together with any other information provided shall be the basis of any contract between me and the insurer. This form must be signed by a partner or director of the firm.

I/We understand that the information I/we provide will be passed to or used by Aon and insurers for the purpose of providing insurance, underwriting, processing, claims handling and preventing fraud.

Print name	Signature of Principal/Partner	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>

Signature not required if submitting electronically

Please save or print a copy for your records.