

Supplementary Questionnaire for Accountants

If the Proposer/s has answered 'Yes' to question 13 of the HCCI Accountants proposal form, is authorised or has been authorised under the Financial Services Act and carried our regulated business please complete the following supplementary questions.

1. Has the proposer at any time given advice on or been involved in arranging Pension Transfers/Opt-Outs/Non-Joiners and or Free Standing Additional Voluntary Contributions (FSAVC's) ?

YES		NO	
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2. If you have answered 'Yes' to question 1, in what capacity did the Proposer act?

(i) As a financial advisor providing advice to clients:

YES		NO	
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(ii) As an introductory agent only for Independent Financial Advisor:

YES		NO	
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(iii) Both (i) and (ii) above:

YES		NO	
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3. Please provide the following information in respect of any PIA/FSA Pension Review:

	Total starting population	Total No. mailed	Total no non-responders	Total No. Responders requiring Review (Loss or compliance)	Total estimated cost of outstanding cases requiring redress
Phases 1 & 2					
FSAVCs					

4. Please provide the following information on any 'redress' amounts paid:

Average size of redress	£
Largest redress amount Paid	£

5. Have you ever been involved in arranging or giving advice on "low cost" or "low start" endowment policies in connection with mortgages?

YES		NO	
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If the answer to question 5 above is 'Yes', please provide the gross fees received and the number of policies arranged from such sales between 1988 and 2001. Please provide details on a separate sheet.

Date

Signed

For and on Behalf of