

## Investment Provider's Questionnaire

**(Must be completed by the Investment Provider)**

1. What is the name of the investment?

2. What is the precise structure of the investment and is it regulated in the United Kingdom (UK) by the Financial Conduct Authority (FCA)?

3. What is the precise nature of the investment?

4. Where is the investment registered?

5. Please explain why you believe it is an approved HM Revenue and Customs (HMRC) pension scheme investment.

6. Is the investment a limited offer and/or what is the term of the investment?

7. Are there any encashment restrictions for the investment?

8. Is there a lock-in period and if so how long?

9. Are there any restrictions/liabilities or special terms attached to the investment and are there likely to be additional tranches/offers relating to similar investments from the same investment provider?

10. Please provide an overview of the marketing strategy for the investment and what type of investors are being targeted.

11. What marketing/advertising strategies do you utilise to market the investment to prospective clients (e.g.newspapers/mailouts/internet/contact lists)?

12. Please provide contact details for the investment provider’s solicitors/legal advisers.

13. Are there any specific provisions for selling upon death?

14. Is there potential for in-specie redemptions?

15. What is the total fund value (in issue)?

**NOTE: Before any prospectus will be considered and a decision made, this questionnaire must be completed by the investment provider. This should be arranged by either the financial adviser or the member.**

Name:

Position:

Signature:

Date:

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