

| | | | |
|---|--------------------|---|---------------|
| 1. Please state the name of the proposing entity: | | | |
| 2. Please provide your name and contact details: | | Name: | |
| Address: | | Telephone: | E-mail: |
| 3. Please confirm the establishment date (dd/mm/yyyy): | | | |
| 4. Please confirm the date of your last financial year-end prior to the renewal date: | | | |
| | | Total gross brokerage/commission/fee income, including trail commission | |
| 5. Please advise or estimate for the financial year-end identified in Question 4 above and the previous 4 financial years (where applicable), the total gross brokerage/commission/fee income of all Proposing Entities, generated by all principals/employees/self-employed persons. | Last complete year | | |
| | Previous year | | |
| | Previous year | | |
| | Previous year | | |
| | Previous year | | |
| 6. Please indicate the total gross brokerage/commission/fee income the entities in Question 1 currently trading expect to achieve in the current financial year: | | | |
| 7. Please indicate the % of gross brokerage/commission/fees for the Last complete year as disclosed in Question 5 derived from the following categories. Please ensure that the Total boxes for Categories i) to v) below add up to 100%. | | | |
| | Private | Business | Total |
| i.Pension Sales & Advice | % | % | % |
| ii.Investment Sales & Advice | % | % | % |
| iii.Life Cover & Protection Sales & Advice (including WOL, ASU, PHI & Medical) | % | % | % |
| iv.Mortgage Sales & Advice (Including Equity Release and Reversion Schemes) | % | % | % |
| v.General Insurance Sales & Advice | % | % | % |
| | Total Private | Total Business | Overall Total |
| | % | % | 100% |

| | | | |
|---|-----|----|--|
| 8. Tax Planning. Please indicate whether the Proposing Entity has provided advice/services in the last 10 years in respect of any Unregulated Collective Investment for tax planning purposes e.g. Film Finance, Technology Partnership, VCT, EIS. If Yes provide details. | Yes | No | |
| 9. Investment. Please indicate whether the Proposing Entity has provided advice/services in the last 10 years in respect of SCARPs, SCITs, Hedge Funds, Traded Life Policies, Viatical Settlements, TEPs, Broker Bonds or Endowments. If Yes provide details. | Yes | No | |
| 10. Pensions. Please indicate whether the Proposing Entity has provided advice/services in the last 10 years in respect of Pension Fund Manager, Pension Fund Trustee, Pension Transfer from an Occupational Scheme or Pension Fund Withdrawal. If Yes provide details. | Yes | No | |
| 11. Life & Mortgages. Please indicate whether the Proposing Entity has provided advice/services in the last 10 years in respect of Mortgage Endowments, Sub-Prime Mortgages, Self Certification Mortgages or Equity Release Schemes. If Yes provide details. | Yes | No | |
| 12. Complaints & Circumstances which may give rise to claims. Please confirm whether there have been any claims or circumstances made against the Proposing Entities in the past 10 years. If Yes provide details. | Yes | No | |
| 13. Claims. Please confirm whether there have been any claims or circumstances made against the Proposing Entities in the past 10 years. If Yes provide details. | Yes | No | |

DECLARATION

I/We declare on behalf of the Proposing Entities that the above statements and details are true and that I/we have not misstated or suppressed any material facts. I/We agree that this Proposal, together with any other information supplied by me/us, shall form the basis of any Contract of Insurance effected thereon. I/We undertake to inform Collegiate Management Services Limited of any material alteration to these facts occurring before completion of the Contract of Insurance. Signing this Proposal Form does not bind the Proposing Entities or Collegiate Management Services Limited to complete this insurance.

Signature of Director/Partner/Principal _____

Name _____ Date _____
(in capitals)

Please Note: In the absence of any instructions to the contrary, Certificates will show only those firms named in Question 1 of this proposal form.