

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:

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

We are able to provide literature in alternative formats. For a Braille, large print or audio version of this document call us on 03455 212 414 (or via the Typetalk service on 18001 03455 212 414).

James Hay Partnership is the trading name of James Hay Services Limited (JHS) (registered in Jersey number 77318); IPS Pensions Limited (IPS) (registered in England number 2601833); James Hay Administration Company Limited (JHAC) (registered in England number 4068398); James Hay Pension Trustees Limited (JHPT) (registered in England number 1435887); James Hay Wrap Managers Limited (JHWM) (registered in England number 4773695); James Hay Wrap Nominee Company Limited (JHWNC) (registered in England number 7259308); PAL Trustees Limited (PAL) (registered in England number 1666419); Santhouse Pensioner Trustee Company Limited (SPTCL) (registered in England number 1670940); Sarum Trustees Limited (SarumTL) (registered in England number 1003681); Sealgrove Trustees Limited (STL) (registered in England number 1444964); The IPS Partnership Plc (IPS Plc) (registered in England number 1458445); Union Pension Trustees Limited (UPT) (registered in England number 2634371) and Union Pensions Trustees (London) Limited (UPTL) (registered in England number 1739546). JHS has its registered office at 2nd Floor, Gaspé House, 66-72 Esplanade, St Helier, Jersey, JE1 1GH. IPS, JHAC, JHPT, JHWM, JHWNC, SPTCL, SarumTL, IPS Plc, PAL, STL, UPT and UPTL have their registered office at Dunn's House, St Paul's Road, Salisbury, SP2 7BF. JHAC, JHWM, IPS and IPS Plc are authorised and regulated by the Financial Conduct Authority. The provision of Small Self Administered Schemes (SSAS) and trustee and/or administration services for SSAS are not regulated by the FCA. Therefore, IPS and IPS Plc are not regulated by the FCA in relation to these schemes or services. (04/19)

www.jameshay.co.uk