

SECTION 1 - AGENT DETAILS

Name of Company:

Full Address:

Contact Name:

FCA Number:

Email Address:

Telephone Number:

SECTION 2

1. Number of DB transfers in previous 12, 24 and 36-month period.

	Previous 12 months	Total value	£
	Previous 24 months	Total value	£
	Previous 36 months	Total value	£

2. Number of complaints in previous 12, 24 & 36-month period that were in direct relation to DB transfer advice.

Previous 12 months	number of cases on which redress was offered
Previous 24 months	number of cases on which redress was offered
Previous 36 months	number of cases on which redress was offered

3. What percentage of your DB transfers over last 12 months were to allow members to immediately access their pension benefits via pension freedoms? %

4. Your PI Insurance cover for an individual event and in aggregate:

	£	individual	£	aggregate
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5. Your PI insurance excess for complaints in relation to DB transfer advice: £

6. Any exclusions on your PI policy in relation to DB transfer advice

7. How many CF30's within your business are permitted to advise on DB Transfers?

8. How many members of staff provide a supervisory position in relation to DB transfers?

9. Is your 'Pension transfer Specialist' internal or external? Internal External

If internal, do you act as 'pension transfer specialist' for other FCA regulated firms? Yes No

If external, please provide contact details of your Pension Transfer Specialist:

Contact Name:

Email Address:

Telephone Number:

10. What is a typical investment strategy for a DB transfer. i.e. DFM, and with whom?

11. What is the minimum CETV you would normally consider appropriate for a transfer into a SIPP? £

12. Do you conduct DB transfers for self-invested clients making their own investment decisions? Yes No

13. Do you accept insistent clients on DB transfers? Yes No

14. Do you work with unregulated lead generation firms? Yes No

15. Do you receive referrals from other FCA regulated adviser firms that do not have permission to advise on DB transfers? Yes No What percentage of your DB transfer business does this make up? %

16. How do you source your DB clients?

17. Do you have any relationships with final salary scheme trustees/sponsoring employers? If so please provide details. Yes No

Trustee/Sponsoring Employer 1

Contact Name:

Email Address:

Telephone Number:

Trustee/Sponsoring Employer 2

Contact Name:

Email Address:

Telephone Number:

Trustee/Sponsoring Employer 3

Contact Name:

Email Address:

Telephone Number:

18. Do you work on a contingent charging basis? Yes No
19. Do you have an advice fee and implementation fee? Yes No
20. Please provide a breakdown of the typical charging structure of a personal recommendation for a DB Pension Transfer.

SECTION 3

I declare that to the best of my knowledge and belief the information contained in this form is true and complete and that based on the information provided by me EBS Pensions Limited, trading as Embark Pensions will reasonably expect to treat this as up to date information.

By signing this agreement, you hereby confirm you are aware that Embark Pensions has a policy in place that it will not accept a client in which you, as the Financial Adviser, have recommended to the client they remain in their Defined Benefit Scheme, and you will therefore not submit any application on this basis.

Signature:

Position:

Date: