FIN-APF - Authorised Professional Firms Questionnaire Information about the firm's professional regulation

1 Provide the name of the designated professional body the firm is subject to

Supervision and monitoring data

- 2 How many appointed representatives did the firm have as at the end of the reporting period?
- 3 What was the total income from the firm's regulated activities as at the end of the reporting period?
- 4 Please indicate the percentage of the total income from the firm's regulated activities generated from the following activities:

Client money and assets

Did the firm hold client money during the reporting period?Did the firm hold client assets during the reporting period?

Material Changes

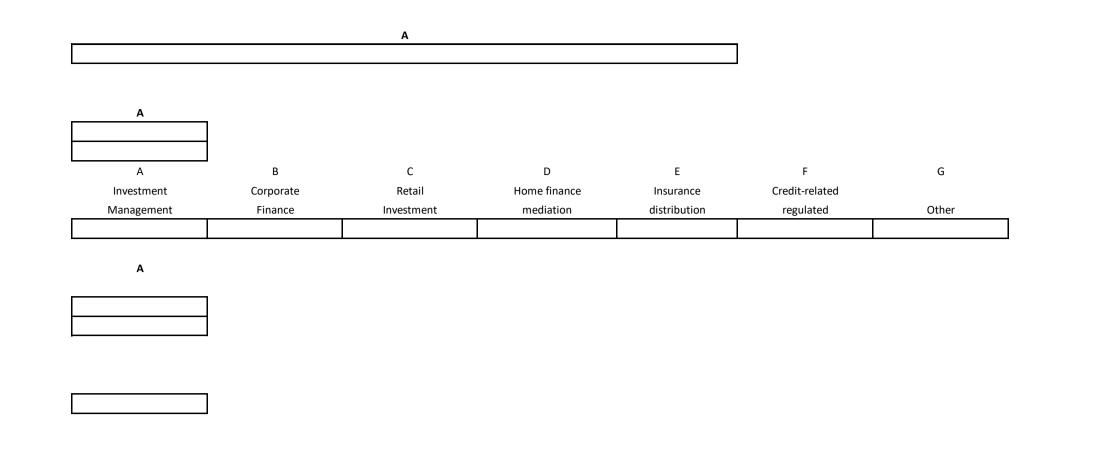
7 Have you notified the FCA of all notifiable events that occurred during the reporting period?

Professional indemnity insurance

Is the firm's professional indemnity insurance policy compliant with regulatory requirements?Please provide details of the firm's current policy/policies.

Financial resources and reporting

- 10 What was the firm's total income for all activities as at the end of the reporting period?
- Has the firm made a profit after tax as at the end of the reporting period?
- ls the firm in a position to meet its current and future liabilities as at the end of the reporting period?
- Did the firm act as an investment manager during the period?
- 14 If conducting discretionary management, what services were provided by the firm during the reporting period?
- 15 If other, please state:
- Please state the value of funds under discretionary management at the end of the reporting period
- Please state the firm's total funds under management as at the end of the reporting period.



				Required indemnity limits				Indemnity limits			
Annualised	Insurer	Start	Renewal	Single	Single Limit of	Aggregate	Aggregate	Single	Single Limit of	Aggregate	Aggregate
premium	(from list)	date	date	Indemnity	Indemnity	Indemnity	Limit of	Indemnity	Indemnity	Indemnity	Limit of
				limits:		Limit in:	Indemnity	Limits in:		Limit in:	Indemnity
				Sterling / Euros		Sterling / Euros		Sterling / Euros		Sterling / Euros	
				or Unlimited		or Unlimited		or Unlimited		or Unlimited	

M PII basic information	N	0	Р	Q
Business line subject to policy excess	Level of policy excess	Business line category subject to policy exclusion	Time period of policy exclusion	Type of exclusion

Α				
	1			
A	J B	С	D	E
Managing	Managing	Managing		
investments -	investments -	investments -		
retail	professional	non - uk	Trustee	ISA
clients	clients	clients	activities	management
				-
		•		
	1			

PII policy