

[Firm details]

[Date]

[Consumer details]

Fund name(s): [insert fund name(s)]

Amount(s) invested: [insert amount(s) invested]

Date(s) of advice given: [insert date(s) of advice given]

Further information required to review our sale of the CF Arch cru [insert fund name(s)] to you

Dear [Insert name]

- **You have to provide further information so we can review the way we sold the CF Arch cru [insert fund name(s)] to you.**
- **We wrote to you on [insert date] to confirm we will review our advice to you to invest in the above-named fund.**
- **Please send this information to us as soon as possible.**
- **If we do not hear from you we will not be able to review the way we sold the funds to you and see if you are entitled to compensation.**
- **Please contact us if you have difficulties providing this information.**

The Financial Conduct Authority (FCA) has identified problems with advice to invest in the CF Arch cru investment and diversified funds.

We wrote to you on [insert date] to confirm we will review the way we sold the CF Arch cru [insert fund name(s)] to you. [We have contracted [Name of firm] to undertake this review on our behalf.]

If our review finds you were mis-sold the funds you may be entitled to compensation. This will aim to put you in the position you would have been in had you received suitable advice and not been mis-sold the funds.

Further information required

We now require further information so we can review the way we sold the CF Arch cru [insert fund name(s)] to you.

[Please provide us with [insert information requested] OR Please complete the enclosed questionnaire.]

You have to send this information to us if you want us to continue reviewing the way we sold the funds to you.

If you have any difficulties providing this information or any queries about our review call us on <phone number>. We are available between <times and days that phones answered>.

If we do not hear from you we will not take any further action to review the way we sold the funds to you.

If you want to contact the FCA you can call its Consumer Helpline on 0800 111 6768 or email consumer.enquiries@fca.org.uk.

Yours sincerely,

<signature>

<name of adviser or customer service>

Questionnaire

This questionnaire relates to your investment in the Arch cru [complete fund] based on the advice of [insert adviser name].

Please complete it as accurately as possible using information that reflects your circumstances as at [complete date], when you invested in the above-named fund.

Personal details

Name

Date of birth

Employment status at time of sale (employed/self-employed/retired/not working/other)

Annual income at time of sale £

[Second investor

Name

Date of birth

Employment status at time of sale (employed/self-employed/retired/not working/other)

Annual income at time of sale]

Amount(s) invested £_____

Arch cru fund(s) invested in [investment/specialised/income/balanced/global growth/finance]

Your investment objectives at the time

Were you saving for some specific purpose? Y/N

If yes, what was this? _____

Were you investing for growth (i.e. to accumulate capital to use later) Y/N

Were you investing for income (i.e. to receive regular payments) Y/N

If you were investing for income, what level of income did you require from the investment, per month or year? £_____ per _____

Was your aim to diversify your existing portfolio? Y/N

Was your aim to change the risk profile of your existing portfolio? Y/N

Did you have some other objective for this investment? Y/N

If yes, what was this? _____

Were you prepared to accept that you might get back less than what you originally invested?
Y/N

Your financial situation at the time

Please fill in as much as you can in the boxes below.

Amounts held in:

Cash £

Existing investments in Arch cru funds £

Other investments £

What was the source of the money invested in Arch cru funds on this occasion?

Switch from _____ above.

Your understanding of the investment at the time

What did you understand the risk of capital losses to be at the time you invested?

Please indicate on this line:

Low _____ High

What kind of assets did you understand that the Arch cru funds would invest in?

Tick all that apply:

Cash

Bonds

Listed UK equities

Listed overseas equities

Listed higher risk equities (e.g. emerging markets)

Property

Private (i.e. unlisted) equity

Private (i.e. unlisted) debt

Other assets

Your Arch cru investment

Which fund did you invest in? _____

