

FIN-APP - 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

A

Supervision and monitoring data

2 How many appointed representatives did the firm have as at the end of the reporting period?

A

3 What was the total income from the firm's regulated activities as at the end of the reporting period?

A	B	C	D	E	F	G
Investment Management	Corporate Finance	Retail Investment	Home finance mediation	Insurance distribution	Credit-related regulated	Other

4 Please indicate the percentage of the total income from the firm's regulated activities generated from the following activities:

Client money and assets

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

A

6 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?

A

Professional indemnity insurance

8 Is the firm's professional indemnity insurance policy compliant with regulatory requirements?

A

9 Please provide details of the firm's current policy/policies.

PII policy	PII basic information												PII basic information		
	PII basic information				Required indemnity limits				Indemnity limits				PII basic information		
	Annualised premium	Insurer (from list)	Start date	Renewal date	Single Indemnity limits: Sterling / Euros or Unlimited	Single Limit of Indemnity	Aggregate Indemnity Limit in: Sterling / Euros or Unlimited	Aggregate Limit of Indemnity	Single Indemnity Limits in: Sterling / Euros or Unlimited	Single Limit of Indemnity	Aggregate Indemnity Limit in: Sterling / Euros or Unlimited	Aggregate Limit of Indemnity	Business line	Policy excess	Policy exclusions
1															

Financial resources and reporting

10 What was the firm's total income for all activities as at the end of the reporting period?

A

11 Has the firm made a profit after tax as at the end of the reporting period?

A

12 Is the firm in a position to meet its current and future liabilities as at the end of the reporting period?

A

13 Did the firm act as an investment manager during the period?

A	B	C	D	E
Managing investments - retail clients	Managing investments - professional clients	Managing investments - non - uk clients	Trustee activities	ISA management

14 If conducting discretionary management, what services were provided by the firm during the reporting period?

A

15 If other, please state:

A

16 Please state the value of funds under discretionary management at the end of the reporting period

A

17 Please state the firm's total funds under management as at the end of the reporting period.

A
