

SECTION A

<u>Name of Firm:</u>	
<u>Firm Reference Number:</u>	
<u>Date completed:</u>	
<u>Completed by:</u>	
<u>Contact Email:</u>	

All Firms must complete questions 1, 2, 3 and 4 as well as the sections most relevant to their core business activities.

1. a) Which of the following categories **best** describes your core business? (Please tick)

- | | | |
|---|--------------------------|---------------------------------------|
| Corporate Finance | <input type="checkbox"/> | |
| Investment Manager / Investment Adviser | <input type="checkbox"/> | Please also complete section B |
| Broker/Trader | <input type="checkbox"/> | Please also complete section C |
| Venture Capital/Private Equity | <input type="checkbox"/> | Please also complete section D |

If you believe that your core business does not fit into any of the above categories, then please indicate below what business the firm undertakes?

- b) Do you also carry out business in any of the following categories? If so, please indicate the approximate percentage of the firm's total business that the individual business lines constitute.

	%	
Corporate Finance		-
Investment Manager / Investment Adviser / Investment Arranger		Please complete section B if greater than 20%
Broker / Trader		Please complete section C if greater than 20%
Private Equity		Please complete section D if greater than 20%
	100%	

2. What was your turnover from regulated activities in your last annual accounts (in UK pounds)?

3. What was your total turnover (including both regulated and unregulated activities in UK pounds)?
-

4. Are you part of a group (either regulated or unregulated, UK or overseas)? Yes / No

If **Yes** please provide the name of the group, a brief description of what the group does, the group's turnover and where applicable the value of funds under management.

Section B

Questionnaire – Investment Manager & Investment Adviser

Investment Management Firms

1) Does the firm manage or advise an Unregulated Collective Investment Scheme that it is not domiciled in the UK, and that utilises the services of a Prime Broker? (please tick)

Yes

No

2) Please report your level of funds under management as per the definition in CP07/17¹ Ch.8 and PS 07/23². This will assist the FSA in determining an impact score for the firm. Please notify us of the following:-

Name of FSA Regulated Entity	Current Level of Funds Under Management

Advisory Only Firms

3) For regulated entities which do not manage funds, but do engage on an investment advisory basis, please notify us of the following:-

Name of FSA Regulated Entity	Level of FUM associated with advisory mandates

¹ http://www.fsa.gov.uk/pubs/cp/cp07_17.pdf

² http://www.fsa.gov.uk/pubs/policy/ps07_23.pdf

Section C

Questionnaire – Wholesale Market Brokers, Dealers and Clearers

It is important that firms provide us with their daily volume of trades figure on a 'Per Trade' basis rather than by 'Lot Size' basis. With this information, we will be able to correctly determine your firm's impact score, the effect of the impact scoring is at individual firm level. This information will also assist in establishing whether you have been placed in the most appropriate supervisory area. Please notify us of the following:-

Name of FSA Regulated Entity	What is the average daily volume of authorised trades during the last calendar month. This should be calculated per trade rather than Lot size.

It is also important that firm's provide us with their total value of daily trades. This should be the figure calculated at the end of each day. With this information, we will be able to correctly determine your impact score and whether you have been placed in the most appropriate supervisory area. Please notify us of the following:-

Name of FSA Regulated Entity	What is the average daily value of authorised trades calculated by the firm during the last calendar month.

Section D

Questionnaire – Venture Capital/ Private Equity Firms

Operator/Manager of Funds

Please report your level of funds under management as per the definition in CP07/17³ Ch.9 and PS 07/23⁴. Please notify us of the following:-

Name of FSA Regulated Entity	Current Level of Funds Under Management	Drawn down capital

Advisory firms

For regulated entities which do not manage funds and engage on an investment advisory or arranging only basis with third party investors or group entities, please notify us of the following:-

Name of FSA Regulated Entity	Total value of third party funds advised by the firm	Total value of intra group funds advised by the firm

³ http://www.fsa.gov.uk/pubs/cp/cp07_17.pdf

⁴ http://www.fsa.gov.uk/pubs/policy/ps07_23.pdf