

Insurance Distribution Activities

shareholders and close links

We are required by the Insurance Distribution Directive to collect information about shareholders and close links

1. You must provide the following information for any individual shareholder or member who has a holding in the firm that exceeds 10%

Name	Date of Birth	National Insurance Number	Address	% Holding

2. You must provide the following information for any legal person who has a holding in the firm that exceeds 10%.

Name	Address	Incorporation Details	Is the Entity Regulated	% Holding
			Yes No	
			Yes No	
			Yes No	
			Yes No	
			Yes No	

			Yes	No	
			Yes	No	
			Yes	No	

3. Does the firm have close links?

Yes

No - Continue to Question 5

4. You must provide the information about the close links below and provide a structure chart which shows the nature of the relationship between the firm and each close link (please include details of the business of the close links).

Structure chart provided on separate sheet

Natural Persons

Name	Date of Birth	National Insurance Number	Address

Legal Persons

Name	Address	Incorporation Details	Is the entity Regulated
			Yes No
			Yes No
			Yes No
			Yes No

5. Are you aware of any information to suggest that any holding or close link is likely to prevent our effective supervision of the firm?

No

Yes

Please Give Details