

Questionnaire

The purpose of this questionnaire is to provide information which would be required to make an application for compensation to the Financial Ombudsman Service ("FOS") or Financial Services Compensation Scheme ("FSCS") on your behalf. It is designed to obtain from you the information we expect to be required by the FOS or FSCS to consider an application for compensation for mis-selling.

Please complete this form and return it to us as soon as possible together with copies of all documentation in your possession to LeeLanes Solicitors LLP, 28-30 Cornhill, London EC3V 3NF.

1. Full name (including title):

Current address:

Postcode:

2. Daytime Telephone:

Home Telephone:

Mobile:

E-mail:

3. Date of Birth:

Marital Status:

Current Occupation:

National Insurance Number:

Maiden/Former Name

4. If the claimant has died please provide the following information:-

Date of death:

Name of executor/administrator:

Address:

Postcode:

Telephone number:

5. Please give details of all the investments which you took out following advice from the firm including the name of the stock/investment, date invested, amount invested in GBP and number of shares purchased:

6. Please give details of any amounts received by you and dates (e.g. dividends, sale proceeds)

7. What was the purpose of the investment (e.g. capital growth, income)?

8. Were the shares purchased directly as a result of the advice you received from the firm?

9. Please provide the names of the brokers who advised you on behalf of the firm.

10. Please describe what you were told by the firm when it recommended each investment you purchased. In particular, what were you told about the risk associated with each investment?

11. How were you given advice by the firm? Was it given in writing, over the telephone or in a face-to-face meeting?

12. Did the firm hold any cash sums on your behalf which have not been returned to you? If so, please give details.

13. Was a Customer Information Form detailing your circumstances completed or were you asked to sign a Terms of Business Document or other client agreement? If yes, please confirm what was completed and when you signed the document or agreement. If possible, please supply a copy of the document signed by you.

14. Please describe the level of risk to your capital you were prepared to accept when you made investments following advice from the firm in terms of low, medium or high.

15. Did the firm tell you about restrictions on the disposal of the investments or problems you may encounter when selling your investments?

16. Were you sent any literature relating to the investment(s) (e.g. a company research report). Please provide copies of any literature you were sent.

17. What was the main influence on your decision to invest (e.g. advice from the firm, reports sent to you by the firm, your own research, another financial advisor etc)?

18. Did the firm sell any stock it had previously recommended and then purchase different stock with the proceeds? If so, please give details of the stocks involved and state the amounts realised and the amounts reinvested.

19. Did the firm arrange or sell any investments without your consent? If so, please provide details.

20. Please give the following details of your circumstances at the time you received advice from the firm:-

Occupation:

Annual income:

Assets and investments held with approximate values as follows:-

Cash deposits:

Property:

Shares:

Other investments:

21. Please give details of your previous experience of equity based investments at the time you received advice from the firm.

22. Please give details of any of your previous investments which were arranged on an 'Execution Only' basis (i.e. without advice from a financial advisor).

23. On what date did you discover that you might have a claim against the firm?

24. How did you discover that you might have a claim against the firm?

25. Who did you contact when you realised that you may have a claim against the firm, and on what date? Please give details of all people and organisations you have contacted about your claim, e.g. the firm, the firm's administrator/liquidator, a legal representative or an organisation such as the Financial Ombudsman Service. Please provide copies of all correspondence.

26. What was the outcome of your claim?

27. If your complaint was considered by the Financial Ombudsman Service, please confirm the FOS reference.
28. Have you been offered any payment or compensation from the firm arising from your complaint? If so, please give details.
29. Have you received this payment or compensation? If so, please confirm how much was paid and when.
30. Have you received any payment from the firm's liquidator or administrator? If so, please confirm how much was paid and when.
31. Please give details of any legal proceedings you have started against the firm or any connected party.
32. Have you ever made any other claims to the Financial Services Compensation Scheme (FSCS) or to the Investors Compensation Scheme? If so, please give details, including reference(s).
33. Do you owe money to the firm?
34. Are you making this claim for compensation in any capacity other than a private investor?
35. Are you, your spouse/partner or any relative of either of you now, or have been at any time in the past a director, manager or employee of the firm in respect of which you wish to make a claim for compensation?
36. Have you received any profit, payment or other benefit from the firm?
37. Are you or have you ever been a shareholder in the firm in respect of which you wish to claim compensation?
38. Have you ever acted as auditor or actuary to the firm?
39. Have you or your employer ever been authorised by the FSA or any other financial services regulator to conduct any regulated activity?

40. Have you ever been classified by an authorised firm as being an 'Intermediate' or 'Professional' customer/investor?

Thank you for completing these questions.