



SCOPE OF PERMISSION NOTICE

Produced on : 22 September 2004

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This Scope of Permission Notice sets out the Part IV permission that Circle Financial Services Limited has under the Financial Services and Markets Act 2000 at 22 September 2004.

Firm Name Circle Financial Services Limited

Firm FSA Ref No 148759

Requirement not to hold or control client money

Yes

Other Requirements

Regulated Activity (1)

Advising on Pension Transfers and Pension Opt Outs

Limitations

Investment Activity in Rights to or interests in investments (Security) and Rights to or interests in investments (Contractually based investment) is limited to the investment types granted for this activity.

Investment Types

Life Policy

Rights to or interests in investments (Security)

Unit

Investment Types

Rights to or interests in investments (Contractually Based Investments)

Stakeholder pension scheme

Customer Types

Private Customer

Intermediate Customer



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Regulated Activity (2)

Advising on investments (except on Pension Transfers and Pension Opt Outs)

Limitations

Investment Activity in Rights to or interests in investments (Security) and Rights to or interests in investments (Contractually based investment) is limited to the investment types granted for this activity.

Investment Types

- Life Policy
- Rights to or interests in investments (Contractually Based Investments)
- Debenture
- Rights to or interests in investments (Security)
- Stakeholder pension scheme
- Warrant

Investment Types

- Non-investment insurance contracts
- Certificates representing certain security
- Government and public security
- Share
- Unit

Customer Types

- Private Customer
- Intermediate Customer
- Retail
- Commercial



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Regulated Activity (3)

Agreeing to carry on a regulated activity

Limitations

The firm can only agree to carry on the regulated activities specified in this notice



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Regulated Activity (4)

Arranging (bringing about) deals in investments

Limitations

Investment Activity in Rights to or interests in investments (Security) and Rights to or interests in investments (Contractually based investment) is limited to the investment types granted for this activity.

Investment Types

- Life Policy
- Rights to or interests in investments (Contractually Based Investments)
- Debenture
- Rights to or interests in investments (Security)
- Stakeholder pension scheme
- Warrant

Investment Types

- Non-investment insurance contracts
- Certificates representing certain security
- Government and public security
- Share
- Unit

Customer Types

- Private Customer
- Intermediate Customer
- Retail
- Commercial



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Regulated Activity (5)

Making arrangements with a view to transactions in investments

Limitations

Investment Activity in Rights to or interests in investments (Security) and Rights to or interests in investments (Contractually based investment) is limited to the investment types granted for this activity.

Investment Types

- Life Policy
- Rights to or interests in investments (Contractually Based Investments)
- Debenture
- Rights to or interests in investments (Security)
- Stakeholder pension scheme
- Warrant

Investment Types

- Non-investment insurance contracts
- Certificates representing certain security
- Government and public security
- Share
- Unit

Customer Types

- Private Customer
- Intermediate Customer
- Retail
- Commercial



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Regulated Activity (6)

Assisting in the administration and performance of a contract of insurance

Investment Types

Non-investment insurance contracts

Customer Types

Retail

Commercial



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Regulated Activity (7)

Dealing in investments as agent

Investment Types

Non-investment insurance contracts

Customer Types

Retail

Commercial



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Regulated Activity (8)

Advising on regulated mortgage contracts

Investment Types

Regulated mortgage contract

Customer Types

Customer



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Regulated Activity (9)

Arranging (bringing about) regulated mortgage contracts

Investment Types

Regulated mortgage contract

Customer Types

Customer



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Regulated Activity (10)

Making arrangements with a view to regulated mortgage contracts

Investment Types

Regulated mortgage contract

Customer Types

Customer