

Conveyancing Questionnaire

This questionnaire must be completed if at any time in the last three financial years gross fees for your firm have been derived from any conveyancing work including remortgages (residential and/or commercial). Continue any explanations on a separate sheet, where necessary.

1. Please state the number of fee earners in your firm who undertake or have undertaken conveyancing work.

| | Last Completed Year | Prior Completed Year -1 | Prior Completed Year -2 | Prior Completed Year -3 |
|------------------------------------|---------------------|-------------------------|-------------------------|-------------------------|
| Solicitors | | | | |
| Other qualified fee earners | | | | |
| Non qualified fee earners | | | | |

2. Please fill in the table below in relation to *residential conveyancing*:

| | Last Completed Year | Prior Completed Year -1 | Prior Completed Year -2 | Prior Completed Year -3 |
|---|---------------------|-------------------------|-------------------------|-------------------------|
| Gross fees | | | | |
| Number of Transactions | | | | |
| Percentage of Transactions relating to remortgage work | | | | |
| Highest Value Transaction | | | | |
| Average Value Transaction | | | | |

3. Please fill in the table below in relation to *commercial conveyancing*:

| | Last Completed Year | Prior Completed Year -1 | Prior Completed Year -2 | Prior Completed Year -3 |
|---|---------------------|-------------------------|-------------------------|-------------------------|
| Gross fees | | | | |
| Number of Transactions | | | | |
| Percentage of Transactions relating to remortgage work | | | | |
| Highest Value Transaction | | | | |
| Average Value Transaction | | | | |

4. In any of the last five years have more than 10% of your conveyancing instructions originated from any development or from any one client or referrer, e.g. a mortgage broker, developer, financial advisor, estate agent (whether or not a formal referral arrangement was in place)? Yes No

If 'Yes' please provide full details

5. Estimate what percentage of all your conveyancing instructions in each of the last three complete financial years relates to the purchase of buy to let properties?

| Last Completed Year | Prior Completed Year -1 | Prior Completed Year -2 | Prior Completed Year -3 |
|---------------------|-------------------------|-------------------------|-------------------------|
| | | | |

6. a) What identity checks do you carry out on conveyancing clients?
- b) How do you comply with lender requirements on verification of identity?
- c) If you do not meet a client prior to a transaction how do you establish identity?
- d) What measures are taken to identify potential money-laundering?
7. Over the last four years what safeguards have you had in place to ensure that any information indicative of mortgage fraud (e.g. back to back transactions, discounts, incentives) is:
- a) Identified
- b) Reported to lender clients
8. On approximately how many occasions in the last 12 months have you received requests for conveyancing files from lenders? Please provide full details including the name(s) of the lender(s).

9. Have you ever been suspended or removed from any lender panel? Yes No
 If 'Yes' please provide full details including the name(s) of the lender(s)

10. Over the last five years what processes has the Firm in place to ensure that changes to lender requirements (including those under CML Handbook Part 2) are properly tracked? If there has been a material change in your procedures and/or you have deployed software such as Conveycentric LenderMonitor (or similar) please provide dates as appropriate.

11. Does anyone other than a Principal sign reports and/or certificates of title addressed to lenders? Yes No
 If 'Yes' please provide details

12. Has the Firm or any Prior Practice acted in the last five years in any conveyancing transaction involving a sub-prime lender? Yes No

13. Has the practice or any prior practice ever:

| | | | |
|---|-----|-----|--------|
| a) undertaken residential or commercial surveys/valuations for lending purposes | Yes | No | Number |
| b) advised on Equity Release Plans | Yes | No | Number |
| c) accepted instructions from property clubs or investment schemes? | Yes | No | Number |
| Does the practice plan to do any of the above in the next 12 months? | | Yes | No |

If 'Yes' please provide details on a separate sheet

Signed (Principal/Partner/Member/Director): **Date:**

Authorised and regulated by the Financial Services Authority

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