

From : [Investor]

To : [Financial Advisor Firm]

Date : xxx

Dear [FA]

Complaint and Claim for Compensation and Redress

EEA Life Settlements Fund / Meteor SLS Fund / Way LS Fund

In accordance with the Warning published by the Financial Conduct Authority (FCA) on 24th September 2014, and in order to preserve my / our options for referring this claim to the Financial Ombudsman Service (FOS) in a timely manner, please register this complaint as a claim against your Company and provide your response within the eight week deadline allowed by the FCA rules.

Firstly, please confirm that at the time that you rendered the advice to invest in the above Fund, you were properly authorised and insured to recommend UCIS investments to retail customers such as myself/ourselves and that the FA concerned [name] was suitably qualified and trained to recommend UCIS and Life Settlements investments. I / we might require sight or copies of the relevant certificates or records in due course when pursuing this claim.

Please also confirm that you are still insured for claims related to such advice for UCIS products, and if not, when did this change and why wasn't I advised, since it now puts at risk my ability to obtain compensation and redress if you are unable to meet the costs of my claim from your own resources.

My claim is based on the following facts : [Elaborate, modify, delete as applicable]

- a) The EEA Fund was, in fact, a high risk investment which did not match our agreed profile of my attitude to risk as being low / medium
- b) You did not disclose / discuss the Risk Warnings published by EEA in their Offering Memorandum and Supplements, or inform me when they published additional Risk Warnings in April 2011. We did not explore the probability and consequences of one or more of these risks materialising adversely at any time.
- c) You did not disclose that the EEA Fund did not have an independent valuation agent or process, and included significant conflicts of interests between the Directors approving the Fund valuations and their associated companies which benefited from valuation based performance fees and other charges.
- d) You did not update me on the risks and concerns about these investments issued by the FSA (Peter Smith) in 2010
- e) You did not inform me that the EEA Fund is not eligible for compensation under the Guernsey Regulatory regime.
- f) You did not warn me about the risks of Guernsey Regulation when compared with the UK (or other offshore) Regulatory environments.

Yours sincerely, etc