



Financial Services Act 2008 – Licence

Chartwell Financial Planners Limited

Conditions

The following conditions are imposed in respect of the regulated activities undertaken.

1. The licenceholder's regulated activities are restricted to the following:

- Class 2 – investment business – sub-classes (3) and (7).

(a) For the purpose of activities undertaken under Class 2 sub-class (3) the licenceholder is only permitted to –

(i) arrange deals on an execution only or advisory basis relating to long term insurance;

(ii) arrange deals on an execution only or advisory basis relating to units or shares in –

collective investment schemes that are Authorised schemes in accordance with the Collective Investment Schemes Act 2008 (or comparable collective investments schemes authorised or approved in another jurisdiction suitable for a retail investor);

(iii) arrange deals on an execution only or advisory basis in unfettered life policy, pension and long term insurance contracts only where the underlying investments are –

collective investment schemes that are Authorised schemes in accordance with the Collective Investment Schemes Act 2008 (or comparable collective investments schemes authorised or approved in another jurisdiction suitable for a retail investor).



(b) For the purpose of activities undertaken under Class 2 sub-class (7) the licenceholder is only permitted to –

(i) advise on long term insurance;

(ii) advise on units or shares in –

collective investment schemes that are Authorised schemes in accordance with the Collective Investment Schemes Act 2008 (or comparable collective investments schemes authorised or approved in another jurisdiction suitable for a retail investor);

(iii) advise on unfettered life policy, pension and long term insurance contracts only where the underlying investments are –

collective investment schemes that are Authorised schemes in accordance with the Collective Investment Schemes Act 2008 (or comparable collective investments schemes authorised or approved in another jurisdiction suitable for a retail investor).

2. The licenceholder is not permitted to hold client money or client assets in respect of its investment business.

 _____ Chief Executive

Isle of Man Financial Services Authority

02 January 2024