



Corporate & Professional Pensions Limited (in administration) - FAQs

Adam Stephens and Nick Myers were appointed Joint Administrators of Corporate & Professional Pensions Limited - in administration on 1 February 2022.

We have prepared this document to help clients and other creditors understand what is happening. We hope that it helps.

Thank you

FREQUENTLY ASKED QUESTIONS

about Corporate & Professional Pensions Limited - in administration (“CPPL” or “the Company”)

The Joint Administrators completed a sale of the business on 17 March 2022 to Westerby Trustee Services Limited.

Please see below for further details.

Date 17 March 2022

Smith & Williamson LLP

The affairs, business and property of the entity over which they are appointed are managed by the administrators Adam Henry Stephens and Nicholas Myers who act as agents of the Company and without personal liability

Adam Henry Stephens and Nicholas Myers are authorised and licensed as insolvency practitioners in the UK by the Institute of Chartered Accountants in England and Wales.

As insolvency practitioners we are bound by the Insolvency Code of Ethics when carrying out all professional work relating to an insolvency appointment, a copy of which can be found at: <https://www.icaew.com/regulation/insolvency/sips-regulations-and-guidance/insolvency-code-of-ethics>

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The Fair Processing Notice in relation to the General Data Protection Regulation can be accessed at <http://smithandwilliamson.com/rrsgdpr>

Should you wish to be supplied with a hard copy of the notice, any attachments or documents relating to a case matter, please contact the staff member above at any time via telephone, email or by post. Any requests will be completed as soon as reasonably practicable.

The word partner is used to refer to a member of Smith & Williamson LLP. A list of members is available at the registered office

Registered in England at 25 Moorgate, London EC2R 6AY No OC369631

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Section 1 - INSOLVENCY and CPPL

NB This document has been updated following the sale of CPPL's business and certain assets to Westerby Trustee Services Limited ("Westerby") on 17 March 2022. As events and information develops we will update it. References to 'we' mean to the Administrators.

Q. What is Administration?

When a company is experiencing financial difficulties it can be placed into administration. Administration is an insolvency process. CPPL has entered into administration.

Under insolvency law, the affairs, business and property of a company in administration (such as CPPL) are managed by the Administrators. The Administrators have to be independent of CPPL.

The joint administrators will write to all creditors setting out our proposals for achieving the purpose of the administration within the next 8 weeks, this is a public document and will be available via the Smith & Williamson LLP (and other) websites: <https://smithandwilliamson.com/corporate-and-professional-pensions-limited>

Q. Who are the Administrators / Smith & Williamson LLP?

Adam Stephens and Nick Myers ("the Administrators") both of Smith & Williamson LLP, were appointed by the directors of the Company. This followed discussion between the Company and the Financial Conduct Authority which regulates the Company ("FCA"). The FCA also consented to the appointment of the Administrators.

The Administrators are both qualified insolvency practitioners, regulated by The Institute of Chartered Accountants in England & Wales. The administrators act independently of the Company and the directors for the benefit of creditors. Their primary concern and mandate is to ensure that they maximise the return to creditors.

Q. What does CPPL do?

The business of the Company is the provision of technical and administration services to C&P Trustees Ltd which acts as the corporate trustee of Self Invested Personal

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Pensions (SIPP) and Small Self-Administered Schemes (SSAS).

The money and assets held in the SIPP and SSASs are held in trust by C&P Trustees Ltd, which has not entered into administration. C&P Trustees Ltd is not authorised or regulated by the FCA.

Q. Why has CPPL entered administration?

CPPL filed the appointment of Administrators with the Court on 1 February 2022 because it had become insolvent as a result of a number of SIPP members having lodged complaints relating to high-risk non-standard investments with the Financial Ombudsman Service (“FOS”), resulting in adverse adjudications against the Company.

Professional advice was sought and the Company’s directors were advised that CPPL was insolvent and that it should be placed into administration to provide protection for the clients and creditors.

Q. Have the CPPL business or assets been sold?

The joint administrators completed a sale of the business on 17 March 2022 to Westerby.

I am pleased to tell you that agreement has now been reached with Westerby for the acquisition of CPPL's business and certain assets with immediate effect. Westerby is an established pension provider, and is authorised and regulated by the Financial Conduct Authority.

You can find out more about Westerby and the SIPP by visiting its website at <https://www.sipp-ssas-pensions.co.uk/services/self-invested-personal-pension-sipp/>

If you are a client, details of what this means for your SIPP or SSAS are provided below.

Q. Are you in contact with the FCA?

Yes, we are in contact with the FCA, and the FCA has consented to us being appointed as administrators of the Company.

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Q. Are you in contact with CPPL's former management?

We are in contact with CPPL's former management. CPPL's staff assisted us with the ongoing trading whilst we sought a purchaser for the business. We thank them for their cooperation.

Q. What has happened to CPPL's staff

The Company's staff have transferred to Westerby.

Q. Can I phone CPPL?

The business and staff has transferred to Westerby; please continue to use your usual point of contact for all SIPP and SSAS queries. Please see the end of this document for details.

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Specific queries if you are a client of CPPL

Q. What does this mean for my SIPP?

SIPP stands for Self Invested Pension Plan.

As a consequence of the acquisition, your CPPL SIPP will be wound up and its assets transferred to a new SIPP that has been established for this purpose by Westerby.

The transfer will be made without cost to you or your SIPP funds.

If you do not wish to transfer your SIPP to Westerby, you may transfer instead to another registered pension arrangement of your choice. In that case, please let us know within the next 30 days, and we will send you a Transfer Request Form.

Q. What does this mean for my SSAS?

SSAS stands for Small Self-Administered Schemes. These are regulated by The Pensions Regulator.

As part of the transfer of CPPL's business it is intended that Westerby Pension Administration Limited ("WPA") will take over responsibility for your SSAS to provide continuity of service. WPA specialises in the administration of SSAS and is under the same ownership as Westerby Trustee Services Limited.

You can find out more about WPA by visiting its website at [Small Self-Administered Scheme \(SSAS\) - Westerby \(sipp-ssas-pensions.co.uk\)](http://sipp-ssas-pensions.co.uk).

WPA will be in touch with you to discuss the arrangements in relation to your SSAS.

Q. I recently paid money to CPPL relating to my SIPP and/or SSAS. What will happen to that money?

Where the money had already been invested, the investments will be held in the manner directed. This is to protect such assets in the event of this type of insolvency.

Any monies received on or after 1 February 2022 will also be invested according to the existing arrangements and instructions with you.

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Q. What will happen to my periodic contributions?

CPPL will continue to accept any new periodic contributions, until the CPPL SIPP has been wound up and its assets transferred to a new SIPP.

For the time being, any monies received on or after 1 February 2022 will be invested according to our existing arrangements and instructions with you.

Where the money had already been invested, the investments will be held in the manner directed (see sections above). This is to protect such assets in the event of this type of insolvency.

Q. I would like to move my account to another SIPP/SSAS provider - can I do this?

If you do not wish to transfer your SIPP to Westerby of SSAS to WPA, you may transfer instead to another registered pension arrangement of your choice. In that case, please let us know within the next 30 days, and we will send you a Transfer Request Form.

Q. Will I get my accounts statement at the expected time and in the expected format?

Yes, you will receive one in due course. Now that the business has been sold, it may look different by virtue of it being provided by someone else.

Q. Can I make a claim to the FSCS relating to the failure (or insolvency) of CPPL?

FSCS may be able to protect consumers when authorised financial services firms fail or stop trading. It can consider whether claims made against these firms are eligible within the rules set by the Financial Conduct Authority (FCA), and pay compensation when they are. These rules limit protection to private individuals and small businesses where an authorised firm becomes insolvent and cannot meet its liabilities to its customers.

For eligible claims, compensation is also subject to a cap of £85,000 in per person per institution. If claims are paid by the FSCS, the FSCS will usually take over the rights to claim in CPPL's administration, and against any other third parties, so that it can try to recoup some of the costs of paying compensation.

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More details about FSCS are available here. <https://www.fscs.org.uk/> FSCS has set up its own dedicated CPPL page www.fscs.org.uk/making-a-claim/failed-firms/corp-prof-pensions/. The latest news will be available there and you can subscribe to receive the latest updates on CPPL.

FSCS will not be opening to individual customer claims straight away, but it will be looking at CPPL to see whether there are likely to be any claims that meet the qualifying conditions for compensation.

Q. Do I need to engage a Claims Management Company to make a claim to FSCS?

No, there is no need to engage a Claims Management Company to make a claim to FSCS. FSCS is independent and their service is free to use.

Q I have an ongoing complaint with the FOS or am intending to make a new complaint - what happens to that?

Once CPPL enters into administration, it will no longer be for the FOS to assess complaints against it. If you have an ongoing complaint with the ombudsman service, the ombudsman service will be in touch with you in due course with further information about passing your complaint to the FSCS.

Q. What if I owe CPPL money?

You will likely be asked to pay that money. You will be contacted with details of where the money should be paid.

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Specific queries if you are a supplier of the Company

Q. I am a supplier of CPPL, what should I do?

The administrators will write to you in due course regarding outstanding balances and ongoing supply.

Q. I am a creditor of CPPL, what should I do regarding outstanding balances due to me?

The administrators have written to all known creditors regarding outstanding balances.

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Further information

Q. Where will updates and correspondence be made available?

Updates will be posted on the Smith & Williamson website at:

<https://smithandwilliamson.com/corporate-and-professional-pensions-limited>

Q. How do I advise the administrators of any matters?

If you wish to advise the administrators on any matters please email them at CPPL@smithandwilliamson.com

You can also write to them care of:

FAO The Administrators
Corporate & Professional Pensions Limited (in administration)
c/o Smith & Williamson LLP
25 Moorgate
London
EC2R 6AY

Q. Where should I direct queries in relation to my client account?

The CPPL staff have transferred to Westerby so please contact your customer person on the usual telephone number.

The Company's website is scheduled to remain operational so that you can still use any systems to the extent that you previously did until all the CPPL SIPPs have been wound up and transferred to a new provider.

The best number to phone is CPPL's customary number. This is 01305 898433.

Q. What should I do if I am contacted by someone claiming to be from Corporate & Professional Pensions Limited / Smith & Williamson / a related company?

[If you are called by someone claiming to be from Corporate & Professional Pensions Limited, Smith & Williamson LLP or any other company claiming to be involved in CPPL's administration, please end the call and contact us using the details below. Please remain alert to the possibility of fraud.](#)

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CONTACT DETAILS

Website: <https://smithandwilliamson.com/corporate-and-professional-pensions-limited>

Administrators email: CPPL@smithandwilliamson.com

Administrators' helpline: 020 7131 4873. They will not be able to answer specific account queries. The best number for those queries is the Company's number (see above).

GDPR Fair Processing Notice

As part of our role as Administrators, we may need to access and use data relating to individuals. In doing so, we must abide by data protection requirements.

Information about the way that we will use and store personal data in relation to insolvency appointments can be found at www.smithandwilliamson.com/rrsgdpr. If you are unable to download this, please contact the Administrators and a hard copy will be provided free of charge.

It is important that you read this Fair Processing Notice so that you are truly aware of how and why we are using your data. This Fair Processing Notice supplements any other notices the Company may have served on you and is not intended to override them.

To the extent that you hold any personal data on the Company's data subjects provided to you by the Company or obtained otherwise, you must process such data in accordance with data protection legislation. Please contact us if you believe this applies.

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