

PENSION TRANSFER BUREAU INTRODUCER - DUE DILIGENCE



Please complete this form and return to:

Grove Pension Solutions Ltd, New Grove House, Murray Road, Orpington, Kent BR5 3QY

Tel: 01959 534082 Email: info@groveps.co.uk

COMPANY INFORMATION

Registered company name	
Other trading style names used by your Firm	
Registered address Correspondence address (if different)	
Company number (If applicable)	
FCA Firm Reference Number	
FCA Status	<input type="checkbox"/> Directly Authorised <input type="checkbox"/> Not FCA Authorised <input type="checkbox"/> Appointed Representative
If you are a member of a network or support partner, such as SimplyBiz, please provide the name and membership reference.	Network name: Network membership number:
How long has your firm been in operation?	
We need your consent to carry out a credit check on your firm. This is a requirement to complete the due diligence process.	<input type="checkbox"/> Yes
What is your website address? (If more than one, please list)	
Contact name and position	
Contact telephone number	
Contact email address	



COMPLIANCE

1) How do you manage compliance? Please tick all that apply.	<input type="checkbox"/> In-house <input type="checkbox"/> Firm principal takes ownership <input type="checkbox"/> In-house but dedicate compliance staff <input type="checkbox"/> Outside compliance services firm <input type="checkbox"/> Network <input type="checkbox"/> Not an FCA regulate firm
2) Have there been any FCA investigations or issues raised by FCA supervision within the previous 3 years?	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details in the box below)
3) Have there been or are there any current or pending court or civil hearings against the firm or senior managers?	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details in the box below)
4) Have there been or are there any current Financial Ombudsman decisions involving the business?	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details in the box below)
5) Do you employ a Pension Transfer Specialist?	<input type="checkbox"/> No <input type="checkbox"/> Yes
6) Have you complied with the new General Data Protection Rules (GDPR)?	<input type="checkbox"/> No <input type="checkbox"/> Yes
7) Do you have any connection, association, or relationship, either directly or indirectly, with a Claims Management Company or Solicitors acting as a CMC?	<input type="checkbox"/> No <input type="checkbox"/> Yes

ADDITIONAL DETAILS



PRODUCTS & INVESTMENTS

<p>8) Do you ever recommend any of the following?</p> <p>Please tick all that apply</p>	<p><input type="checkbox"/> Fully insured pensions</p> <p><input type="checkbox"/> Platforms</p> <p><input type="checkbox"/> SIPP's</p> <p><input type="checkbox"/> Other (please specify below):</p>
<p>9) Please describe your firm 's approach to investing client monies.</p> <p>Please tick all that apply</p>	<p><input type="checkbox"/> DFM</p> <p><input type="checkbox"/> Investment models</p> <p><input type="checkbox"/> Core holdings</p> <p><input type="checkbox"/> Central Investment Proposition</p>
<p>10) Does the firm or any of its directors or shareholders have any association with any company involved in the distribution or provision of investments?</p>	<p><input type="checkbox"/> No</p> <p><input type="checkbox"/> Yes (Please give details below)</p>

MARKETING

<p>11) Where will your clients who will use our service come from?</p> <p>Please tick all that apply</p>	<p><input type="checkbox"/> Long standing client relationships</p> <p><input type="checkbox"/> Referrals from long standing clients</p> <p><input type="checkbox"/> Professional introducers/partners (solicitors/ accountants)</p> <p><input type="checkbox"/> Other introducers (e.g. estate agents etc)</p> <p><input type="checkbox"/> Marketing companies</p>
<p>12) Where did you hear about Grove?</p>	<p>Please give details below</p>



FEES

Abridged Advice is a free service; it is only if a client elects to proceed to Full Advice that charges apply. Please see our Pricing Information document for more details.

13) Introducer Adviser Fee Are your expectations to charge an introducer fee, if so, how much?	
14) Ongoing Advice Fee (OAF) If the servicing agency is to be transferred back to you, please confirm your expectations regarding the level of OAF you will look to charge. Given Consumer Duty requirements, what will you provide for this fee? If you have a written Servicing Strategy, please provide a copy.	<input type="checkbox"/> No <input type="checkbox"/> Yes

The bank details you provide as the receiving agent must be your company bank details and where appropriate, as agreed by any parent company.

BANK DETAILS TO RECEIVE PAYMENTS

Account name: _____

Account number: _____

Sort code: _____

DECLARATION

I confirm that the above information is accurate to the best of my knowledge.

Introducer's Name: _____

Introducer's Signature: _____

Position: _____

Date: _____

