

PENSION TRANSFER BUREAU INTRODUCER - DUE DILIGENCE



Please complete this form and return to:

Grove Pension Solutions Ltd, Grove House, London Road, Halstead, Sevenoaks, TN14 705.

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

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| <p>1) How do you manage compliance? Please tick all that apply.</p> | <input type="checkbox"/> In-house <input type="checkbox"/> Firm principal takes care of it <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 |
| <p>2) Have there been any FCA investigations or issues raised by FCA supervision within the previous 3 years?</p> | <input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details) |
| <p>3) Have there been or are there any current or pending court or civil hearings against the firm or senior managers?</p> | <input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details) |
| <p>4) Have there been or are there any current Financial Ombudsman decisions involving the business?</p> | <input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details) |
| <p>5) Do you employ a Pension Transfer Specialist?</p> | <input type="checkbox"/> No <input type="checkbox"/> Yes |
| <p>6) Have you complied with the new General Data Protection Rules (GDPR)?</p> | <input type="checkbox"/> No <input type="checkbox"/> Yes |

PRODUCTS & INVESTMENTS

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|---|---|
| <p>7) Do you ever recommend any of the following? Please tick all that apply</p> | <input type="checkbox"/> Fully insured pensions <input type="checkbox"/> Platforms <input type="checkbox"/> SIPP's <input type="checkbox"/> Other (please specify): |
| <p>8) Please describe your firm 's approach to investing client monies. Please tick all that apply</p> | <input type="checkbox"/> DFM <input type="checkbox"/> Investment models <input type="checkbox"/> Core holdings <input type="checkbox"/> Central Investment Proposition |
| <p>9) 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> | <input type="checkbox"/> No <input type="checkbox"/> Yes (Please give details) |



MARKETING

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| <p>10) Where will your clients who will use our service come from?</p> <p>Please tick all that apply</p> | <ul style="list-style-type: none"><input type="checkbox"/> Long standing client relationships<input type="checkbox"/> Referrals from long standing clients<input type="checkbox"/> Professional introducers/partners (solicitors/ accountants)<input type="checkbox"/> Other introducers (e.g. estate agents etc)<input type="checkbox"/> Marketing companies |
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ADVISER FEES

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| <p>11) Please provide on indication of your proposed initial and on-going fees.</p> <p>We understand that fees may vary from case to case.</p> | <p>Initial Adviser Service fees:</p> <p>Does this include ours?</p> <p>On-going Adviser Service fees:</p> |
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DECLARATION

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

Introducer's Name:

Introducer's Signature:

Position:

Date:

