

# PENSION TRANSFER BUREAU INTRODUCER - DUE DILIGENCE



Please complete this form and return to:

Grove Pension Solutions Ltd, Grove House, London Road, Halstead, Sevenoaks, TN14 7DS

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

<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

<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

<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"><li><input type="checkbox"/> Long standing client relationships</li><li><input type="checkbox"/> Referrals from long standing clients</li><li><input type="checkbox"/> Professional introducers/partners (solicitors/ accountants)</li><li><input type="checkbox"/> Other introducers (e.g. estate agents etc)</li><li><input type="checkbox"/> Marketing companies</li></ul>
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## ADVISER FEES

<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:

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Introducer's Signature:

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Position:

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Date:

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