Client Engagement - Document & Information Requirements

Name: **Date:**

		Further Instructions	Actioned	Date
	Register for online account	Follow the email instructions to gain access to PFP	☐	
	Engagement Documents & Policies	Remember it is your responsibility to read the Terms of Business, Fee Schedule, Investment Policy Statement, Code of Ethics & Client Care policies ***(these are available in PFP Documents or the website)***	☐	
1. Personal Identification	Passport	Upload good colour copies to PFP if not supplied in person	☐	
	Driving Licence	Upload good colour copies to PFP if not supplied in person	☐	
	Birth Certificate	Upload good colour copies to PFP if not supplied in person	☐	
	Marriage Cert / Decree Nisi	Upload good colour copies to PFP if not supplied in person	☐	
	Bank Statements	Upload good colour copies to PFP if not supplied in person	☐	
2. Questionnaires	Finametrica	You will sent a log in code for Finametrica to complete this risk profiling questionnaire	☐	
	K & E Questionnaire	An editable PDF that can be sent or downloaded in PFP or online 'Knowledge Experience Assessment'	☐	
	Ethical Investment	An editable PDF that can be sent or downloaded in PFP or online 'Ethical Investment Profile'	☐	
3. Personal Finance Portal (PFP)	Income	Details should be entered in PFP follow *'Your Profile' > 'Your Finances' > Income & Expenditure' > 'Income'*	☐	
	Expenditure	Details should be entered in PFP follow *'Your Profile' > 'Your Finances' > Income & Expenditure' > 'Expenditure'*	☐	
	Assets	For properties give date and cost of purchase and estimated current value. *(We will obtain Office copies of deeds via our Land Registry Account)*	☐	
	Liabilities	Details should be entered in PFP follow 'Assets & Liabilities' > 'Add New Account or Policy' - Then enter the account details of Banking, Credit Cards, Investments, Mortgages	☐	
4. Client Engagement	Authorities to Act	Sent to sign in pen & posted back, used to transfer existing investment, pension and insurance plans	☐	
	Client Agreement **(Docusign)**	Sent through PFP to sign with a digital signature	☐	
	IFP Direct Debit **(Docusign)**	Sent through PFP to sign with a digital signature	☐	
	Agreed Payment for Services and Advice **(optional at this stage)**	A form to agree the type of service and advice from your adviser and your chosen method of payment	☐	

Interface

5. The Value of Our Advice	EDVOA	Education and Demonstration of the Value of Advice	☐	
	Initial & Ongoing Fee Breakdown for Illustration	An illustration of initial & ongoing adviser fees	☐	
	Nucleus Ethos	Key reading regarding Nucleus & Interface Financial Planning	☐	
	Dimensional Fund Advisers	Key reading regarding DFA & Interface Financial Planning	☐	
	CATS Independence Check	An internal tool to provide the evidence that the adviser has made an unbiased, comprehensive and fair analysis of the market	☐	

6. Recommendation	Suitability Report	Why is the recommendation suitable for you? Information to read	☐	
	Illustrations	Key Facts about the recommendation to read	☐	
	KIIDS	Key Investor Information about the recommendation to read	☐	
	Application / Forms	Sent to sign in pen & posted back	☐	
	Statement / Certification	Completion Paperwork	☐	

7. Aftercare	Client Survey / Feedback	A chance for you to review our service or tell us 'Your Story'	☐	