Introducer Profile

Firm Name	
Address	
Directly Authorised? *(if yes, please insert FSA number)*	
Appointed Representative? *(if yes, AR of whom?)*	
Number of advisers in firm?	
How many of these advise on pensions and retirement planning? *(please provide adviser names and qualifications - an Individual Adviser Profile can be completed for each if required)*	
Within the firm, who sets the compliance procedures (in-house team, network provider, external consultancy/service provider) and how are these monitored?	
What is the process for monitoring SIPP/SSAS sales?	
What is the process for monitoring pension transfers and pension switching?	

Who within the firm is/are the pension transfer specialist(s) and how is their competence maintained?	
How many SIPPs did the firm conclude in its last business year and what was the breakdown per adviser? Of these, how many were provided on an execution only basis?	
What is the average fund size of the personal pensions transacted through the firm broken down into SIPPs and PPs?	
Is the trend of personal pension sales through your firm up/down/neutral broken down into SIPPs and PPs?	
How many SSASs did the firm conclude in its last business year and what was the breakdown per adviser? Of these, how many were provided on an execution only basis?	
What is the average fund size of the SSASs concluded through the firm?	
Is the trend of SSAS sales up/down/ neutral?	
How many pension transfers did the firm conclude in its last business year and what was the breakdown per adviser? Of these, how many were provided on an execution only basis?	
What percentage of the firm's overall pension plans recommended in the last business year, were represented by SIPP and SSAS?	

How would the firm describe its client profile?	
What determines whether a client is recommended a member-directed scheme over a personal pension or stakeholder plan and is this documented?	
What features does the firm typically look for in a SIPP or SSAS and why?	
Specifically, what sort of service or support does the firm look for from a SIPP/SSAS provider?	
Has the firm or any of its advisers been subject to any FSA supervisory visits, thematic reviews or any other regulatory action in the last two years? *(if yes, what was the outcome?)*	
Is the firm subject to any ongoing FSA review, action or censure?	
How does the firm typically take remuneration for the advice it provides (fees or commission)? Does this differ between advisers - if yes, please provide details.	
Where commission is taken, what is the typical commission structure? Does this differ between advisers - if yes, please provide details.	
Where fees are taken, what is the typical fee structure? Does this differ between advisers - if yes, please provide details.	

During the previous business year, what was the % split of commission/fees?	
How, if at all, does the firm propose to change this model in light of RDR?	
How does the firm demonstrate it is meeting its TCF requirements?	
Has the firm been subject to any complaints in respect of SIPP or SSAS advice - if yes, please provide brief details of the complaint (subject to DPA provisions), any compensation paid and what, if any, changes to the SIPP/SSAS advice process).	
What steps does the firm take to ensure its advisers are competent to provide SIPP/SSAS advice?	
What are the firm's business objectives for the coming 12 months?	
What is the firm looking to achieve with regards to member-directed pension scheme business?	
How can Carey Pensions UK help the firm achieve this?	

Signed: Original signature required. Please print and sign.

Name:

Date: DD/MM/YYYY

Please add any additional information on the following page.

Additional information (please indicate which question your information relates to).