

UK INTRODUCER PROFILE – REGULATED FINANCIAL SERVICES FIRM

Carey Pensions UK LLP is delighted to be chosen to provide pensions administration services for your clients.

In order to assist our due diligence and on-boarding process, please can you complete this form and return it to:

Technical & Compliance Team
 Carey Pensions UK LLP
 First Floor, Lakeside House
 Shirwell Crescent
 Milton Keynes MK4 1GA

Telephone +44 (0) 1908 336010

If you have any queries or require any assistance completing this form please contact Carey Pensions UK LLP, Technical and Compliance Team.

Supporting Documentation

In addition to the completion of this form, please can you provide the following documents:

- **Template client agreement**
- **Charging Structure**

Company Information	
Details of the individual completing this form	NAME POSITION TELEPHONE EMAIL
Name of Firm	
Registered Address	
Trading Address (if different to above)	
Telephone Number	
Company Registration Number	
Website Address	
Date of Incorporation	

Regulated Status	
FCA Reference Number	
FCA Approval Date	
Are you a member of a network?	YES NO
Are you an appointed representative? If so, please provide the name of the company for which you are an appointed representative.	YES NO
Has the Firm or any of its advisers been subject to any FCA supervisory visits, thematic reviews or any other regulatory action in the last two years? If so, please provide details.	YES NO
Is or has the Firm been subject to any on-going FCA review, enforcement action or censure? If yes, please provide details.	YES NO
How many complaints has the Firm received in the last two years?	
What percentage of complaints were upheld?	

Business Profile	
Please indicate the type of clients you advise and may introduce to Carey Pensions.	Individuals: Yes/No Corporates: Yes/No
Please indicate the type of pension product you advise on.	SIPP: Yes/No SSAS: Yes/No Workplace Pensions: Yes/No
Please indicate your average client profile and transfer value.	

Do you advise on occupational pension transfers?	YES	NO
If applicable, when advising on the establishment of a pension, do you also advise on the underlying investments?	YES	NO
Please indicate the type of investments you are looking to utilize.	FCA regulated DFM Platform Commercial Property Quoted Shares Unquoted Shares Non Standard/Alternative Investments UCIS	

Systems & Controls		
Please can you outline how you monitor the quality and suitability of the advice you provide.		
Do you have a Treating Customers Fairly Policy?	YES	NO
Do you have a Conflicts of Interest Policy?	YES	NO
Do you have a Bribery & Corruption Policy?	YES	NO
Do you maintain Professional Indemnity Insurance with a minimum cover of £1.25 million?	YES	NO
Name of Compliance Officer		
Name of Money Laundering Reporting Officer		

Pensions Advisers		
Please record below the names of the pensions advisers within your firm.		
	Full Name	
1		
2		
3		

4	
5	
6	

Once this application has been approved internally we will confirm this to you.

Declaration:

By signing this declaration you are confirming the accuracy of the information provided and that you have read and agree to our Terms of Business, which allows us to consider establishing a business relationship with your company.

For and on behalf of: _____ **(Company Name)**

Signed:	
Print Name:	
Position in Company:	
Date:	