

## DOCUMENT HANDOVER

### Investment Replacement and New Business (Including EIS and VCT)

Adviser:

Client 1:

Date:

Client 2:

#### Salesforce Checklist

Please confirm that you have completed the following sections in Salesforce as this ensures the CFR is complete

Meeting date noted under "Activity" section

Details section fully complete

Relationships - ensure spouse and children included - spouse should appear under 'Related Accounts'

Financials Section fully complete

Income & Expenditure

Advice - Advice Record created for this particular advice

Disclosure - updated if applicable

Advice Record completion - click into Advice record and complete everything under 'Client Needs' (all questions answered)\*

\*This will also be where your meeting notes with the client will be recorded

Servicing agreement in place (regularity of reviews):

IAF and OAF to apply:

If Initial Advice Charge sacrifice is required, would you prefer:

Maximise Credit

Maximise IAF

# Investment Replacement and New Business (Including EIS and VCT)

## Recommendation

New Money

Replacement

## Solutions

\*Please note; For most clients, the default recommendation would be ISA and Unit Trust Feeder. A robust reason why this is not selected would need to be provided if not selected.

ISA

Unit Trust

Offshore Bond

EIS\*

Other

Unit Trust Feeder

Onshore Bond

DFM

VCT\*

\* Recommended to clients with a high ATR with minimum ATR being Upper-Medium

For Replacements

### Please note which plans are to be replaced

If you wish for a specific plan to transfer to a specific product, please document in the 'reason for recommendation' box.

Current Provider	Policy Type	Policy Number	Owner	To Be Replaced

## Investment Replacement and New Business (Including EIS and VCT)

### Recommendation

Investment amounts and products to be used.

### Ownership

Please provide details of ownership. For Bonds, please provide full details of the recommended set up, including recommended lives assured.

If over 70, please include a younger life assured.

Confirm that access to the lives assured has been provided in iBusiness.



## Investment Replacement and New Business (Including EIS and VCT)

### Fund/Portfolio Selection

Select Option:

For EIS and ITS, a spread across maximum possible number of providers is expected.

If a limited number has been selected, please document why the other funds etc. were not selected.

### Reason for Selection

Please indicate why a particular fund/portfolio has been selected in preference to other similar risk rated fund.

### Income

Income being taken?

Yes

No

Commencement date:

Fixed

Natural

Percentage withdrawals:

Amount:

Frequency:

Please use the space below to provide more detail of the income if needed.

If income is to be taken and the client is in the InRetirement stage, we would need a fully itemised breakdown of expenditure, details of any future capital expenditure inc white goods, cars and home renovations, together with State Pension forecasts, evidence of other Pensions in payment and how they escalate e.g. Defined Benefit Pensions.

## Investment Replacement and New Business (Including EIS and VCT)

### Disclaimer

On receipt of the Business Assurance approval memo for the above mentioned case, i understand that I will be invoiced as per the fees menu or as agreed in writing where relevant.

If the case does not proceed to Business Assurance for approval because we cannot recommend the client transfers any/all of their plans, I understand and agree that I will be invoiced for NPW fees as outlined in the Services and Fees menu.

I also understand that if the CFR has not been adequately completed that Wiltshire Paraplanning may charge up to £100 to cover any additional admin time to complete this for you.

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Type Partner Name

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Date

