WILTSHIRE
PARAPLANNING

DOCUMENT HANDOVER

Pension (Including SIPP and SSAS)

Adviser:	Date:
Partner Code:	Client DOB:
SRA:	

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

Pension (Including SIPP and SSAS)

Active member of Defined Benefit Scheme	Yes	No
Details/ LOA on file?	Yes	No

Employer Sponsored Scheme (ESS) available?	Yes	No
Details/LOA on file?	Yes	No

* Please note a comparison against any ESS (if currently available or would be within the next 12 months), Defined Benefit Scheme/AVC will need to be undertaken. Please ensure details of these are on file, including whether they will accept the lump sum/regular contribution and the applicable charges

IAF Details:

OAF Details:

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

Solutions

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

Retirement Account	SIPP/SSAS*	Trustee Investment Account

*If a SIPP or SSAS have been recommended, please confirm provider and reason why SIPP/SSAS is required. Please ensure an LOA is on file for the SIPP/SSAS provider and any third party investment manager.

If SIPP/SSAS being used, has the provider confirmed the acceptance of the property?	Yes	No

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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	To Be Replaced

New/Additional Contributions

Lump sum (gross/net):

Frequency:

Contribution paid by:

Regular contribution (gross/net):

Indexation:

LTA protection in place?	Yes	No
Details of protection on file?	Yes	No

Recommendation

Is the client at risk of breaching LTA due to the recommendations?	Yes	No
If using carry forward, are calculations and supporting documents on file?	On file	Needed

In simple terms please confirm the overall recommendation for the client

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Fund/Portfolio Selection

Select Option:

Insert Bespoke Portfolio Fund Selection Below:

Reason for Selection

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

Asset Preservation Trust (APT)

Has APT been recommended?	Yes	No	Already in place

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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.

Type Partner Name

Date