

# CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

## Application Form

### 1. Your firm's details

Name of Firm

Telephone No

Trading Name of Firm (if different)

Fax No

Business Address

Website

Firm's FCA Number

Total number of employees

Company Registered Number (if applicable)

Number of FCA registered advisers






### 3. Your Firm's Financial Planning Process

	Y/N	Notes
Does your firm have a Financial Planning proposition in place as a core offer to clients?	Y N	Evidence required
Are all staff aware of the Financial Planning proposition?	Y N	
Are all staff aware of the difference between Financial Planning and Financial Advice?	Y N	
Has your firm got in place policies and procedures compliant with the CISI Code of Conduct?	Y N	
Does your firm's management structure reflect a clear fiduciary responsibility to your clients?	Y N	
Do you have a consistent firm-wide fee structure?	Y N	Evidence required
Do you have a firm-wide investment philosophy?	Y N	Evidence required
Does your firm use cashflow modelling as part of the Financial Planning process?	Y N	
What proportion of your firm's clients receive cashflow modelling? (Please mark correct percentage with an 'x')	0-25%	
	26-50%	
	51-75%	
	76-100%	
Please provide the names of any software/tools used to support cashflow modelling.		

Does your business use Paraplanners?		
If yes in what proportion to your Financial Planners? (please give actual numbers):	Paraplanners:	Financial Planners:
Is Paraplanning outsourced?		
If yes, please confirm the provider's name:		

## 4. Professional Standards

Do all FCA registered advisers complete a minimum of 35 hours CPD p.a.?	
What percentage of registered advisers complete more than 35 hours CPD p.a. as is expected of  professionals? (Please mark correct percentage with an 'x')	0-25%
	26-50%
	51-75%
	76-100%
Which tools/systems do you use to record CPD?	
How many complaints (as defined by FCA) has your firm received in the past 12 months?	
How many complaints does your firm currently have outstanding?	
Are you aware of any issues that would threaten the firm's solvency in the foreseeable future?	
If there are any issues that would threaten the firm's solvency in the foreseeable future please give details:	

## 5. Supplementary Information Checklist

Information required	Y/N	Title(s) of document(s) or website address
Marketing materials explaining your firm's Financial Planning proposition	Y N	
A copy of your firm's fee structure as provided to a client	Y N	
Details of your firm's investment philosophy	Y N	
A copy of a financial plan provided to a client within the past six months (please remove names and addresses)	Y N	
A copy of annual review documentation provided to a client within the past six months (please remove names and addresses)	Y N	
An organisation chart	Y N	
Most recent annual accounts	Y N	
A copy of your firm's Training & Competence (T&C) scheme	Y N	

## 6. Agreement Details

- Whilst the firm remains as an Accredited Financial Planning Firm™, it agrees to continue to provide Financial Planning services in accordance with the standards set out in the latest 'guidance for applying firm's' document published by the CISI.
- Once this application is approved, Accredited Financial Planning Firm status will start from the 1st of the month following receipt of payment.
- The annual fee will be published on the CISI website and reviewed annually.
- Payment will be invoiced by the CISI on the basis of the information contained in this application.
- One month prior to annual renewal the firm will be asked to review their original application and provide updates of any details that may have changed. The CISI may temporarily remove firms from the register if payment is not received in a timely manner.
- At least 50% of the firm's FCA registered advisers have qualified at an advanced Financial Planning level as a CERTIFIED FINANCIAL PLANNER™ professional or Chartered Financial Planner (with AF5).
- All advisers providing the full Financial Planning service to clients on the firm's behalf have qualified at an advanced Financial Planning level or are mentored/supervised by such an adviser.
- The Accredited Financial Planning Firm™ may only use the Logos and Marks associated with this status in accordance with the latest trademark and brand guidance published by the CISI.
- The Accredited Financial Planning Firm™ will nominate an individual to support media work promoting Financial Planning.
- The CISI will promote through the website and other means the Accredited Financial Planning Firm™ name and contact details.
- The Accredited Financial Planning Firm™ will complete a short annual survey related to the state of Financial Planning in the UK.
- If a complaint is made against a CISI member who is an employee at the Accredited Financial Planning Firm™ then the firm will take reasonable steps to assist the CISI in resolving the matter to the CISI's satisfaction. Failure to do so is cause for immediate termination without recourse.
- The CISI is permitted to enter the premises of the firm within business hours subject to seven working days prior notification to audit any responses given in this application.
- In signing the application form, the firm authorises the CISI to share generic Accredited Financial Planning Firm™ data with sponsors and other trusted partners of the CISI.
- Both parties may terminate this agreement at any time with 30 days notice.
- If the firm fails to maintain the standards associated with the Accredited Financial Planning Firm™ status (as set out in the separate guidelines document) the CISI may terminate the agreement immediately; in the event of this, the firm may appeal in writing within 30 days to an independent appeals panel made up of 3 members of the CISI disciplinary committee or the decision will be deemed final. The decision of the appeals panel will be final.
- In the event of termination, no refund of any fees paid to the CISI will be made.
- Termination on any grounds requires the firm to remove all visible statements of Accredited Financial Planning Firm™ logos and marks, and to refrain from any statement or implication of being an approved Financial Planning Firm. The firm has 30 days to remove all branding from physical visibility on premises and 90 days to remove all relevant branding from stationery.
- All information provided by the firm will be treated as confidential by the CISI unless otherwise noted in this agreement or agreed separately in writing.

Signed on behalf of the Financial Planning Firm

Print Name

Position

Signature

Date