

**Company Assessment & Research Form**

**Company Name :­­­­­­­­­­­­­­­­­­­­­­­**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Date :**\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**Background**

|  |  |
| --- | --- |
| **Name of Firm** |  |
| **Name & Title of Firm Contact** |  |
| **Company Registration No** **(if applicable)** |  |
| **VAT Registered** | Y / NIf yes, your VAT No ? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Company FCA number** |  |
| **Company subject to any regulatory / compliance investigations ?** | Y / NIf yes, what for ? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Company/advisers have any regulatory restrictions/permissions ?** | Y / NIf yes, what for & who ? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Registered Address of Firm** |  |
| **How many client accessible offices do you have ?** | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| **Telephone Number** |  |
| **Fax Number** |  |
| **Email** |  |
| **Website URL** |  |
| **What is your firms legal structure ?** | Limited Company / Sole Trader / Partnership / LLP |
| **Firms regulatory status** | Directly Authorised (DA) / Network / Appointed Rep (AR)If Network/AR, name of sponsor - \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  |
| **Network / AR - Do you hold authority to make service, investment, regulatory authorisation decisions ?** | Y / N / Not Applicable |
|  |
| **Name of – directors / partners / shareholders** |  |  |  |  |
| **Dates of birth** |  |  |  |  |
| **Role in firm** |  |  |  |  |
| **Area of involvement in firm** |  |  |  |  |
| **Date commenced** |  |  |  |  |
| **Anticipated retirement age** |  |  |  |  |
| **% shareholding** |  |  |  |  |
| **Salary per year** | £ | £ | £ | £ |
| **Additional remuneration per year** | Dividend - £ | Dividend - £ | Dividend - £ | Dividend - £ |
| Bonus - £ | Bonus - £ | Bonus - £ | Bonus - £ |
| Pension - £ | Pension - £ | Pension - £ | Pension - £ |
| **No of administrators (exc senior staff)** | Full Time \_\_\_\_\_\_\_\_ | Part Time \_\_\_\_\_\_\_\_ |
| **No of para-planners (exc senior staff)** | Full Time \_\_\_\_\_\_\_\_ | Part Time \_\_\_\_\_\_\_\_ |
| **No of advisers (exc senior staff)** | Full Time \_\_\_\_\_\_\_\_ | Part Time \_\_\_\_\_\_\_\_ |
| **No of compliance staff (exc sen staff)** | Full Time \_\_\_\_\_\_\_\_ | Part Time \_\_\_\_\_\_\_\_ |
|  |
| **How was the firm created ?** **(Self Financed, Management Buy Out, Acquisition)** |  |
| **How long has the firm been running ?** |  |
| **What is the firm structure today ? Is it part of a group of companies or network ?** |  |
| **Business Drivers ?** | **Service Value / Time Savings / Cost Savings / Resource Efficiencies /** **GDPR & Regulation** |
| **Business plans – 1, 3, 5 years ?** |  |
| **Business Turnover Mix** | New Business - % | Recurring Servicing - % |
|  |
| **What are the main activities of the firm ?** | Private Pensions - %DB Pensions - % | Investments - % |
| Life Insurance - % | Mortgages - %Equity Release - % |
| Commercial Lending - % | Later Life - % |
| **Client types** | Private - % | Corporate - % |
| **How do you acquire new clients ?** | Client referral \_\_\_\_\_\_% | Website \_\_\_\_\_\_% |
| Professional Introducer \_\_\_\_\_\_% | Self-generated \_\_\_\_\_\_% |
| Marketing/lead company \_\_\_\_\_\_% | Seminars/events \_\_\_\_\_\_% |
|  |
| **Anticipated areas for support** | **Client Service Proposition □** | **Compliance & Regulatory □** |
| **Back Office / Client CRM □** | **Centralised Investment Proposition & Investment Committee □** |
| **Client Segmentation / Migration □** | **Platform Proposition □** |
| **Marketing & Material Resources □** | **IT, IT Security & GDPR □** |
| **Website & Website Design □** | **CPD & Competency □** |
| **Third Party Services □** | **Automated/Robo Model □** |
| **Business Share Arrangement □** | **Business Sale □** |
|  |
| **Trading history – last 3 years** | **Financial year end -**  |
|  | **Year -**  | **Year -**  | **Year -**  |
| **Turnover** |  **£** |  **£** |  **£** |
| **Gross Profit** |  **£** |  **£** |  **£** |
| **Net profit after tax** |  **£** |  **£** |  **£** |
| **Profit margin** |  **%** |  **%** |  **%** |
| Name & Address of accountants |  |
| Contact name |  |
| Tel no of contact |  |
| Email of contact |  |
| **Notes/Additional Information**  |