

**Company Assessment & Research Form**

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

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

**Background**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Name of Firm** |  | | | | | |
| **Name & Title of Firm Contact** |  | | | | | |
| **Company Registration No**  **(if applicable)** |  | | | | | |
| **VAT Registered** | Y / N  If yes, your VAT No ? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | |
| **Company FCA number** |  | | | | | |
| **Company subject to any regulatory / compliance investigations ?** | Y / N  If yes, what for ? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | | | | |
| **Company/advisers have any regulatory restrictions/permissions ?** | Y / N  If 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** | | | | | | |