**TASH/TAP SYNOPSIS / PRO FORMA FOR NEW BUSINESS SUBMISSION**

**THIS MUST BE USED FOR ALL CASE SUBMISSIONS VIA OUR WEBSITE**

**IFA Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Client Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Have you completed and are you enclosing the following:**

|  |  |  |  |
| --- | --- | --- | --- |
| **Document** | **Yes / No – if No please say why** | **Or** | **Please access our back office** |
| **Fact find** |  |  |  |
| **Risk Profile** |  |  |  |
| **Existing Plan Info** |  |  |  |
| **Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |  |  |  |
| **Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |  |  |  |
| **Other \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |  |  |  |

**To allow us to decide whether this work request is Intermediation or not please confirm:**

**Are you intermediating\* for your client? Y / N**

**Do you require TASH to engage in steps 1-5 of Intermediation\* with you as co-intermediary? Y / N**

**Has TASH previously worked together with you for this client? Y / N**

**\*Steps of Intermediation:**

1. *Gather information about the customer (fact finding)*
2. *Carry out research to find suitable investment options*
3. *Provide the customer with reports, financial health-checks and forecasts*
4. *Recommend specific investment products to the customer, including the prices at which these can be arranged*
5. *Act between the product provider(s) and the customer with a view to arranging the sale of the retail investment products agreed with the customer*
6. *Where applicable, i.e. where the customer agrees to an ongoing review service, monitor the customer’s ongoing position to ensure that the products continue to meet the requirements of the customer*

**The following questions are asked to help provide us with immediate clarity of your needs:**

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| **Please provide a brief overview of the case background and the client’s main aims & objectives** |

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| **Please comment on the position of the client’s provisions for emergency fund, family protection and any liabilities** |
| **Please provide comment on your initial thoughts on the direction that this case might take. Include general strategy ideas, any known tax implications, any provider or investment fund choice you might have in mind already and why**  **Notes of any provider you (or the client) do or do not wish to consider and why not** |

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| **Note of whether investment is for growth / income or both. If Income is required, how much is required and preferred frequency** |

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| **Note of any specific product requirements**  **Note of Investment requirements**  *Reference should be made as to whether the fund range for an existing product should be utilised, or not and why* |

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| **Please provide comment on the Client’s Attitude to Risk and any discussion you have had around Capacity/Tolerance for Loss** |

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| **Will the client pay you advice fees via the product or by personal payment outside product**  **What is your Initial Charge? \_\_\_\_\_\_\_\_% Or Fixed £ \_\_\_\_\_\_\_\_\_\_\_\_\_\_**  **What is your Ongoing Fee? \_\_\_\_\_\_\_\_% p.a. Or Fixed £ \_\_\_\_\_\_\_\_\_\_\_\_\_\_ p.a.**  **Are you charging VAT on any of your fees to your client Y / N ?**  **Do you have a Service Level description to be applied for this client? E.g. Gold, Silver or Bronze?** |

**Thank you for taking the time to complete this. Please email your new case to your case handler. If unsure, please email** [**dan@advisersupporthub.co.uk**](mailto:dan@advisersupporthub.co.uk) **or use this form to upload via our secure ‘send us a file’ section of our website.**