



Personal Touch Financial Services

Prospect Check List

Prior to an individual being authorised through our network, it is necessary to establish whether they can be considered as 'fit and proper', as defined by the Financial Services Authority, and/or whether they/the firm constitutes any form of business risk to Personal Touch.

To assist us in assessing this, please see below a checklist detailing information that will be required as part of your application. Please provide the following information when submitting your application to minimise any delays in processing.

Branch Application (Required Only For Appointed Representative Status)

- Copies of your last 3 years audited (if applicable) company accounts or copies of your last 3 years self-assessment forms
- Last RMAR report (only required for directly authorised firms)
- Copy of your consumer credit licence (**this must include categories C, E1 and H for mortgage authorisation**) (**For GI/Protection authorisation – only category C is required**)
- Copy of your data protection licence

Registered Individual Application (Required For All Directors, Partners and Advisers)

- Certified proof of a **valid** government issued photo identity (i.e. driving licence or passport)
- Certified copies of all your FPC/CeMAP/CF certificates (please note that we require copies of your actual qualification certificates), **we cannot accept letters confirming that you have passed the qualification**
- As you may not appear on the electoral role check that we undertake, we will require a copy of a utility bill or bank statement to prove your residential address. One is required for each year: **2009, 2010 and 2011**
- Copy of your consumer credit licence covering categories C, E1 and H (required **only** for self employed advisers) or a letter from the branch principal addressed to the adviser giving permission for them to trade under the branch licence
- Copy of your data protection licence (required **only** for self employed advisers)
- A copy of your last **residential** mortgage statement (required **only** for branch principals)
- For any individual with adverse credit, we will require a detailed written account stating the reasons behind the adverse credit including the names of all creditors and the amount owed
- For CCJ's, please also provide a copy of your certificate of satisfaction or a copy of your repayment plan, if this is still current
- For IVA's, please provide the initial supervisors statement/annual supervisors statement together with copies of personal bank statements for the previous six months showing the agreed amounts leaving your account
- For bankruptcy, please supply a certificate of discharge (**NB: undischarged bankruptcy cases will not be considered**)
- For debt management plans (DMP's), please supply a copy of your debt management plan, together with copies of personal bank statements for the previous six months showing the agreed amounts leaving your account
- Completed FSA 'Form A' (required for all directors, partners and IFA's)
- A copy of a personal bank statement from 2010 and 2011 (required for IFA's only)

Personal Touch Financial Services Ltd is authorised and regulated by the Financial Services Authority. Registered in England & Wales No.3406454.

Contact us

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