**CHECKLIST FOR RETAIL CLIENT FILES**

|  |  |
| --- | --- |
| **DATE:**  Click or tap to enter a date. | |
| **CLIENT:** Click or tap here to enter text. | **CLIENT REFERENCE:** Click or tap here to enter text. |
| **BROKER COMPANY:** Click or tap here to enter text. | **BROKER NAME:** Click or tap here to enter text. |

ARE YOU AUTHORISED TO PROVIDE THIS FINANCIAL SERVICE?  YES NO

| **ACTION** | **YES** | **NO** | **IF NO, WHY NOT?** | **DATE** | **FOLLOW**  **UP DATE** | **INITIALS** |
| --- | --- | --- | --- | --- | --- | --- |
| **Client given a copy of FSG** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Client informed of their duty of disclosure** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Proposal Form sent to client** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Needs of client considered and specific risks discussed (e.g. Flood, other)** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Alternative quotes obtained** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **General advice provided and GAW given** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Personal advice provided and either:**   * **SoA required (PA and CC) and given** * **SoA not required – remuneration and important interests and associations disclosed** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Client confirmed cover required** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **ACTION** | **YES** | **NO** | **IF NO, WHY NOT?** | **DATE** | **FOLLOW**  **UP DATE** | **INITIALS** |
| **Insurer informed cover required** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Insurer confirmed cover placed** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Cover note issued and expiry date noted** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Completed Proposal Form received** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Details on Proposal Form checked and**  **sent to insurer.** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **DOFI Assessment/Declarations** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Product Disclosure Statement provided** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Closing sent to insurer** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Written confirmation of transaction and invoice provided to client** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Invoice paid** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Insurers Policy or Certificate received** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |
| **Policy or Certificate checked and sent to client** |  |  | Click or tap here to enter text. | Click or tap to enter a date. | Click or tap to enter a date. | Click or tap here to enter text. |