**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. |