FINANCIAL ADVISORY LAUNCH PROGRAMME · SET UP YOUR SUITABILITY AND DISCLOSURE PROCESS

Suitability report and disclosure pack

A suitability-report skeleton and disclosure pack, marked as a template your network or compliance signs off.

01 The suitability chain

Each link produces the evidence for the next. Do not skip a stage.

Fact-find: the client's circumstances, needs, objectives and capacity for loss.

Risk assessment: attitude to risk, tied to the objective.

Research: the options you considered, and why.

Suitability report: why this recommendation fits this client.

02 Your disclosure documents

Clients must receive these at the right time.

Initial disclosure: who you are, your regulatory status, the services you offer.

Costs and charges: your initial and ongoing fees, disclosed clearly.

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Your independent or restricted status, stated plainly.

03 Keep it reviewable

A template your network or compliance signs off, not final wording.

Set your file-check routine: who reviews a case, and against what.

Note where ongoing reviews are recorded and diarised.

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