FINANCIAL ADVISORY LAUNCH PROGRAMME · ONBOARD: ENGAGEMENT, FACT-FIND AND RISK PROFILING

First-client onboarding pack

Client agreement, fact-find template, risk-profile record, and AML and ID checklist in sequence.

01 Formalise the engagement

Complete this before any advice work begins.

Client agreement signed, with your services and charges confirmed?

Initial disclosures issued to the client?

ID and AML checks done and recorded? (Regulated: follow the current rules, not this pack.)

02 Run the fact-find

Objectives captured, with what achieving each one means to them

Circumstances and existing arrangements recorded

03 Profile and record risk

Record both, and keep dated evidence.

Attitude to risk

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Capacity for loss

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