

## Application Form



### 1. Your firm's details

1. Name of Firm :
2. Trading Name of Firm (if different) :
3. Trading Start Date :
4. Business Address :
5. Telephone No :
6. Email Address :
7. Website :
8. Firm's FCA Number :
9. Total number of employees :
10. Company Registered Number (if applicable) :
11. Number of FCA registered advisers :

Please give the names of the individuals (they may be the same person) who will be responsible for the following:

	Name	Title	Telephone	Email
General Accredited Financial Planning Firm Queries				
Accredited Financial Planning Firm media contact				

Please confirm in which of these UK regions your firm has offices

- London & SE       South West       Midlands       Wales   
North West       North East       Scotland       Northern Ireland

## 2. Your firm's FCA registered adviser details

First Name	Surname	Are they a director?	Delivers Financial Planning (Y/N)	CERTIFIED FINANCIAL PLANNER™	Do they hold the CII Level 6 Advanced Diploma	Please specify whether this person is a member of CISI and/or CII, LIBF
		Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	
		Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	
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		Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	Y <input type="checkbox"/> N <input type="checkbox"/>	

**NOTE: Please continue on a separate page if you require more space**

## 3. Your Firm's Financial Planning Process

	Y/N	Notes
Does your firm have a Financial Planning proposition in place as a core offer to clients?	Y <input type="checkbox"/> N <input type="checkbox"/>	
Do you have a consistent firm-wide fee structure?	Y <input type="checkbox"/> N <input type="checkbox"/>	
Do you have a firm-wide investment philosophy?	Y <input type="checkbox"/> N <input type="checkbox"/>	
Does your firm use cashflow modelling as part of the Financial Planning process?	Y <input type="checkbox"/> N <input type="checkbox"/>	
<p>Please provide the names of any software you use for: CRM, Cashflow modelling, Risk Profiling, Logging CPD, Platforms, AI, Other</p>		

Does your firm outsource paraplanning and if so what is the provider's name?

#### 4. Professional Standards

How many complaints (as defined by the FCA) has your firm received in the past 12 months?

How many complaints does your firm currently have outstanding?

#### 5. Supplementary Information Checklist

Information required	Y/N	Title(s) of document(s) or website address
Marketing materials explaining your firm's Financial Planning proposition	Y <input type="checkbox"/> N <input type="checkbox"/>	
A copy of your firm's fee structure as provided to a client	Y <input type="checkbox"/> N <input type="checkbox"/>	
Details of your firm's investment philosophy	Y <input type="checkbox"/> N <input type="checkbox"/>	
A copy of a financial plan provided to a client within the past six months (please remove names and addresses)	Y <input type="checkbox"/> N <input type="checkbox"/>	
A copy of annual review/planning meeting documentation provided to a client within the past six months (please remove names and addresses)	Y <input type="checkbox"/> N <input type="checkbox"/>	
Most recent annual accounts	Y <input type="checkbox"/> N <input type="checkbox"/>	
A copy of your firm's Training & Competence (T&C) scheme	Y <input type="checkbox"/> N <input type="checkbox"/>	

## 6. [Wayfinder](#) Details

[Wayfinder](#) is a consumer facing website owned by the CISI which exclusively lists current CERTIFIED FINANCIAL PLANNER™ professionals and Accredited Financial Planning Firms™. To create your firm profile, please provide a short summary of your firm as well as relevant website links that will direct consumers to your website.

So that we can list any other offices you have across the country, please provide their address's in the following table

Office 2 Address	
Office 3 Address	

## 7. Agreement Details

- At least 50% of FCA-registered advisers must be a current CERTIFIED FINANCIAL PLANNER™ professional or hold the CII Advanced Diploma in Financial Planning.
- One director or the individual responsible for the advice process must be a current CERTIFIED FINANCIAL PLANNER™.
- Firms must adhere to CISI's latest Financial Planning standards and guidance while accredited.
- The annual fee is published on the CISI website, reviewed yearly, and invoiced based on the firm's application.
- Firms must review and update their application details one month before renewal; late payments may lead to temporary removal from the register.
- Use of accreditation logos/marks must comply with CISI's latest branding guidelines.
- Firms must nominate a representative to support CISI media activity.
- The CISI will publicly promote the firm's name and contact details.
- Firms must assist CISI in resolving complaints against member employees or face immediate termination.
- CISI reserves the right to audit firms to ensure continued compliance.
- Either party may terminate the agreement with 30 days' notice.
- Breach of standards may result in immediate termination; appeals must be made within 30 days and are reviewed by an independent CISI panel.
- No fee refunds are issued upon termination.
- Upon termination, firms must remove all branding within 30 days (physical) and 90 days (stationery).
- Information shared with CISI is confidential unless otherwise agreed.
- Firms must have policies and training in place to support clients in vulnerable situations.

Signed on behalf of the Financial Planning Firm

Print Name:  Position:   
Signature:  Date: