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United ...*

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Sharing Success*

AdvisersUnited_ProcessMap_V2020310

**Roberts
Clark** Independent Financial
Solutions Limited

Referrals Process Map

- **This simple process map is designed to explain who does what and when**
- **CLIENT ADVICE PROCESS:**
 1. **You complete Factfind with client** and agree a provisional cost/commission if you have spoken with us previously about the clients needs

IMPORTANT NOTE: IF YOU ARE NOT QUALIFIED AND NOT AN APPROVED PERSON UNDER FSA REGULATIONS YOU ARE NOT ALLOWED UNDER ANY CIRCUMSTANCES TO DISCUSS OR ADVISE ON SPECIFIC PRODUCTS OR SOLUTIONS WITH THE CLIENT. YOUR ROLE IS TO GATHER FACTUAL INFORMATION ONLY.
 2. **Send in factfind** - we will then discuss the factfind and needs/objectives/risk with you and also with client
 3. **We will send fee/commission quote to client and copy to you**
 4. **Client completes and returns fee/commission quote** (either with or without your help)
 5. **We do advisory work** - research, advice and suitability report
 6. **Suitability report is issued to the client** - copy to you (assuming client has authorised you to receive a copy)
 7. **We discuss the report with the client** - you can also assist on this part where applicable - e.g. be with client, help them complete forms etc

- **Post completed factfind questionnaires to:**

**Roberts Clark IFS Limited
Prosperity House
Water Street
Burntwood
Staffordshire
WS7 1AN**

- **If you have questions about the referral process:**

Telephone 01543 677444 or 020 8144 7620

Referral Process

Do you want to complete the factfind and help complete application forms to earn more?

NO

YES

Contact us online or
Tel 01543 677444 or
020 8144 7620 to
discuss client details

Contact us online or
Tel 01543 677444 or
020 8144 7620 to
discuss client details
and fee/commission terms

WE contact client, complete
Factfind, agree clients
terms

YOU give our terms to client
YOU complete OUR factfind
YOU send factfind to
Advisers United

WE complete research,
suitability report, give
advice and complete any
applications forms

WE review your factfind,
WE contact client and check
factfind with clients,
WE get additional
information if needed

WE PAY YOU

WE PAY YOU

Standard Rate 20%
or a Special Rate 30%
for listed lower
administration advice

WE complete research,
suitability report, WE give
advice and talk to client
YOU help client complete
applications forms

WE PAY YOU

Enhanced Rate 40%
or a Special Rate 50%
for listed lower
administration advice