THE PARAPLANNERS

Your checklist for successful case submissions

SMOOTH AS SILK OR LIKE A HOT KNIFE THROUGH BUTTER…

That's how we'd like your experience of submitting a case to feel – each and every time.

After all, the sooner we receive everything that we need to get started, the sooner we can get cracking on a case.

That's why we've put together the checklist you'll see on the following page.

It's designed to help make sure that the information you're gathering is the information we'll need.

We've set out several types of case and, for each one, we've indicated the information that we're going to need.

Of course each case is different.

There are bound to be occasions when you just don't have all the information to hand or can't be certain whether the information you've gathered is quite right.

That's why it's good to know we're here to help. So if you want to run through a case before you submit it, feel free to get in touch – any time.

No matter what, these are the items that we'll always need to complete your case:

1. Clear case instructions
2. A recently completed fact find – if possible
3. Your client's objectives and – if you're at this stage – the reasoning behind the advice you intend to offer
4. Confirmation of your fees
5. Meeting notes plus any nuggets of insight that paint a picture of your clients – these really help us to personalise the report
6. Information about any relevant research that you've already carried out
7. If your request is for research, a due diligence project or financial planning – including cash flows – we'll be in touch to confirm exactly what your objectives are and what we'll need to know

If you'd like any help or guidance about the checklist – or your own process – just let us know because we'll be happy to help.

CASE INFORMATION CHECKLIST

This grid shows the information that we'll ask you to upload to Basecamp – 'the hub' – when you submit a case. The types of cases are shown on the left. Wherever you see a dot, that's the information we typically require to successfully process that type of case.

Transfers, switches and new money	Information required								
Case type	Client's risk profile	Investment term/ knowledge and experience	Capacity for loss	Confirmation of affordability	Existing scheme summary/policy details	Workplace pension option?	Existing scheme projections	New provider illustration/ charges	Confirmation of new investment strategy
New pension or investment	●	●	●	●		● (pension)		●	●
Pension or investment switch	●	●	●	●	●	● (pension)	●	●	●
Bed and ISA	●	●	●		●		● (or charges)	●	●
DB transfers	●	●	●	Let's talk	Let's talk	●	●	●	●
Protection	If applicable	●		●	If applicable			●	If applicable
Annuity purchase	If applicable	For investment linked products		●				●	For investment linked products

Reviews	Information required				
Case type	Provider review pack	LTA Information	Details of any assumptions required	Confirmation of ongoing suitability	Charges summary
Annual review			For cash flow forecasts	●	●
Drawdown review	●	●	For cash flow forecasts	●	●

Withdrawals	Information required				
Case type	Base costs for GIA etc.	Withdrawal or chargeable gain history	Confirmation of LTA position	Investment pathway option?	Illustration
Pension drawdown or crystallisation		●	●	●	● (inc. critical yield)
Investment withdrawals	●	●			

Contact us

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