

OUR SERVICE DELIVERABLES TO YOU

Initial Financial Review Service	Financial Review
Initial meeting	√
Identify and discuss your aims, objectives and time frames	√
Assess your holistic financial planning needs and identify all financial issues or deficiencies (Financial Review Report)	√
Assess your comfort levels relative to risk and tolerance to loss	√
Review your existing plans in relation to your objectives	√
Review your existing investment portfolio in line with your objectives	√
Financial analysis - identify outline solutions	√
Research the whole market for suitable products, including the terms of any appropriate financial product	√
Prepare a recommendation report covering proposed actions	√
Explain and discuss recommendations	√
Implement recommendations	√

Ongoing Review Service	Routen Chaplin Wealth Management	Routen Chaplin Financial Planning	Routen Chaplin Financial Awareness
Annual face to face personal review with adviser	√		
Annual Portfolio review	√		
Investment bulletin - quarterly	√	√	
Annual review with adviser (may be by phone)	√	√	
Annual statements from provider	√	√	√
Consolidated annual investment report and valuation	√	√	√
No annual review included – relies on client to request review	√	√	√

SERVICE LEVELS

INITIAL

ROUTEN CHAPLIN FINANCIAL REVIEW SERVICE

This service is the foundation or entry level for all customers. The financial report service will establish the facts about your current personal, financial and other circumstances and any gaps or needs in your existing arrangements together with identifying your aims, objectives and aspirations. This information is then used to determine not only why these should be satisfied but how they could be addressed and in what order of priority you should set. This service can be accessed as a standalone service without any ongoing service or advice forming part of your agreement with us to act as your agent.

ONGOING

ROUTEN CHAPLIN WEALTH MANAGEMENT SERVICE

This is an ongoing review service suitable for customers who are both knowledgeable and experienced investors and who have already established an investment or pension portfolio. The aim of this level of service is to provide a wealth preservation strategy whilst assisting the customer in taking advantage of alternative and non-mainstream investments that offer the opportunity for creating a sustainable growth in the customer's wealth **(The fee to us for this service is 1% of the fund value. This is subject to minimum levels as per our 'About our services' document).**

ROUTEN CHAPLIN FINANCIAL PLANNING SERVICE

This is an ongoing review service suitable for customers who have an established investment or pension portfolio or have a range of assets forming the basis of their wealth and upon which they are seeking to review and manage with our help. The aim of this level of ongoing service is to help the customer maintain and grow the value of their wealth or to ensure that investment income levels are maintained. This level of service is also intended to help the customer increase their knowledge and experience in the financial markets. **(The fee to us for this service is 1% of the fund value. This is subject to minimum levels as per our 'About our services' document).**

ROUTEN CHAPLIN FINANCIAL AWARENESS SERVICE

This is an ongoing review service suitable for customers who have a relatively modest investment or pension portfolio or have some regular premium products such as savings and or pensions and are seeking our help to reviewed and manage these. The aim of this level of ongoing service is to help the customer establish an achievable growth in wealth. This service is also intended to help the customer achieve a sound understanding of the financial markets. **(The fee to us for this service is 0.75% of the fund value. This is subject to minimum levels as per our 'About our services' document).**

Implementation Fee Agreement

We have agreed that payment for our service will be in one of the following options:

1. Bank Transfer Payment
2. Cheque
3. A single deduction from your investment/savings/pension
4. Twelve equal payments made from your investment/savings/pension over no more than 12 months (for regular premium product only)

We have agreed that payment for our service will be as set out below:

Payment Option: _____

Amount: £ _____ OR _____ % of single premium

Amount: £ _____ OR _____ % of first 12 months premiums

Where no new transaction or contract is established, a withdrawal fee of £ _____ will become immediately payable.

Ongoing Service Fee Agreement

We have agreed that payment for our ongoing service will be in the form of one of the following options:

1. Bank Transfer Payment
2. Cheque
3. A deduction from your investment/savings/pension facilitated by the Product Provider
4. A deduction from your investment/savings/pension facilitated by the Platform Provider

The amount that you have agreed to remit in respect of our remuneration for our ongoing service is as set out below:

Payment Option: _____ Ongoing Service Level: _____

Amount: £ _____ OR _____ % annually of the value of your product / portfolio

Amount: £ _____ OR _____ % monthly of the value of your product / portfolio

Some of the ongoing service we provided may include elements that are liable for VAT. Where this is the case we will clearly identify what proportion of our ongoing service is liable for VAT and advise you of the amount of VAT to be paid.

I/We agree to the remittance for your services as set out above. I understand that you will debit the amount from the product I am purchasing.

I/We agree to the remittance for your services as set out above. I understand that you will bill me for these services and that you will be collecting payment as agent of The On-Line Partnership Limited.

1 st Client Name		2 nd Client Name	
Signature		Signature	
Date		Date	

Routen Chaplin Wealth Management Limited is entered on the FCA register (www.fca.org.uk/register/) under 447059. Routen Chaplin Wealth Management Limited is an appointed representative of The On-Line Partnership Limited which is authorised and regulated by the Financial Conduct Authority. Routen Chaplin Wealth Management Limited is registered in England and Wales at Newstead House, Pelham Road, Nottingham NG5 1AP.

Our business address is Britannic House, 5 Tamworth Road, Long Eaton, Nottingham, NG10 1JE

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