

THE HARTLEY PENSION

FINANCIAL ADVISER INSISTENT CLIENT DECLARATION

Adviser Name

Adviser Individual
FCA Reference

Adviser Firm Name

Adviser Firm
FCA Reference

I confirm that we hold the relevant FCA permissions necessary to provide the advice outlined below, and that we hold the required Professional Indemnity Insurance for this advice.

Client Name

Client's National
Insurance Number

I can confirm that the above client is an insistent client and their pension transfer will be proceeding on this basis.

We have completed the advice process on behalf of

who will be providing on-going financial advice for the client. I can confirm that the full advice process was followed, and the client made an active informed decision to proceed on an insistent basis. This included:

- A full fact find, including information on the client's financial and investment needs and objectives ;
- Research and analysis on every possible option that would fulfil their needs and objectives;
- A Suitability Report including the adviser's recommendation, justifications for the recommendation, and risks associated with the client acting on an insistent basis against the recommendation; and
- A written disclaimer, in their own words, from the client confirming they will proceed on an insistent basis

Signature

Print Name

Date

***signature must be of the adviser duly quoted as providing the advice**

Please return completed form to:

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