CHARTERED INSTITUTE FOR SECURITIES & INVESTMENT

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 PLANNERtm	Do they hold the CII Level 6 Advanced Diploma	Please specify whether this person is a member of CISI and/or CII, LIBF
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	
		Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	Y ☐ N ☐	

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 ☐ N ☐	
Do you have a consistent firm-wide fee structure?	Y ☐ N ☐	
Do you have a firm-wide investment philosophy?	Y ☐ N ☐	
Does your firm use cashflow modelling as part of the Financial Planning process?	Y ☐ N ☐	
Please provide the names of any software you use for: CRM, Cashflow modelling, Risk Profiling, Logging CPD, Platforms, AI, Other		

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 ☐ N ☐	
A copy of your firm's fee structure as provided to a client	Y ☐ N ☐	
Details of your firm's investment philosophy	Y ☐ N ☐	
A copy of a financial plan provided to a client within the past six months (please remove names and addresses)	Y ☐ N ☐	
A copy of annual review/planning meeting documentation provided to a client within the past six months (please remove names and addresses)	Y ☐ N ☐	
Most recent annual accounts	Y ☐ N ☐	
A copy of your firm's Training & Competence (T&C) scheme	Y ☐ N ☐	

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. Confirmation of Independence

The applicant firm confirms that it conducts its financial planning and advisory activities on an independent basis as defined in the applicable regulatory framework governing the provision of independent advice and that it assesses and recommends retail financial products across the whole of the relevant market without any restriction or limitation arising from commercial, contractual or ownership arrangements with product manufacturers, distributors or other third parties. The firm confirms that it determines the suitability of its recommendations by evaluating a sufficiently comprehensive and fair analysis of the market and that it does not limit its research and analysis for recommendations to products from a single provider or from a restricted panel, recognising that implementation through a single platform or provider remains permissible where supported by a documented whole-of-market analysis and where the firm retains full ability to recommend alternative products where those are more suitable for the client. The firm confirms that it receives no remuneration, consideration or inducement from any product provider that would compromise or influence the firm's duty to act in the client's best interests and that any third-party remuneration that the firm may receive complies with applicable regulatory requirements and does not restrict the firm's ability to offer independent advice. The firm understands that CISI will rely on this declaration for the purposes of assessing eligibility for Accredited Financial Planning Firm status, agrees to notify CISI promptly if its independence status changes at any point during the accreditation period, and acknowledges that CISI may request evidence or undertake spot checks at its discretion to verify ongoing compliance with these requirements.

8. Agreement Details

- As a firm we agree to the above Confirmation of Independence.
- At least 50% of FCA-registered advisers must be a current CERTIFIED FINANCIAL PLANNER^{tm} 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^{tm}.
- 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:	