



Checklist

Purpose

There may be documents, processes or policies that need reviewing in line with the new rules.

This checklist will help you identify them.

Product and services	Reviewed / created / updated?		
	Yes	No	N/A
PROD	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Centralised investment proposition / centralised retirement proposition	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Platform due diligence	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
File checking	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Vulnerability	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Price and value	Reviewed / created / updated?		
	Yes	No	N/A
Ongoing services	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Annual suitability report / process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fair value assessment	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Consumer understanding	Reviewed / created / updated?		
	Yes	No	N/A
Advice and sales process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Client onboarding process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Information to consumers	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Testing understanding	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Consumer understanding	Reviewed / created / updated?		
	Yes	No	N/A
Financial promotions	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Suitability reports	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Pension transfer process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Insistent client process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Execution only process	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Customer support	Reviewed / created / updated?		
	Yes	No	N/A
Client agreement / terms of business / fee agreement	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Disputes and complaint handling	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Channels of support	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Culture, governance and accountability	Reviewed / created / updated?		
	Yes	No	N/A
Board report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Consumer Duty champion appointed	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Statements of responsibilities	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Fit and proper assessments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Staff declarations	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>



Produced in partnership with The Verve Group.

"Nucleus" is the trading name for Nucleus Financial Platforms Limited (06033126) (registered in England whose registered address is Dunn's House, St Paul's Road, Salisbury SP2 7BF) and its group.