

# WELCOME TO THE NETWORK OF CHOICE



SENSE

# Introduction

We are delighted that you have chosen to take your application forward with Sense Network and look forward to welcoming you into our growing community of forward-thinking Financial Advisers.

Our role at Sense is to support your advisory business at every stage of your authorisation process and beyond. That's why we've split this process document in to two sections: **Pre-Authorisation & Post-Authorisation**. We want you to know what you can expect by way of support as you progress through your application and the benefits you receive as a full network member.

Whilst we have tried to cover off most queries, should you have a question which we haven't anticipated, please contact me, or the key person for the relevant stage and we will be happy to provide you with the answer.

## STAGE 1

### PRE-AUTHORISATION

Firm & Individual Applications Completed

Pre-Authorisation Testing

Novation & Agencies, Migration/Data Transfer

Advice Proposition

Disclosure Documents, Stationery  
& Financial Promotions

Induction Course

T&C Interview

## STAGE 2

### OUR SERVICES POST-AUTHORISATION

iO Training

T&C Welcome Call

Fee & Commission Income

iO Support

Case Review & T&C

Our Communications To You

Marketing Support

Development Programme

Adviser Development Academy

CPD

Annual Testing

Business Development

# Your Key Contacts

At various stages within this guide, we will reference specific contacts at the Network who are responsible for key areas of your onboarding. We have included some key contacts, together with an escalation contact, to ensure that you are aware of the contacts available to support you within each area of the business.

## APPLICATIONS & AUTHORISATIONS

**Sarah Garbutt**

sgarbutt@adviserservices.co.uk

**Tina George**

tgeorge@adviserservices.co.uk

## NOVATIONS/AGENCIES

**Hayley Gray**

hgray@adviserservices.co.uk

## STATIONARY/DISCLOSURE DOCUMENTS

**Anthony Massey**

amassey@adviserservices.co.uk

## BUSINESS SUPPORT

**Sue Catton**

scatton@adviserservices.co.uk

**Rachael Perrin**

rperrin@adviserservices.co.uk

## YOUR ADVICE PROPOSITION

**James Smith**

jsmith@adviserservices.co.uk

## iO TRAINING

**Billie Hopley**

bhopley@adviserservices.co.uk

**Dom Johnson**

djohnson@adviserservices.co.uk

## DATA MIGRATION

**Matthew White**

mwhite@adviserservices.co.uk

# PRE-AUTHORISATION



# Paperwork

An Application pack will be sent to you via email. The pack will include the following documents:

## Form A

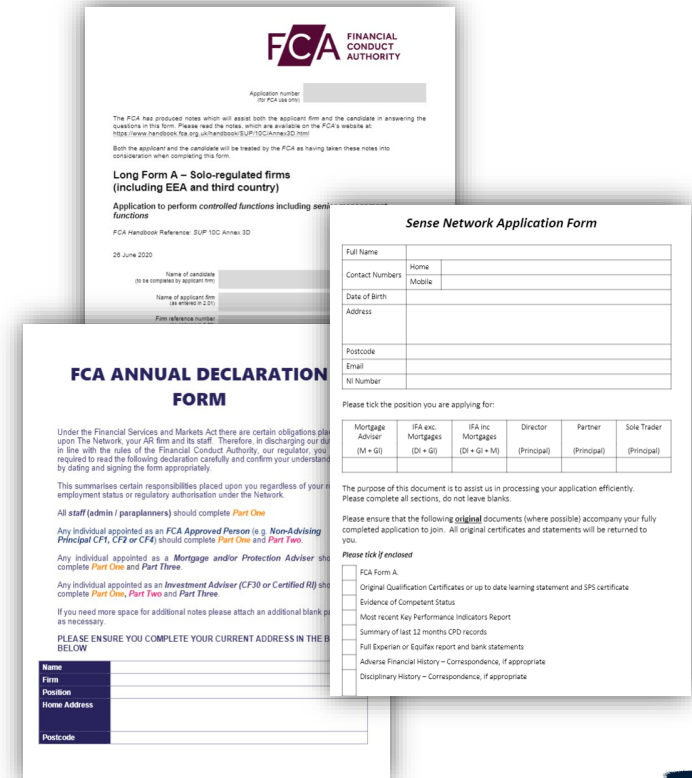
## Sense Application forms for Firm and Individual

## Contractual Docs

We appreciate that paperwork submission requirements are not always a simple process, so please do contact Sarah Garbutt with any questions or indeed support in completing the pack. Once these documents are fully completed, please return them to Sarah Garbutt using the address highlighted below, along with the other information/documents required in the email.

@ sgarbutt@adviserservices.co.uk

! As part of the application process, we will also carry out a DBS check and referencing.

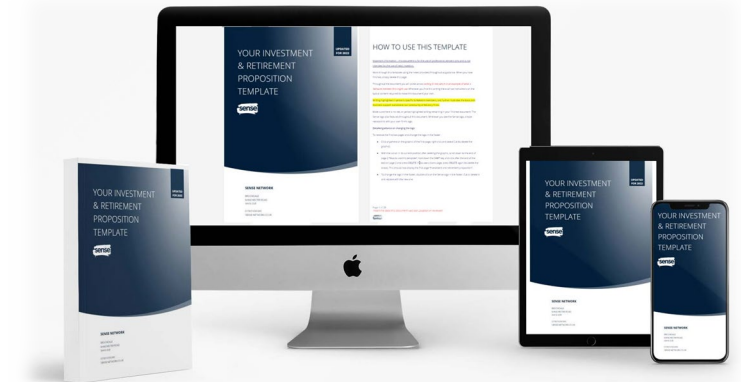


# Your Advice Proposition

Having a documented Proposition not only ensures that all of your key advice processes are recorded but it is also best practice.

Researching your centralised investment and platform/product solutions means that further analysis is not required on a case-by-case basis. Alignment of products to identified target client segments is also met.

**As an Independent firm we know you will have your own preferred providers for both Investment & platform solutions, so we will help you with the structure and provide best practice examples in creating a robust Advice Proposition that ensures appropriate client outcome.**



@ [jsmith@adviserservices.co.uk](mailto:jsmith@adviserservices.co.uk)

# Stationery, Disclosure Documents & Financial Promotion

We will work together on your draft stationery, disclosure documents and any financial promotions.

This includes but is not limited to:

- Business Cards
- Letterhead
- Website
- Email Signatures
- Client/Fee Agreements
- Client Mailers

@ amassey@adviserservices.co.uk

These documents can take time and consideration.

- ! To assist you in completing your documentation, we can supply template disclosure documents, if required.

PRE-AUTHORISATION

# Data Protection License

Please send us a copy of your data protection licence (you can obtain this via the ICO website if you don't already have one).

[Click here to access the ICO website](#)

@ [sgarbutt@adviserservices.co.uk](mailto:sgarbutt@adviserservices.co.uk)



# Novations, Agencies & Letter Of Authority

Once the application has been received and we have all of the required documents. Our Novations team will be in touch to discuss the Novations & Agencies process.

**Your novation and transfer of business cannot commence until you go live with the Network.**

## NOVATIONS

You will be sent a "Control Sheet", where you will be required to list every provider that you will be using.

Once returned, the team will check to see if any application forms are required.

## LETTER OF AUTHORITY

We will then provide template letters.

This is required by the firm to certify that you agree to the transfer of business and ensures that we have agreed to take on all transferred business.

## AGENCIES

At this point, we will discuss all of your firm's new agencies with the information that you have provided and agree any further actions.

Whilst transfer of business is typically completed upon joining the network, we will be able to support any future requests.

@ [hgray@adviserservices.co.uk](mailto:hgray@adviserservices.co.uk)

# Data Migration

The data migration team will discuss with you what systems you currently use so that the data can be migrated in to iO as smoothly and effectively as possible.

The team will also work with you post-authorisation to support you with valuations, cleansing and maintenance of your data, reporting and changes to the system.



We aim to have this data migration discussion around 10 weeks before you are authorised, to ensure the migration process can be completed as quickly as possible and your data is available for your authorisation date.

@ mwhite@adviserservices.co.uk

PRE-AUTHORISATION

# Induction course

Our Induction course is designed to be completed remotely and at your own pace.

The course agenda covers areas relating to:

- Compliance
- The Advice Process
- Technology Training
- Financial Planning
- Business Processing

@ [sgarbutt@adviserservices.co.uk](mailto:sgarbutt@adviserservices.co.uk)



# Pre-Authorisation Testing

As part of your authorisation process, we will set you a series of online knowledge assessments within Financial Assess. These assessments will be based on your permissions as an adviser.

We will follow the same process Post-Authorisation, to ensure that your regulatory requirements are met.

Financial Assess will also provide a home for your CPD records.



@ sgarbutt@adviserservices.co.uk

# Additional iO Support

Alongside the introductory iO training modules, you will also have the option to complete supplementary iO training sessions.

Once your initial training is complete, we will still be on hand to support with both day-to-day issues together with training that relates to system upgrades and anything further that you may need as time goes by.

@ ioqueries@adviserservices.co.uk



You will be given access to the ASHL Extranet, which is the main hub for all learning resources available to you as a Sense member.

# FCA Approval & Sense Authorisation

We will manage the relationship with the regulator and will aim to achieve your target dates for authorisation.

In order to expedite the process, all documentation and detail needs to be provided as swiftly as possible.

Some applicants are more familiar with the process than others, therefore we are here to be as hands off or hands on as required in terms of completion of the paperwork and understanding the forms.

A typical FCA approval timescale is approximately 8 weeks. This can fluctuate based on seasonal peaks and the nature of your application.

An application that doesn't follow the normal path is considered non-routine in the eyes of the FCA and therefore could take longer, which is why we highly recommend highlighting all information at outset in order to not delay the application.

We will keep you updated throughout the authorisation process and are always available to support you where needed.

@ sgarbutt@adviserservices.co.uk



# FCA Approval & Sense Authorisation

Once FCA Approval is through, together we will have signed off on the following:

- Advice Proposition
- Stationary & Disclosure Documents
- Data protection license in place



@ sgarbutt@adviserservices.co.uk

# POST-AUTHORISATION



POST-AUTHORISATION

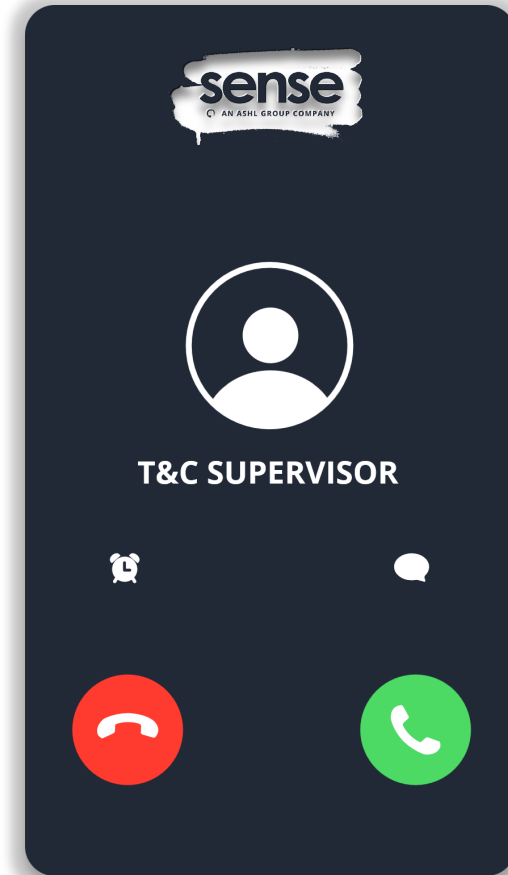
# T&C Welcome Call

Within the first week of being authorised, you will receive a welcome call from your dedicated T&C Supervisor.

This call will cover anything that you want to discuss, together with:

- Ensuring that your CPD records are set up
- To make sure that you are comfortable with the network systems
- To confirm your understanding of your Authorisation Letter

@ Dedicated contact details will be provided



# Fee & Commission Income

Once authorised, our Adviser Pay team is your dedicated point of contact to ensure that fee & commission income is allocated and paid to you in a timely manor.

Getting paid smoothly is one of our key objectives, we will therefore be available to support you with hints and tips to ensure that there is no delay to your fee and commission income being paid promptly. As your first cases start to be paid by the provider, we will host a call with you to discuss anything that may be helpful for future cases to be paid without delay.

Once we are working in a BAU state, we will be available to help with any queries that you might have. This email address will put you in touch with a team of people that will deal with all of your queries.

@ [adviserpay@adviserservices.co.uk](mailto:adviserpay@adviserservices.co.uk)

POST-AUTHORISATION

# iO Training & Support

The iO team will work with you to develop a bespoke training plan for the business that you write.

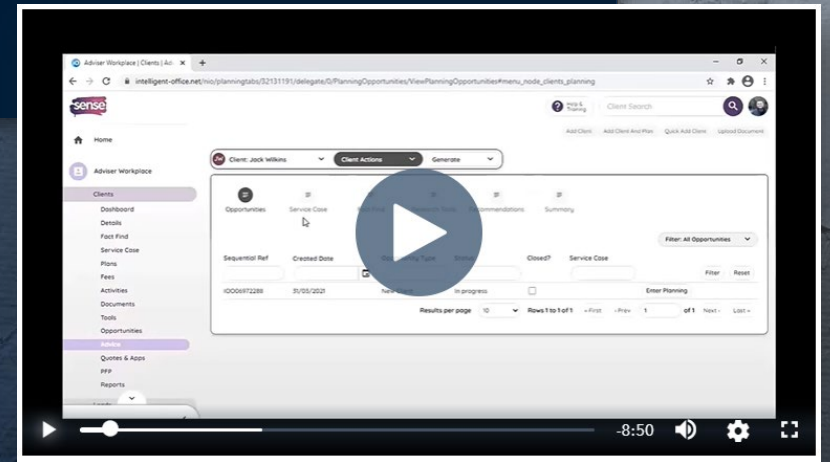
This typically works as one training session per week for 3-4 weeks and is aimed at giving you the core foundations, so that you are confident in using iO compliantly and efficiently.

The team offers ongoing training and support together with training videos, quarterly best practice topics and feedback-based learning material.

**There is also a dedicated mailbox to gather feedback and offer prompt support.**



## RELATIONSHIPS ON IO



@ ioqueries@adviserservices.co.uk

# Case Review & T&C

Your dedicated T&C Supervisor is there to provide the reassurance that you are comfortable with the processes to meet regulatory standards and to support you on your journey as a member of the Sense community.

Monthly, tailored 1:1 reviews with your T&C Supervisor during the initial stages of your supervision.

The Case Review team will provide 100% case checking for the first 3 cases in each advice area as part of your initial monitoring and then a bespoke plan will be agreed between you and your Supervisor to achieve full sign off.

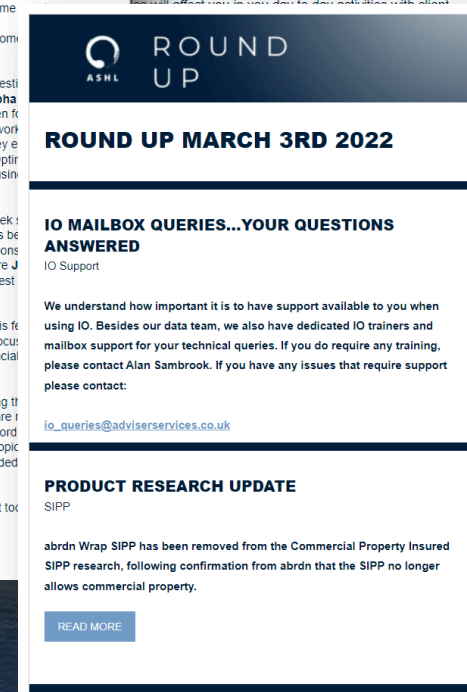
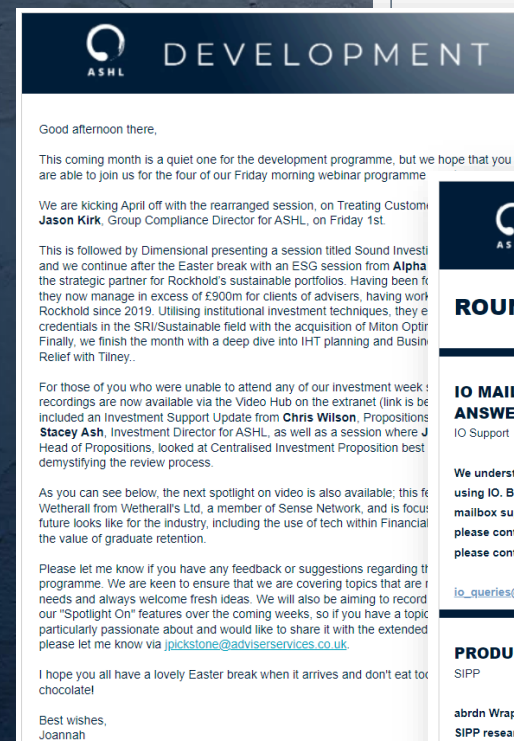
@ Dedicated contact details will be provided

# Ongoing Communications

Alongside our face-to-face support, we also have a wide variety of support material and guides, including:

- Compliance bulletins
- White labelled guides for use with your clients
- Development Programme updates
- Industry Newsletters
- iO support

@ marketing@adviserservices.co.uk

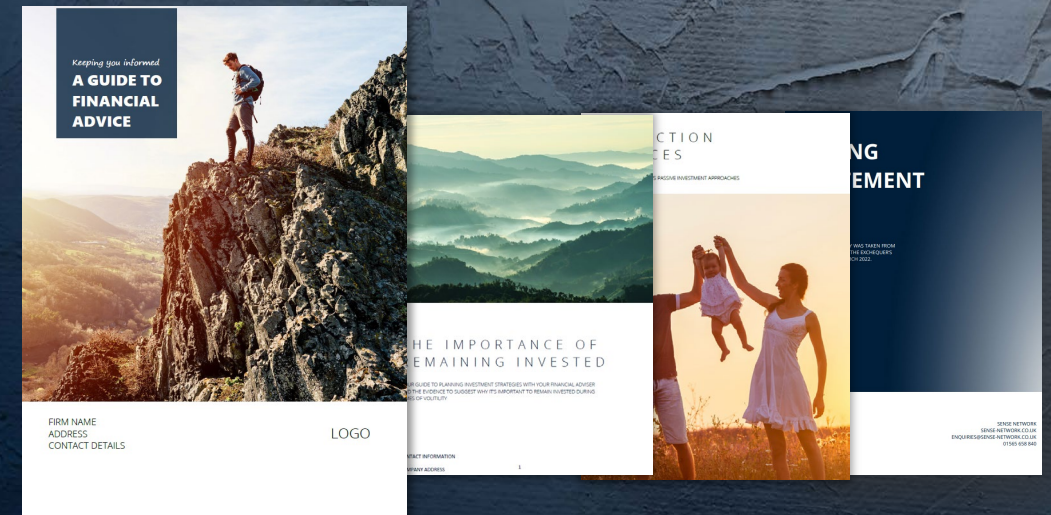
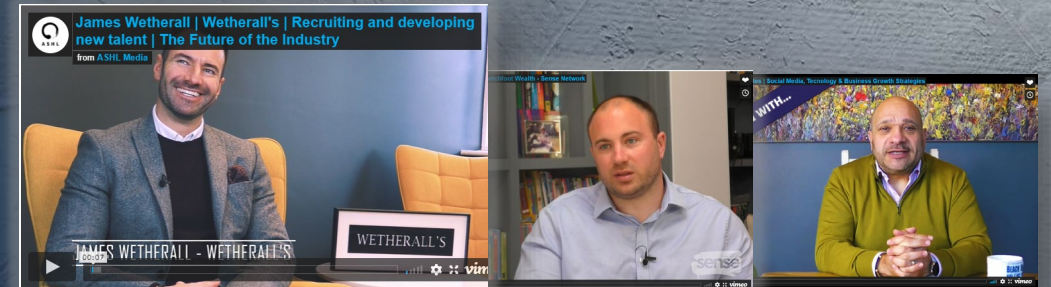


# Marketing Support

As part of the service that we provide to our members. We offer Marketing support for firms in the form of the following:

- Bespoke support on your website development and inbound marketing strategies
- Webinars on Inbound Marketing, content creation, SEO and analytics
- White-labelled client guides, pre-approved for your use with clients and on your website.

Ultimately, marketing requirements differ between firms and so we tailor our support to your needs.



@ marketing@adviserservices.co.uk

POST-AUTHORISATION

# Development Programme

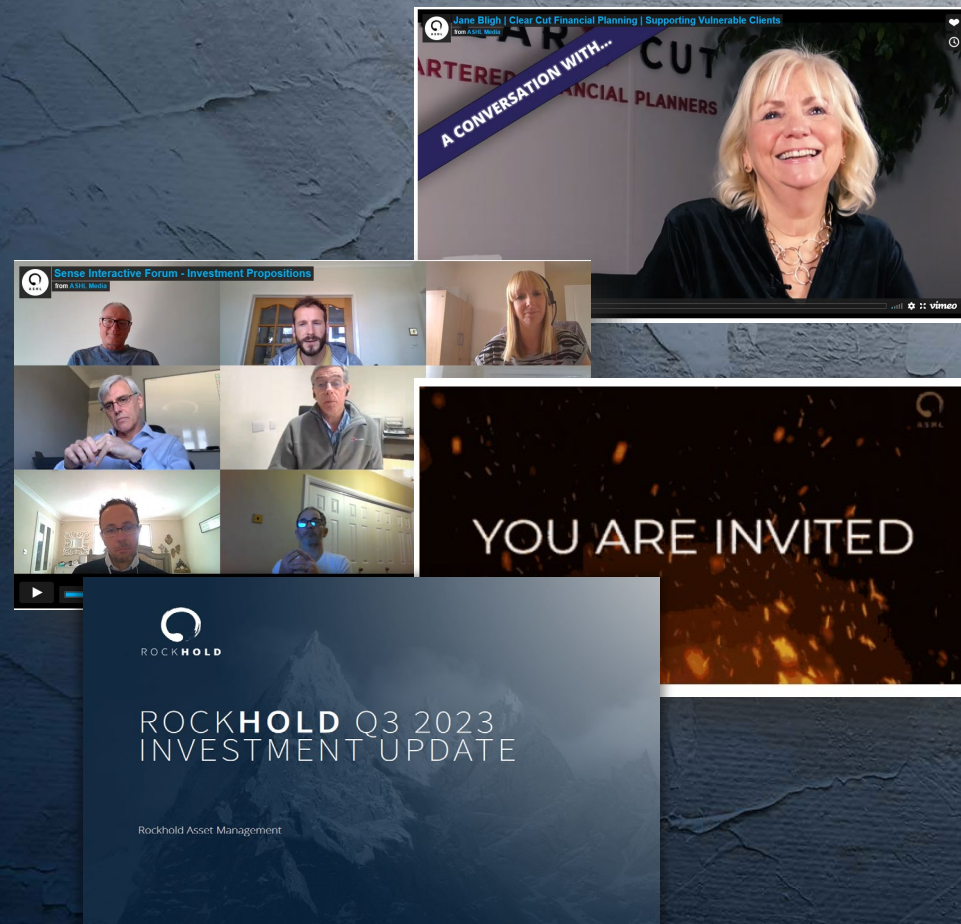
Within our Development Programme we offer a range of CPD activities, these include

- Face-to-face events, live virtual events
- Friday morning webinars
- A dedicated business development CPD programme
- Virtual events are typically held over a week with two live webinars each morning
- Spotlights on our Member firms, showcasing the talent of our community

We cover a range of topics from all areas of financial advice, based on relevant industry subjects and feedback from our membership. This ensures you have access to more than enough high quality CPD material to complete your required number of hours.

**We aim to provide in excess of 100 hours worth of structured CPD annually.**

@ develop@adviserservices.co.uk



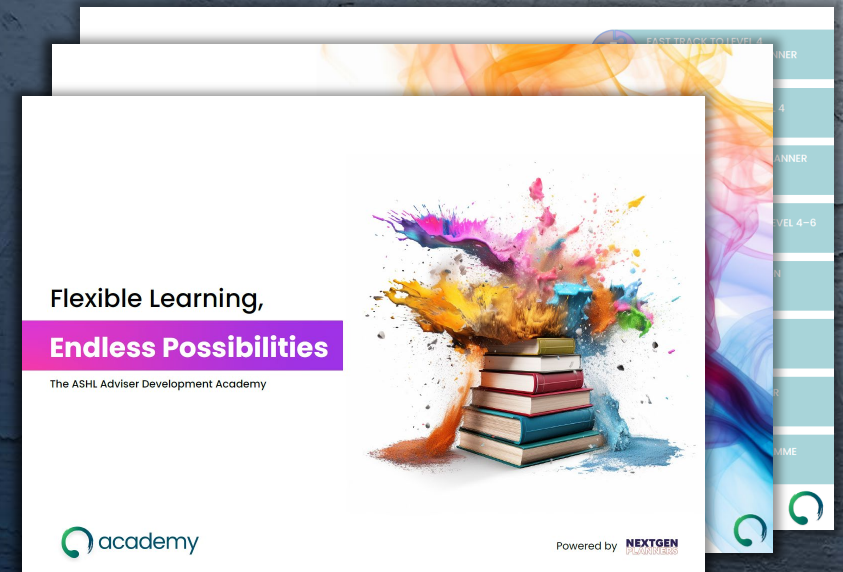
POST-AUTHORISATION

# Adviser Development Academy

At ASHL we understand our part to play in the future of financial advice. It is more apparent than ever that the current population of Financial Advisers is lacking youth, dynamism and diversity.

We have listened to feedback from the membership which suggests that there is a growing need to deliver appropriate **succession planning and exit strategies**, to ensure the long-term security of your firm and your clients' future.

Discover more about the Academy [here](#).



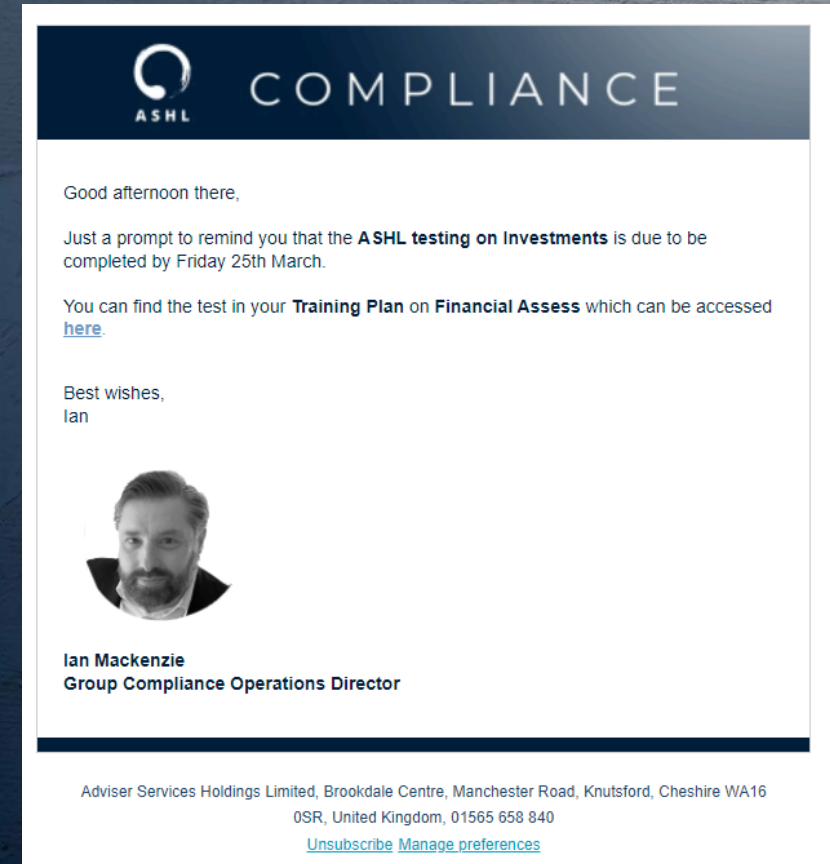
@ develop@adviserservices.co.uk

POST-AUTHORISATION

# CPD & Ongoing Testing

Ensuring that you are keeping up to date with the requirements by the regulator is key for all Financial Advisers.

To support you in this, we will supply you with all of your relevant CPD, utilising Financial Assess to maintain your digital record.




The screenshot shows an email from ASHL Compliance. The header features the ASHL logo and the word 'COMPLIANCE'. The body of the email contains the following text:

Good afternoon there,

Just a prompt to remind you that the **ASHL testing on Investments** is due to be completed by Friday 25th March.

You can find the test in your **Training Plan on Financial Assess** which can be accessed [here](#).

Best wishes,  
Ian



**Ian Mackenzie**  
Group Compliance Operations Director

At the bottom of the email, there is contact information for Adviser Services Holdings Limited, including the address, phone number, and links for [Unsubscribe](#) and [Manage preferences](#).

@ develop@adviserservices.co.uk

POST-AUTHORISATION

# Business Development

Dedicated in-house support focused on driving revenue growth:

- Succession Planning
- Graduate Recruitment
- Practice Buyout
- Sales Skills
- Development

Our network Principals are always eager to share best practice insights with members to help them succeed.

@ [scatton@adviserservices.co.uk](mailto:scatton@adviserservices.co.uk)



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