



THE
PLATFORM
DNA

ADVISER ONBOARDING

Guidance and Checklist

Overview

Advisers can use the platform to view and manage client account details, manage fees, complete the advice process for clients and make applications for ISA, GIA and SIPP accounts in addition to a host of other functionalities.

Prior to engaging, certain steps must be completed in order for advisers to make use of the platform services.

Audience

This document is intended for **Advisers** and **Account Providers**.

Requirements

In order for an adviser to be onboarded, they must be the:

- Appointed Adviser of the client; and
- Sign and complete an IFA Registration Form and TOB with Platform One

If you do not have the above role you will not be able to view some the options/buttons/pages required to follow the steps below. Please contact your Organisation Manager who will enable this role for you. If you do not know who your Organisation Manager is, feel free to contact us at clientservices@platform1online.com.

Steps

1. Adviser sends due diligence documentation to Platform One for review.
2. Adviser reviews and signs IFA Registration Form with Platform One.
3. If Adviser is creating SIPP business then they may need to sign the SIPP operators Terms as well.
4. Internal employee at Platform One creates Adviser organisation on the platform including but not limited to:
 1. Organisation details including FCA Authorisation Number and Company Number
 2. Contact Details
 3. Location Settings
 4. White-labelling Settings
 5. User Roles (only the following should be permitted of all available roles):
 1. Client Manager
 2. Adviser
 3. Organisation Manager
 4. Introducer (Optional)

5. CRM (Optional). [a CRM agreement must be signed with the Adviser organisation].
6. Resources (ability to add Report Templates and ATR/CFL Systems). Choose appropriate.
7. Relationships: add appropriate relationships e.g. if using Tavistock as the DFM, select Tavistock and add 'Include their Accounts & Applications' and 'Include their Investment Products'.
 1. Also add appropriate wrapper e.g. SIPP trustee, ISA Manager etc and select 'Include their Accounts & Applications'. There can be many.
 2. Internal employee adds Adviser employees to the organisation account and sets main Adviser as Organisation Manager and Adviser. Welcome Email is sent to allow Adviser to login for the first time and create a new password.
 3. Adviser has now been fully onboarded and may start adding clients to the platform.
 4. Adviser or other staff may require a demo or walkthrough of the platform to ensure that they fully understand all the functionality. A demo or walkthrough must be offered every time.
 5. A Platform One employee can provide all requested documentation to the Adviser such as KFD, T&C's and Schedule of Charges.

Timeline

Once due diligence is completed and the IFA Registration Form is executed by all parties, you can expect your organisational account and Adviser access to be available within 48 hours.

Contact Us

If you would like to learn more, please get in touch.

Call us on **0330 123 9830**

Lines are open 8.30am to 5pm, Monday to Friday. As part of our commitment to quality service and security, telephone calls may be recorded.

Email us at investing@tavistockplatform.com

We aim to provide an initial response to your query on the same working day.

Address

Peartree Business Centre, Cobham Road, Wimborne, Dorset, BH21 7PT