



*THE*  
**PLATFORM**  
*DNA*

# **CREATING AND SUBMITTING AN APPLICATION**

Guidance and Checklist

## Overview

Advisers and their support staff can create and submit a client application through the platform.

## Audience

This document is intended for Advisers, Support Staff and Client Managers.

## Requirements

To submit the application, you will need the Advisor or Client Manager role. There are mandatory fields throughout the online application process, these will be highlighted on each page and again on the Review & Submit page.

## Steps

1. On the **Clients** page, select **Add a New Client** at the top of the page.
2. Complete the client details as per the on-screen instructions, then save and continue.
3. Go to the **Financial Advise** dropdown menu and select **Applications**.
4. Click **Start a New Application** and select from the wrapper types available.
5. The Client Details section will be pre-populated with the data you entered when adding the client. Progress through the application step by step.
6. Select the Adviser from the dropdown list and any required case officer (administrator). Then set the adviser fees using the default adviser fee or setting the fees for the account individually. The fees can be selected as a % or £ amount
7. Once AML Verification has been completed, tick the boxes on this page and continue.
8. If applicable, input the estimated transfer value. Add the client bank account details. Please note this is not required when creating an application, but must be completed before an application can be submitted.
9. If known, input the Investment Selection.
10. If the client is making a contribution, select **Add a Contribution** and follow on screen instructions. If the client is making multiple contributions to the account, repeat the above steps as needed.
11. If the client is transferring a plan, select **Start a New Transfer** and follow on screen instructions. For multiple transfers, repeat the above steps as needed.
12. Select from the options how you would like to handle income payments. For regular withdrawals, tick the **withdrawals** box and complete the onscreen instructions
13. Follow onscreen instructions to complete illustration.
14. Once the client has read and agreed to the Important Documents, tick the boxes on this page and proceed (can be completed at a later date, after client review, prior to submission online).
15. There are two options for getting client signatures: electronic or manual (scanned in signed copies are all that is required; no originals). Under **Submit Application** choose the electronic signature

option to send the relevant forms to the client via email. Advisers and Case Officers (administrators) will also be notified via email of the sent request and signature completion. For manual signatures, simply click **Download All Documents**. This will provide a ZIP file with any required documentation to be signed by the client, alternatively email the documentation to the client for online signature. Once the documents have been signed and uploaded to the platform, the application can be submitted.

16. The Client and the Adviser, Case Officer (administrator) and any others associated with the account will receive an account opening notification by email once the account has been opened by the platform.

## Timeline

Once the application has been submitted, Platform One will approve the applications and the account will be opened. Transfer documents will need to be sent to the relevant parties to initiate this part of the process.

## 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](mailto:investing@tavistockplatform.com)

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

### Address

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