

Professional
Introducer
Charter 2020



Finding the right financial adviser for your clients

To ensure you can introduce your clients to us with confidence, our Introducer Charter has been designed to protect our mutual clients and assist you in meeting your own compliance requirements.

The Private Office has a long history of working alongside other professionals to deliver the best financial planning service to a broad range of clients, having maintained some of our own professional relationships for more than 20 years.

Our Introducer Charter

Trust is a vital factor in any referral relationship, and you should feel that your best interests, as well as your clients', are in the safest of hands. At The Private Office (TPO), we fully acknowledge that the risks of recommending a financial adviser are significant but so are the potential rewards. We understand how critical client relationships are, and we ensure that our service is delivered to the highest possible standards, whilst doing all we can to enhance your relationship with your client.

We understand that referring a client to another adviser can be a daunting task and is not without risk. You may worry that our professional standards do not match your own or have concerns about how we will take care of your clients and their information.


We have a long history of successful and enduring working relationships with accountants, solicitors and other advisers alike. Bringing together our collective

experiences, the referral process can strengthen and develop existing client relationships.

We will comply with all relevant laws placed upon us in the conduct of our business, and maintain all necessary licences and authorisations, both regulatory and otherwise.

We take the security and privacy of personal data extremely seriously and before embarking on any referral relationship, will undertake an initial due diligence process which we are happy to reciprocate. We have produced a TPO Corporate Standards Packet, to provide comfort and reassurance to Introducers, and to help all parties meet their respective regulatory obligations. This is available on our website under 'About Us', although please ask if you require it in an alternative format.

A referral to us should be viewed as an extension of your own service and not a risk.



“I was initially unsure how much value a financial adviser could have in helping my client in a corporate restructuring case. Having worked with TPO on a number of cases I know the value they can bring with the very broad perspective their advisers have. This really adds a different dimension to the advice I am able to give my clients. The value they add to clients is immense.”

Corporate Lawyer, East Yorkshire

Financial Planning Services we offer:

- Alternative and Esoteric Investments
- Charity Investment Management
- Clinical Negligence / Catastrophic Personal Injury
- Corporate Financial Planning
- Employee Benefits / Automatic Enrolment
- Entrepreneurial Planning
- Expert / Professional Witness Cases
- Investment Portfolio Management
- Legacy and Succession Planning
- Long-term Care Planning
- Media, Music and Entertainment
- Personal Financial Planning
- Structural Financial Planning
- Tax, Estate and Inheritance Tax Planning
- UK & Specialist Pension Planning

Why choose us?

We have been awarded Corporate Chartered Status by the Chartered Insurance Institute.

We are regulated by The Financial Conduct Authority.

We are privately owned and fully independent.

Our team has significant and broad experience which all clients can benefit from.

We work in partnership with clients and their other professional advisers.

We operate fairly and transparently, engaging where we can add value and charging for what we deliver.

We have direct access to unbiased cash management advice through our sister firm, Savings Champion.

Referring clients to us

This section documents the basis of our engagement with you, to ensure that all parties are clear on their responsibilities and obligations under the introducer agreement.

Unless agreed specifically to the contrary, referrals made under our Introducer Agreements will be made for 'advice generally'. Once your client has agreed to the referral, TPO will undertake to accept responsibility for conducting requisite fact finding, and providing suitable advice. The introduced client will therefore become a client of TPO for financial services, and we will maintain appropriate records.

In the event of a complaint by a shared client, we ask that that you co-operate fully in the investigation and resolution. We will also require cooperation in relation to any relevant statutory or regulatory review which may occur. Our arrangement is governed by English law,

and may be terminated by either party and at any time, by notifying the other of the intent to terminate.

We take the security of data extremely seriously and have reviewed and updated our policies, procedures and Privacy Notice to comply with the requirements of the GDPR, and the most recent Data Protection legislation.

Our Privacy Notice can be accessed directly via our website. Should you prefer a hard copy of this document, please don't hesitate to ask.

Contact us now to discuss your next referral.

T: 0333 323 9060

E: enquiries@theprivateoffice.com



Our Compliance Function

Claudia Clay, Risk and Regulatory Director

Claudia sits on our executive board and governs our Risk and Regulatory functions. Her team is responsible for the firm's governance, systems and controls and Claudia's approach to risk management is one driven by client centricity, aligned with pragmatism and logic.

Our Awards



Leeds | London | Bath

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E: enquiries@theprivateoffice.com

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The Private Office and TPO are trading names of The Private Office Limited, authorised and regulated by the Financial Conduct Authority, firm reference number 789482. Registered in England and Wales at 2 The Bourse, Leeds, LS1 5DE, company number 10226899. Our financial services register entry may be checked by visiting <https://register.fca.org.uk/>

SRLV Financial LLP is an appointed representative of The Private Office Limited, which is authorised and regulated by the Financial Conduct Authority.

The Financial Conduct Authority does not regulate cash-flow planning, taxation advice, inheritance tax planning, wills, trusts and some aspects of auto-enrolment.

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