Professional Introducer Charter

Working together with confidence

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 conforms to the Financial Conduct Authority's Guidance to meet 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 many strong 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 there are risks when recommending another professional but we firmly believe that the combination of professional specialists, working together, achieve far better outcomes for the client. 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 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 serve to 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.

A 'TPO Corporate Standards Pack' is available, on request, which provides further details of our FCA regulatory authorisation and our data security standards and procedures, to assist you, should you wish to undertake further due diligence checks on TPO.

"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

Our Services

We offer well-resourced teams for your clients and can advise on a broad spectrum of planning needs ranging from simple requirements to specialised financial planning and investment solutions for clients.

- Alternative and Esoteric Investments
- Charity Investment Management
- Clinical Negligence / Catastrophic Personal Injury
- Corporate & Personal Protection Planning
- Entrepreneurial Planning
- Expert / Professional Witness Cases
- Investment Portfolio Management
- Advisory and/or Discretionary Investment
- Legacy and Succession Planning
- Long-term Care Planning
- Personal Financial Planning
- Structural Financial Planning
- Tax, Estate and Inheritance Tax Planning
- Advice for Investment Companies
- Family Office Services
- 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 with a preference for charging fixed fees.

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 Professional Introducer Charter which forms the basis of our 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 or any legal/regulatory claims being raised against TPO which relate to a client introduced by your firm, TPO will require your full co-operation in the investigation and resolution of these matters (where relevant). TPO may also require your co-operation, where necessary, for any relevant statutory or regulatory review in relation to TPO.

Our arrangement is governed by English law, and may be terminated by either party at any time, by notifying the other of the intent to terminate.

We take the security of data extremely seriously, our policies, procedures and Privacy Notice 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: professionals@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 firms 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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No 2 The Bourse, Leeds LS1 5DE

T: 0333 323 9060
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tpo the private office

Pension TRANSFER Gold Standard

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.

Advice Champion Services Limited and Investment Champion Online Limited are Appointed Representatives of The Private Office Limited.

Our financial services register entry may be checked by visiting https://register.fca.org.uk/

Please note that the Financial Conduct Authority (FCA) does not regulate cash flow planning, estate planning, tax or trust advice.

Chartered Financial Planners

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