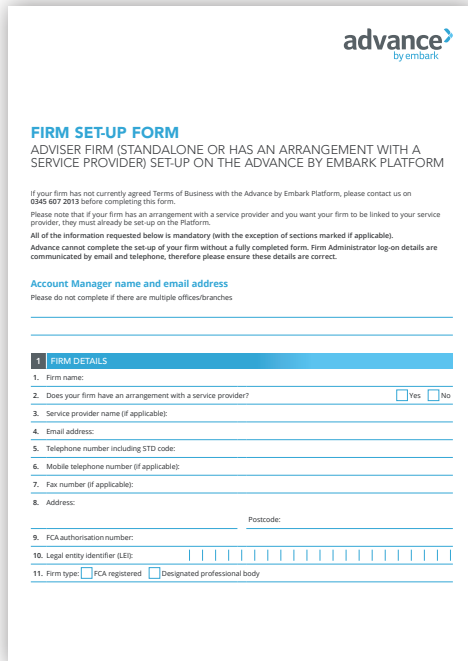


# COMPLETING THE STANDARD SET-UP FORMS

## ADVANCE BY EMBARK PLATFORM



**advance**  
by embark

**FIRM SET-UP FORM**  
ADVISER FIRM (STANDALONE OR HAS AN ARRANGEMENT WITH A SERVICE PROVIDER) SET-UP ON THE ADVANCE BY EMBARK PLATFORM

If your firm has not currently agreed Terms of Business with the Advance by Embark Platform, please contact us on 0345 607 2013 before completing this form.  
Please note that if your firm has an arrangement with a service provider and you want your firm to be linked to your service provider, they must already be set-up on the Platform.  
All of the information requested below is mandatory (with the exception of sections marked if applicable).  
Advance cannot complete the set-up of your firm without a fully completed form. Firm Administrator log-on details are communicated by email and telephone, therefore please ensure these details are correct.

**Account Manager name and email address**  
Please do not complete if there are multiple offices/branches

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**1 FIRM DETAILS**

1. Firm name: \_\_\_\_\_

2. Does your firm have an arrangement with a service provider?  Yes  No

3. Service provider name (if applicable): \_\_\_\_\_

4. Email address: \_\_\_\_\_

5. Telephone number including STD code: \_\_\_\_\_

6. Mobile telephone number (if applicable): \_\_\_\_\_

7. Fax number (if applicable): \_\_\_\_\_

8. Address: \_\_\_\_\_ Postcode: \_\_\_\_\_

9. FCA authorisation number: \_\_\_\_\_

10. Legal entity identifier (LEI): \_\_\_\_\_

11. Firm type:  FCA registered  Designated professional body

To set-up a firm efficiently on the Advance by Embark Platform it is essential that:

- All relevant forms are completed.
- All parts of the form are fully and accurately completed as appropriate.
- Forms are signed by an individual authorised to do so on behalf of the firm.
- Forms are returned to the correct address as shown on the reverse of the form.

Please ensure that the firm has an agency agreement with Advance by Embark in place prior to completing or submitting any firm set-up forms.

Additionally, please ensure that you have identified whether the firm:

- Is a member of a network.
- Has a relationship with a service provider, e.g. Sesame Bankhall.
- Operates trading styles, e.g. trades with alternative company names for different segments of their clients.
- Has more than two additional branches. If so, complete an additional form which provides room for more addresses.
- Uses a back office system and receives EDI commission.

Please refer to the “Firm set-up form – guidance notes” document for details of which form(s) are relevant to the firm.

Please also ensure that the following documents are made available to the firm’s principal prior to signing any forms:

- Origo legal framework.
- Advance by Embark Platform Terms of Use.
- Advance by Embark Platform Terms of Business.

Most of the information requested on the forms is self-explanatory. However, some areas require special attention, consideration or explanation. The following looks at the “Firm Set-up form – Adviser firm (standalone or has an arrangement with a service provider)”. This form is representative and any comments or explanations are common to all forms.



## SECTION 8 ONE-OFF REMUNERATION

### Question 2

#### Maximum amount permitted each year from a Client's Advance Portfolio? (if applicable)

This amount is set at outset. This can be changed but involves manual processes.

Therefore, care should be taken to specify an amount that is reflective of the adviser's actual requirements. All one-off payments to advisers must have the client's written instruction.

Care should also be taken to ensure compliance with FCA rules relating to providers influencing a distributor's remuneration.

**8 ONE-OFF REMUNERATION**

1. Do you want to allow one-off remuneration?  Yes  No  
If yes is selected a maximum amount permitted each year from a Client's Advance Portfolio must be provided.

2. Maximum amount permitted each year from a Client's Advance Portfolio? (if applicable) £ \_\_\_\_\_

If remuneration parameters are required please complete the following section.  
Please note that the 'Default' and 'Maximum' percentage can be requested up to 2 decimal places, but the figure must be in 0.05 or 0.10 increments, for example 1%, 1.05% or 1.10%. The percentage stated should be the yearly amount.

## SECTION 9 REMUNERATION PARAMETERS (IF APPLICABLE)

### Regular initial remuneration

Regular Initial Adviser Remuneration (RIAR) is a new charge that is required to meet the changes introduced by RDR.

RIAR is being provided to allow the cost of initial advice to be spread over a number of payments, where the customer is contributing on a regular basis.

RIAR will only be supported for accounts where a regular payment has been set up by the adviser.

RIAR will be defined as either a total amount to be paid or a fixed amount per collection. It will be collected at a selected frequency for a specified number of collections on the deduction date. This is based on the account activation date for a monthly frequency or on an equivalent date depending on the frequency chosen.


Deductions for RIAR will not begin until both the first regular payment has been collected and the client's authority has been received.


**9 REMUNERATION PARAMETERS (IF APPLICABLE)**

Initial remuneration (single)	Default	Maximum
ISA	%	%
Investment Account	%	%
Retirement Account	%	%
Ongoing remuneration	Default	Maximum
ISA	%	%
Investment Account	%	%
Retirement Account	%	%
Regular initial remuneration	Default	Maximum
ISA	%	%
Investment Account	%	%
Retirement Account	%	%

If you wish to set a lower maximum number of deductions than Advance by Embark permits, please state the maximum number of monthly deductions required. As this will apply proportionately to other deduction frequencies, the number of months selected must be in whole years (i.e. 12, 24 or 36). Please note that the maximum number of deductions permitted by Advance is 48 if deductions are monthly, 16 if deductions are quarterly, 8 if deductions are half yearly and 4 if deductions are yearly.

Maximum number of monthly deductions for regular initial remuneration: \_\_\_\_\_ months

 0345 607 2013

 [portfolioteam@embarkadvance.co.uk](mailto:portfolioteam@embarkadvance.co.uk)

 [embarkadvance.co.uk](http://embarkadvance.co.uk)

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