



Statement of Professional Standing Application Form

For Retail Investment Advisers Only

Please complete, sign and date this form and return it to SPS@financialplanning.org.uk

1. Personal Information

Name:	
Address:	
Email:	
Telephone number:	
IFP membership number:	
Your individual FSA Reference number:	

2. Business Information

Job Title:	
Role:	
Business name:	
Business Address:	
Business telephone number:	
Business FSA Reference number:	



3. Regulated Activities

Please indicate which of the following regulated activities you carry on (see FSA Handbook Training and Competence Appendix 1.1 at <http://fsahandbook.info/FSA/html/handbook/TC/App/1/1>)

Regulated Activity	
Advising on securities (activity 2)	Y/N
Advising on derivatives (activity 3)	Y/N
Advising on packaged products (activity 4)	Y/N
Advising on friendly society tax exempt policies (activity 6)	Y/N
Advising and dealing in securities (activity 12)	Y/N
Advising and dealing in derivatives (activity 13)	Y/N

If in doubt about which activities you undertake, please consult your firm's Training and Competence Officer.

4. Qualifications and gap-fill

Do you have new level 4 qualification(s)* for any of the above activities you carry on?	Y/N
Do you have transitional qualification(s)* and completed gap-fill for any of the above activities you carry on?	Y/N
Have your qualifications and any gap-fill been verified? If Yes, which Accredited Body completed the verification?	Y/N Name of Accredited Body:
Confirm the evidence you are submitting: 1. Verification of your qualifications and gap-fill 2. Your gap-fill record and evidence of your qualifications and gap-filling activities	Y/N Y/N

* See the FSA's list of RDR qualifications at http://www.fsa.gov.uk/smallfirms/your_firm_type/financial/pdf/rdr_qualifications.pdf

5. Declaration

I have selected the Institute of Financial Planning to be my Accredited Body and I hereby apply for my first Statement of Professional Standing (SPS), which will be valid from the date of issue until the last day of my IFP 2011/12 membership year.

I confirm that I am a retail investment adviser and I have met the qualification and, if relevant, gap-fill requirements for the relevant regulated activities indicated in Section 3 above.

I confirm that I have enclosed evidence of my qualification and any gap-fill verification or evidence of my qualifications and any gap-fill as indicated in Section 4 above.



I confirm that I have/have not (delete as appropriate) applied for or been refused a SPS by another Accredited Body (please provide details if you have applied for or been refused a SPS).

I confirm that I have kept my knowledge up to date during the past 12 months.

I confirm I have operated in line with APER (see <http://fsahandbook.info/FSA/html/handbook/APER>) and the IFP Code of Ethics and Practice Standards for the past 12 months and will continue to do so.

I accept the provisions of the IFP disciplinary code.

I confirm that the above information is correct and that I will keep my personal information up to date by informing the IFP in writing of any changes.

Signed: _____

Print name: _____

Date: _____

Terms and Conditions

Your first SPS, if issued, will be valid only from the date of issue until the last day of your 2011/12 membership year. Your first SPS is not a regulatory requirement but is confirmation that you have met in advance the FSA requirements which come into force on 1 January 2013. It will be necessary to renew your SPS at the time of your 2012 membership renewal to ensure that you meet the FSA requirements. Your second SPS will be valid for a period of 12 months and will be renewable annually thereafter.

The IFP may withdraw your first or subsequent SPS if any of the information you have provided as part of your qualification and gap-fill verification or this application proves to be incorrect.

The processing of personal data is governed by the Data Protection Act 1998, under which the IFP is registered as a data controller. Any personal data you provide will be held securely and in accordance with the Data Protection Act 1998. We will use your personal data for the purpose(s) in relation to which you have provided it. We may need to disclose personal data to a third party such as the FSA or your employer where you have asked us to act as your Accredited Body, so that we can fulfil the service you have requested. We may share your information with carefully selected third party sponsors and we may disclose your information if required to do so by a legal or regulatory body. We may additionally need to disclose information where there is a legitimate reason for disclosure (such as a court order) but we will ensure that we always comply with the Data Protection Act.