INSTITUTE OF PUBLIC ACCOUNTANTS®

Financial Services

Referral Checklist

- ☐ Confirm the financial services provider has an AFSL or is an authorised representative
- ☐ Confirm the financial services that your client is seeking
- ☐ Confirm the financial services provider is authorised to provide those services
- ☐ Provide the client with written information about the services that the financial services provider can provide and how to contact the financial services provider
- ☐ Is there an arrangement with the financial services provider under which you, your firm or an associate will receive a benefit? If yes, disclose the benefit to the client in writing
- ☐ Seek the client's consent to provide personal information to the financial services provider if asked (and only provide personal information if consent is given)
- ☐ Request the client to acknowledge receipt of the referral and disclosure of benefits
- ☐ Retail a copy of the written referral, disclosure and consent (if given) on the client's file for future reference.