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.☐

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