Adviser Succession planning service

Vendor - summary

|  |  |  |  |
| --- | --- | --- | --- |
| **Vendor Profile** | | | |
| Contact Details | | | |
| Firm name |  | | |
| Firm Address |  | | |
| Contact name |  | | |
| Contact telephone number |  | | |
| Contact email |  | | |
| Company Details | | | |
| Company structure (LTD/LLP/Sole Trader) |  | | |
| List all shareholders & percentage owned |  | | |
| Number of RIs & qualifications |  | | |
| Number of support staff & roles |  | | |
| Type of business and Permissions |  | | |
| Directly authorised/network |  | | |
| Premises (rented/owned) |  | | |
| Existing Borrowing |  | | |
| Company Financials | | | |
| Financial year | 20\_\_ | 20\_\_ | 20\_\_ |
| Turnover |  |  |  |
| Profit |  |  |  |
| % Split between one off/repeatable |  |  |  |
| Service Proposition/Investment Ethos | | | |
| Total funds under management |  | | |
|  |  | | |
| Platforms used |  | | |
| Total assets with each platform (%) |  | | |
| Discretionary Investment Managers used |  | | |
| Active/Passive |  | | |
| Charging structure |  | | |
| Ongoing service provided |  | | |
| Service segmentation |  | | |
| 3rd Party systems used |  | | |
| DB transfers/Unregulated investments |  | | |
| Client Profile | | | |
| Number of clients/households |  | | |
| Geographical location of clients |  | | |
| Average portfolio/household value |  | | |

|  |  |  |
| --- | --- | --- |
| Age Segmentation (%) | | |
| 0-24 |  | |
| 25-44 |  | |
| 45-64 |  | |
| 65-79 |  | |
| 80+ |  | |
| Split by wrapper (%) | | |
| GIA | |  |
| ISA | |  |
| Pension | |  |
| Bond (On & Offshore) | |  |
| Mortgage | |  |
| Protection | |  |
| Expectations post sale | | |
| Reason for sale | |  |
| Desired handover period | |  |
| Retention of any staff required | |  |
| Share or Asset sale preferred | |  |
| Any preferred requirements on purchaser | |  |

Please include any further detail below that you feel would be helpful to a prospective buyer:

*Suggested text:*

**Re:  Adviser Asset Management Co**

Adviser Asset Management is a regional wealth management firm based in Anytown. We are independent and an accredited Chartered Financial Planning firm. The firm has discretionary investment permissions.

Our assets are split across a number of platforms Transact being the largest, followed by X, Y, and Z.

We currently have contractual recurring income in excess of ££ per annum and by the end of 20XX anticipate having in excess of £ million under management. Our client base consists of professional and retired clientele and we have approximately nnn active clients. The clients are concentrated geographically in the ABC area(s) and approximately n% are in de-accumulation.

The firm currently has X Advisers supported by nn staff. This will be nn by the end of 20YY with planned retirement/recruitment/redundancy. The equity (in holding company) is held by MR/MRS of whom MR/MRS are Directors of the firm. There will be n staff remaining who will be…

We have grown the business organically adding approximately £ million under management each year. This has been driven by introductions from existing clients and professional contacts. We have been in a position for a number of years to streamline our processes whilst looking for the right opportunity to sell/merge.

Our ideal sale/merger would be an advisory firm that has the majority of their assets on the Transact platform, based in the xxxxx area.

We would prefer a nn% upfront payment and would be happy to continue working in a new firm for up to (n) years.

Our accounts to DD MM YYYY are attached/available on request.

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