



ClearView

Financial Consultants

Offices at: 1 Burgh Road, Aylsham, Norfolk NR11 6AJ Tel: 01263 734859
Station Road, Hoveton, Norfolk NR12 8UR Tel: 01603 273590

Email: support@smithifa.co.uk

Web: www.smithifa.co.uk

Company Policy Statement – Client Vulnerability

JULY 2021

This firm recognises the important need to evidence a positive culture in all that we do. This is of particular note with regards to the assessment of potential vulnerability for each of our clients.

Our policy is to “Treat all of our clients in the very same way that we would like to be treated ourselves.”

All staff members will therefore carry out the following:

1. All new clients to this firm will complete with their adviser an “Assessment of Vulnerability” questionnaire.
2. All existing clients when meeting for reviews will also complete the same questionnaire
3. In every instance that a client feels that they would benefit from the input of a 3rd party, we will support that request.
4. In any case where we believe that it would be in our firm’s interest to protect itself from the risk of potential future claims, we will involve Martin Smith (Principal Director of MSIFA Ltd) before progressing discussions.
5. Where a client has nobody to call upon as a 3rd party support, we will seek the input of an independent source to assist them. This could be, for example, a solicitor or a volunteer from Age UK.
6. Under no circumstances will any business be transacted where we feel the client has not been afforded the care and support that their personal circumstances warrant.
7. This policy document will be reviewed annually.