SLFS V0.1 · SECTION F · FOR INTRODUCERS

INTRODUCER REFERRAL NOTE

The introducer's own file must show why they referred the client, even though the full advice sits with the broker. Keep a copy on your own file.

Introducer and firm

Client reference (not the client's name)

Date of referral

1. The client's need as the introducer understood it, in a sentence or two

2. Why specialist secured lending was a reasonable route to explore, rather than other help

3. Which firm the client was referred to, and why that firm

4. Any payment the introducer receives, and confirmation it was disclosed to the client

Disclosed to the client: ☐ Yes ☐ No

5. Confirmation the introducer did not advise on the loan itself

I did not advise on the loan itself: ☐ Yes ☐ No

6. Where debt consolidation was involved: whether the introducer saw signs of financial difficulty, and whether free debt advice was mentioned

Free debt advice mentioned: ☐ Yes ☐ No

The introducer's note is short. It is not a suitability report. It is the record that protects the introducer if the referral is ever questioned.