ADVISER FACING DOCUMENT

ESG ACCORD

INVESTMENT PREFERENCES & OBJECTIVES: Advice Journey

The ESG Accord full spectrum of capital Investment Preferences & Objectives compliance framework process is for **all clients and all funds**. The simple user friendly framework slots into your firm's existing processes to enable suitable outcomes (COBS, PROD & Consumer Duty) across the full spectrum of capital. Crucially, most clients will not need to complete ESG or Sustainable preference questionnaires; the process allows the client to make an informed choice about their investment pathway and the client can choose to leave the fund's investment strategy, themes & goals to the discretion of Fund Manager.

The journey starts here:

Client completes your firm's existing Fact-Find, Attitude to Risk & Capacity for Loss and other relevant advice process documents

The client reads the INFORMED CHOICE document for Suitable Outcomes and signs to confirm they are ready to make an informed choice for their investment preferences and objectives across the spectrum of capital

The client goes through the Investment Preferences & Objectives Triage PROCESS document. This document is a record of investment preferences and objectives. Your client may wish to complete a Preference Questionnaire if they want to apply certain values or indicate a particular focus

The adviser brings together the information from the Fact-Find, Attitude to Risk & Capacity for Loss and Investment Preference & Objectives documents

Due diligence for product / fund selection:

The ESG Accord Due Diligence Questionnaire has been designed for use with fund groups. The DDQ, when completed, corresponds with the outcomes from the client facing Investment Preferences & Objectives process enabling the adviser to produce a suitable client outcome

If MPS or Tax Efficient Vehicles meet the client's needs, ESG Accord has already asked many providers to complete a detailed DDQ. Advisers can access the MPS and TEV databases for free, please visit https://esgaccord.co.uk/registration-page/

And… MultiAsset Database ETA Q2 2023!

If you have any questions about the ESG Accord full spectrum of capital Investment Preferences & Objectives compliance framework process please contact:

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