

Executive Summary

<p><i>E-Valuation services</i></p>	<ul style="list-style-type: none"> Advisers are agreed that <u>Contract Enquiry is a Business critical tool</u> and consideration will be given to expanding this to B2C next year, especially in view of growing pots of 'orphan clients'. Post RDR the quality of Contract Enquiry services may affect Adviser choice of providers i.e. those that do CE well being selected above those that do it badly or not at all. One adviser firms is actively reviewing who its strategic business partners will be in 2010 and Contract Enquiry capabilities are a key selection criteria. 	<p><i>Slides 10-11</i></p>
<p><i>Fund codes and good practices</i></p>	<ul style="list-style-type: none"> Advisers stated they fully supported the call from their Client Management Systems to address the issue of fund codes. To start the process off F&TRC will be developing a problem definition document in conjunction with two adviser firms, a conference has been scheduled with Positive Solutions and Clairville York on 15th December. 	<p><i>Slides 12</i></p>
<p><i>Transaction history good practices</i></p>	<ul style="list-style-type: none"> One firm commented that following the closure of their platform this issue was affecting them now. Comment was made that there needed to be greater emphasis on encouraging firms to adopt the good practice guides produced via Forum so moving forward advisers will ask F&TRC to benchmark Providers and Platforms in this area. To take this forward F&TRC have agreed to approach all Platforms after six months to document the extent to which they have adopted the guidance (due out in Jan 2010). 	<p><i>Slides 13-14</i></p>

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<p><i>Interoperability of model portfolios</i></p>	<ul style="list-style-type: none"> • This subject was deferred for further discussion in a smaller group including, Bluefin, 2 Plan and Clairville York. • Agreed this would be raised again at the February Investment Forum once issues have been clearly defined. 	<p><i>Slides 15</i></p>
<p><i>Projection Rates short term working group</i></p>	<ul style="list-style-type: none"> • Short term working group has now been established. • Firms engaged in this activity are: Clairville York, Cofunds, MetLife, LV=, Royal London Group, Scottish Widows, Sesame. FSA also engaged. • A “Stakeholder pack” has been issued to all Forum members and firms who are interested in engaging in this project are asked to contact poppy.morgan@ftrc.co.uk • Project commences 15/01/10 and working group expects to deliver recommendations by March 2010. 	<p><i>Slides 16-17</i></p>
<p><i>Platform to platform re-registration</i></p>	<ul style="list-style-type: none"> • A number of adviser firms have stated that platforms not offering electronic platform to platform re-registration services will not be considered as strategic business partners. • The meeting recognised that the regulatory requirements do exist that would support IFA’s in taking this stance e.g. TCF principle 6 “Consumers do not face unreasonable post-sale barriers imposed by firms to change product, switch provider, submit a claim or make a complaint.” 	<p><i>Slides 18</i></p>