Firm set-up forms – guidance notes

The service provider, network or Adviser firm (as applicable) must have an agency agreement with ZIG before set-up can be completed.

Adviser firm

Does the firm have an arrangement with a service provider or is it an appointed representative of a network?

YES

Service provider

Complete the ‘Firm Set-up Form Adviser firm (standalone or has an arrangement with a service provider) set-up on the Zurich Intermediary Platform’ form

NOTE: If you want your firm to be linked to your service provider they must already be set-up on the Platform.

Does the firm have more than 2 offices/branches?

YES

Complete the ‘Addendum for Adviser firm offices/branches to be set-up on the Zurich Intermediary Platform’ form

Return completed forms

NO

Appointed representative

Complete the ‘Service provider set-up on the Zurich Intermediary Platform’ form

Return completed forms

Does the firm have more than 2 offices/branches?

YES

Complete the ‘Adviser Firm (appointed representative of a network) set-up on the Zurich Intermediary Platform’ form

Return completed forms

NO

Complete the ‘Firm Set-up Form Adviser firm (appointed representative of a network) set-up on the Zurich Intermediary Platform’ form unless the firm is an appointed representative of Openwork when the ‘Appointed representative of Openwork set-up on the Zurich Intermediary Platform’ form should be completed

NOTE: Firm set-up cannot be completed unless the network has already been set-up

Does the firm have more than 2 offices/branches?

YES

Complete the ‘Addendum for Adviser firm offices/branches to be set-up on the Zurich Intermediary Platform’ form

Return completed forms

NO

Return completed form

Service provider or network

Does the firm have an arrangement with a service provider or is it an appointed representative of a network?

YES

Service provider

Complete the ‘Service provider set-up on the Zurich Intermediary Platform’ form

Return completed forms

Appointed representative

Complete the ‘Appointed representative network set-up on the Zurich Intermediary Platform’ form

Return completed forms

Does the firm have more than 2 offices/branches?

YES

Complete the ‘Firm Set-up Form Adviser firm trading style set-up on the Zurich Intermediary Platform’ form for each trading style. If there are more than 2 offices or branches also complete the ‘Addendum for Adviser firm offices/branches to be set-up on the Zurich Intermediary Platform’ form and return completed form(s)

OR

the ‘Adviser Firm (appointed representative of a network) set-up on the Zurich Intermediary Platform’ form should be completed

NOTE: If the Adviser firm has trading styles please refer to the Trading styles section

Trading styles

If a firm has trading styles then the ‘Firm Set-up Form Adviser firm (standalone or has an arrangement with a service provider) set-up on the Zurich Intermediary Platform’ form