



Adviser Transfer Status Report User Guide

A real-time overview of the progress of in-bound transfers and re-registrations



All you need to know about your clients' inbound applications

Our transfer and re-registration process is designed to be as simple and efficient as possible. Where electronic communication is supported by all counterparties, they can take a matter of minutes or days. However, where information is missing – or a counterparty is not electronically enabled – delays can occur. Having access to real-time information on the progress of a transfer or re-registration is therefore vital when, for example, managing client expectations.

Our Adviser Transfer Status Report, downloadable from our Reporting Services facility, allows you to keep fully on top of where any application is in the process and lets you know the reason for any hold ups, rejections, or cancellations. It provides, for example:

- **Progress updates** – information updated daily on the movement of all accounts.
- **Comprehensive data** – the level of detail provided within the report allows you to investigate individual cases and view which milestones have been reached.
- **Next steps** – identifies any actions required by either Fidelity, the other provider, or you or your firm.
- **Dynamic timelines** – the report displays indicative turnaround times for 90% of comparable transfers from the ceding provider to Fidelity.

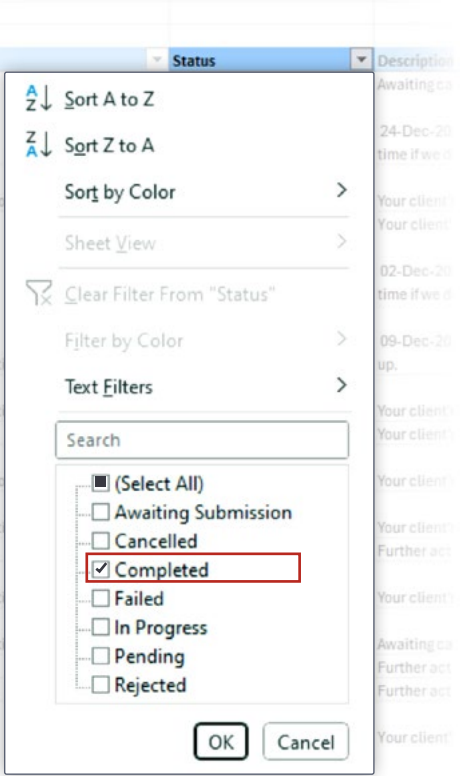
The report can be set to run automatically on a daily, weekly, monthly, quarterly, or annual basis. Ad-hoc requests can also be made. The following pages will show you how to filter the report to see the status of individual applications, and then provides a more detailed explanation of the information shown within the report.

Tracking the status of an application

This section shows you how to use the report to see the status of individual transfer applications, including how to filter and interpret submitted cases with varying statuses, cancelled cases with specific cancellation reasons, and cases that are awaiting submission or pending further information such as a letter of authority (LOA).

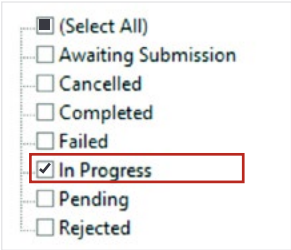
Completed Cases

Filter the Status column to 'Completed' to view all transfers finalised within the last six months. Use the Transfer Completed Date column to refine the timeframe.

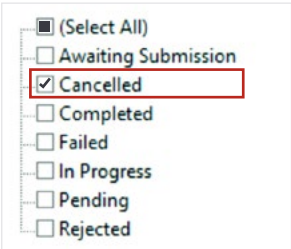


In Progress

Filtering by 'In Progress' shows all active cases, including the latest action date and a description of the current status. After filtering to In Progress cases, it will allow you to see a description of the status of the case and when the last action date was.



Status	Description	Next Steps Action	Last Action Date
In Progress	Awaiting cash transfer from the other provider. 24-Dec-2025 : Waiting for more information. Your client's transfer to Fidelity - We're chasing their provider for information required to progress the case. We'll chase in five business days' time if we don't hear from them.	Ceding Provider	09/12/2025
In Progress	Awaiting cash transfer from the other provider.	Ceding Provider	16/01/2026
In Progress	Awaiting cash transfer from the other provider.	Ceding Provider	29/08/2025
In Progress	Cash has been transferred from the other provider.	Fidelity	10/03/2025



Cancelled Cases

Filtering by 'Cancelled' reveals all cases that did not proceed. The Cancellation Reasons column provides an explanation for each cancellation.

Cancellation Reasons
The cancellation has been initiated, and we're looking into it to determine what the next steps should be
We are unable to proceed with the application as we have been informed the account has already been transferred out of the scheme.
As we've not received any recent correspondence from you regarding your client's pension transfer to us, we assume that you no longer wish to go ahead at this time, so we're closing this application.
We're cancelling this transfer request because we're unable to proceed using your client's existing instruction reference. However, we have progressed the transfer using a new instruction reference and we'll be in touch when we have any transfer updates.

Awaiting Submission and Pending

Cases under these statuses typically require further information – most often a Letter of Authority (LOA) – before submission to the ceding provider.

☒ (Select All)
☒ Awaiting Submission
☐ Cancelled
☐ Completed
☐ Failed
☐ In Progress
☒ Pending
☐ Rejected

Status	Description	Next Steps
Pending	The client's application has been received, and the LOA document is being awaited.	Adviser
Pending	The client's application has been received, and the LOA document is being awaited.	Adviser

Rejected and Failed Cases

These statuses indicate issues preventing progression. The Description column shows the initial reason, while the Rejection Reason column offers detailed clarification.

☒ (Select All)
☐ Awaiting Submission
☐ Cancelled
☐ Completed
☒ Failed
☐ In Progress
☐ Pending
☒ Rejected

Description	Next Steps	Rejection Date	Rejection Reasons
Further action or information is required from the Fidelity regarding the rejection request.	Fidelity	25/06/2025	The rejection has been initiated by another provider, and we're looking into it to determine what the next steps should be
Further action or information is required from the Fidelity regarding the rejection request.	Fidelity	17/07/2025	The account number you provided seems incorrect or doesn't follow the expected format
Further action or information is required from the Fidelity regarding the rejection request.			
04-Aug-2025 : We need additional information from you so we can continue with your client's transfer to Fidelity. One of our advisers will be in touch with the details.			
07-Aug-2025 : We've sent the additional information requested by the provider so they can continue with the transfer. We'll follow up with them in five business days' time to make sure they've received it and check on their progress.	Fidelity	17/08/2025	The rejection has been initiated by another provider, and we're looking into it to determine what the next steps should be

Adviser Action Required

The Next Steps column identifies responsibility for progressing each case. Where the adviser is responsible, the description outlines required actions such as providing an LOA or contacting the ceding provider.

Sort A to Z

Sort Z to A

Sort by Color

Sheet View

Clear Filter From "Status"

Filter by Color

Text Filters

Search

☒ (Select All)
☒ Adviser
☒ Ceding Provider
☒ Fidelity
☒ (Blanks)

OK

Cancel

Description	Next Steps	Rejection Date	Rejection Reasons
The client's application has been received, and the LOA document is being awaited.	Adviser		
The client's application has been received, and the LOA document is being awaited.	Adviser		
The client's application has been received, and the LOA document is being awaited.	Adviser		
Further action or information is required from client/adviser regarding the rejection request.	Adviser	12/12/2025	They need other forms/information from your client. Please contact them directly to find out more.
Further action or information is required from client/adviser regarding the rejection request.	Adviser	19/12/2025	They can't find your client on their system.

The information shown within the report

Within the report, which is delivered as an Excel file, there are two tabs:

1 'Accounts' tab

This displays client and firm information along with specific details in relation to the transfer or re-registration.

Title	Adviser Transfer Status Report								
Start Date	16/01/2026								
End Date	16/01/2026								
Title	Client First Name	Surname	Account Number	Post Code	NINO	Transfer Type	Transfer Mode	Transfer Reference	Product Type
Mr	XYZ	XXX	AP66666666	AA5 6787	AB111111A	Cash Transfer In	Origo	12345678	Pension Saving Account
Mr	ABC	QWER	AP77777777	AA5 6787	XY111111A	Cash Transfer In	Origo	98765432	Pension Saving Account

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AccountsAssets

Client information shown

- Title
- First name
- Surname
- Account Number
- Post Code
- NINO

Firm information shown

- Sub Adviser UAN
- Sub Adviser Name
- Head Adviser UAN
- Head Adviser Name

Transfer and re-registration information shown

- Transfer type (transfer or re-registration)
- Transfer mode (electronic or paper-based)
- Transfer reference (Instruction Reference Number)
- Product type (ISA, Investment Account, Pension)
- Ceding scheme
- Ceding scheme's account number
- Transfer initiated date
- Transfer expected amount (for cash transfers, the estimated value of the assets expected from the ceding provider)
- Days since initiation
- Dynamic timeline (indicative turnaround times for 90% of comparable transfers from the ceding provider to Fidelity)
- Status (such as Competed, In Progress, Rejected, etc.)
- Status description (a detailed explanation of the current stage of the transfer process, including the chasing history)
- Next steps action owner (who is responsible for completing the next action in the transfer process, e.g., Fidelity, the ceding scheme, or the adviser)
- Rejection date (if applicable)
- Rejection reasons (the specific explanation for why a transfer request has been rejected)
- Cancellation date (if applicable)
- Cancellation reasons (the specific reason why a transfer request has been cancelled)
- Last action date (the most recent date on which any activity or update was recorded)
- Valuation response received date (when Fidelity received the valuation details from the ceding provider)
- Approval request accepted date (when the ceding provider accepted the transfer request initiated by Fidelity)
- Transfer completed date (if applicable)
- Date last updated (when any update or change was made to the transfer record)



2 Assets tab

This displays client and firm information along with specific details in relation to the assets being transferred or re-registered.

Title	Adviser Transfer Status Report										
Start Date	16/01/2026										
End Date	16/01/2026										
Title	Client First Name	Surname	Account Number	Post Code	NINO	Sub Adviser UAN	Sub Adviser Name	Head Adviser UAN	Head Adviser Name	Transfer Reference	Asset Name
Mr	XYZ	XXX	AP66666666	AA5 6787	AB111111A	111111	PQR	111112	AGTY	111111111	ABC Asset

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AccountsAssets

Client information shown

- Title
- First name
- Surname
- Account Number
- Post Code
- NINO

Firm information shown

- Sub Adviser UAN
- Sub Adviser Name
- Head Adviser UAN
- Head Adviser Name

Asset information shown

- Transfer reference (Instruction Reference Number)
- Asset name (names of the target assets that the client is holding at Fidelity)
- Asset type (type of assets the client will hold once the transfer is complete, e.g., fund or cash)
- ISIN (ISIN values for target assets that the client is holding at Fidelity after dealing)
- Units (total target units for the asset)
- Value (for cash transfers, the total value of the target asset)
- Transfer type (transfer or re-registration)
- Asset reference (unique identifier of the asset on the Swift platform)
- Asset held at OPM (asset name, ISIN, value or units that the ceding provider passed to Fidelity as part of the valuation request)
- Pre-conversion asset name, ISIN, and units (when there is a pre-conversion request from Fidelity)
- Post-conversion asset name, ISIN, and units (when there is a post-conversion request by Fidelity before dealing)
- Status (Completed, Rejected, etc.)
- Description (detailed explanation of the current stage of the assets shown in the report)

How to request a report

The Adviser Transfer Status Report is available from within Reporting Services, a facility within Client Management that gives you access to around 30 securely-held reports containing business or client information.

To access the report, simply:

- 1 Log into Client Management
- 2 Select 'Firm' from the left-hand menu then 'Reporting Services' from the list that appears
- 3 Select the 'Request a report' option

The screenshot shows the 'Firm' menu on the left with options: Recent, Manage Users, Reporting Services (highlighted), Adviser Firm Documents, Upload & Send Documents, and Secure Messaging. The main area is titled 'Reporting Services' and contains a description of the service, a link to a user guide, and a section for 'Active Reports' with a 'Request a report' button.

- 4 Select 'Firm management reports' and choose a frequency from the 'Adviser Transfer Status Report' row

The screenshot shows the 'Firm management reports' selection screen. It includes a table with report names and frequency options (Daily, Weekly, Monthly, Quarterly, Annually). The 'Adviser Transfer Status Report' row is highlighted.

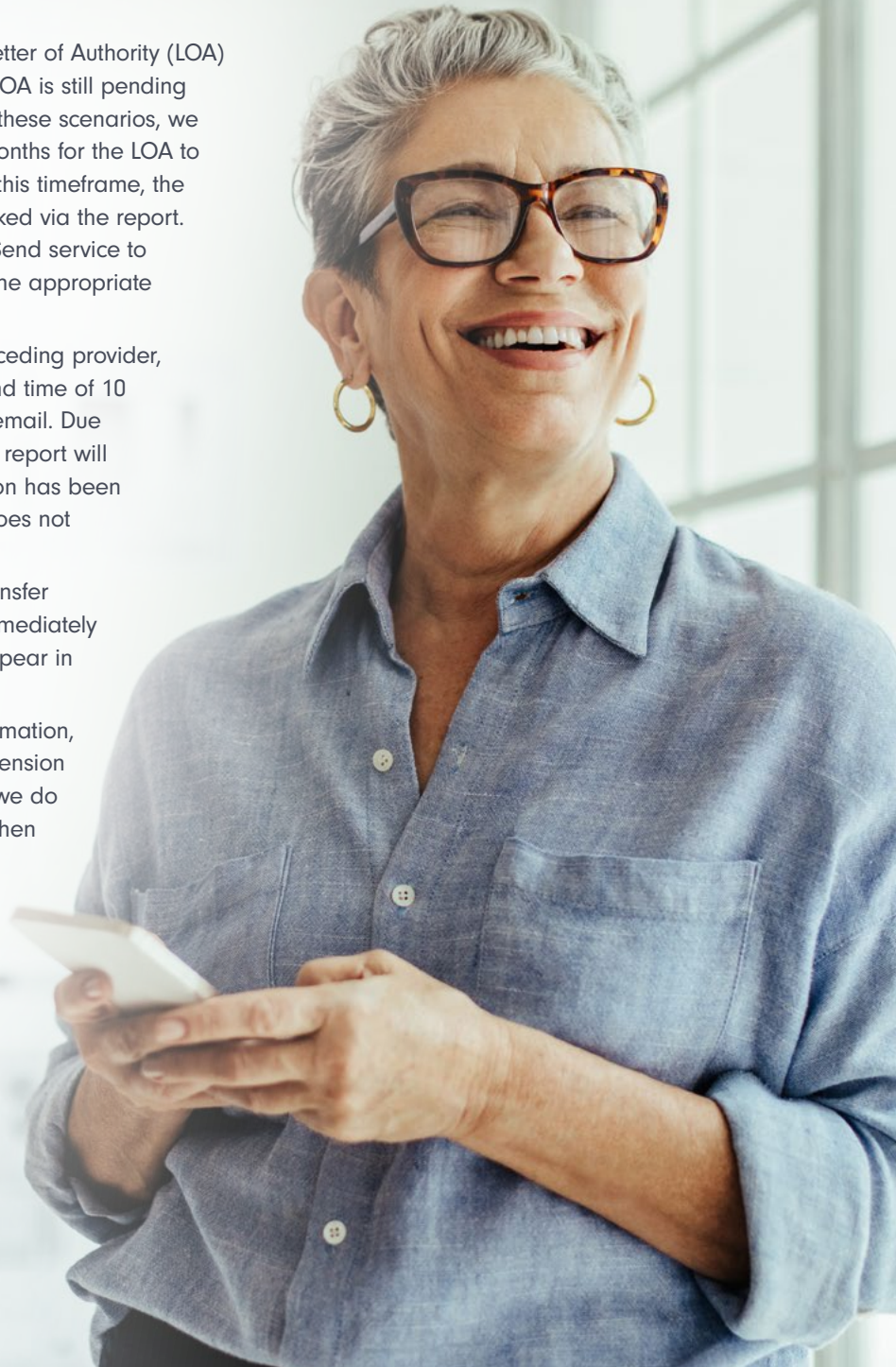
Report name	Daily	Weekly	Monthly	Quarterly	Annually
Account Information	<input type="radio"/>	<input type="radio"/>			
Adviser Fee Payments			<input type="radio"/>		
Adviser List	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Adviser Ongoing Fee Client Rates	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	
Adviser Transfer Status Report	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assets Under Management	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	

- 5 To run an ad-hoc report, select 'Ad hoc reports'

The screenshot shows the 'Ad hoc reports' selection screen, which includes a search bar and a list of reports.

Important considerations

- If you are shown as the 'action owner' for a Letter of Authority (LOA) outstanding case, this typically means that a LOA is still pending or has not yet been received or approved. In these scenarios, we will keep the case active and allow up to 3 months for the LOA to be provided. If the LOA is not received within this timeframe, the case will be cancelled. The status can be tracked via the report. As a reminder you can use our Upload and Send service to ensure any LOA is sent to us and directed to the appropriate department for completion.
- If an email has been sent to us by you or the ceding provider, please note that there is a standard turnaround time of 10 working days for us to review and action the email. Due to this processing timeframe, the status on the report will only be updated after the corresponding action has been completed on the email. This is normal and does not indicate an issue with your case.
- When a request is submitted for a pension transfer involving drawdown, these will not appear immediately on the report. Please note these cases will appear in the system within 7 business days.
- If we have contacted you for outstanding information, the case will remain active for 21 days for a Pension and 14 days for ISA or Investment Account. If we do not receive a response within this timeframe, then the case may be cancelled.
- You can track the individual assets (for re-registration applications) via the 'Asset' tab in the report, including assets held at the OPM, pre-conversion assets, and post-conversion assets.



For more information on our full range of reports, please visit fidelityadvisersolutions.co.uk

