



Balance:
Wealth Planning

Background report – Caroline Keegan

Chartered Financial Planner





Website profile

This is an extract from Caroline's website profile here:

<https://balancewealth.uk/about-us/our-team/caroline-keegan/>

Caroline Keegan
Financial Planner





My role

I am both a Financial Planner and Life Planner. That means I encourage people to discover what is really important to them and to visualise what they would like their future to look like and then work out how to fit their money around that. Sometimes, this will mean inspiration to think 'outside the box' and leave detail and old patterns of 'doing' behind. Helping you find what serves you best by acting as a sounding board.

My clients include individuals and families from a wide spectrum, who have sought advice because they are going through a transitional time in their life. Perhaps reaching a milestone makes them think about retirement, or other changes such as divorce or redundancy or even receiving an inheritance, which has made them stop and think about what they would like their future to look like.

Background

I've worked in Financial Services for over 30 years in different roles for organisations including private banking, regional financial advice firms and national wealth managers.

What's important to me

I am lucky to live and work in a beautiful part of the world and have always loved living 'out in the sticks' and being outside with my menagerie, bees, Shetland geese and ducks, chickens, cat – Champs who is wild and Monty, my Border Terrier who rules the whole household.

I love walking and spending quality time with my partner John and Monty, family and friends, riding horses, cooking, gardening, yoga and Pilates.


Qualifications


I hold Chartered Financial Planner and Certified Financial Planner status. Only around 5% of all financial planners have this combination of qualifications.


I also hold the (STEP) Certificate for Financial Services (Trusts and Estate Planning) and accumulated so many qualifications in different financial subjects that I am a Fellow of the Chartered Insurance Institute and Professional Finance Society. And I am a Chartered Fellow of the Chartered Institute for Securities & Investments (CISI).


I am also a Financial Life Planner, having trained at the globally recognised Kinder Institute of Life Planning.

Contact Caroline

 0115 7722126

 07762 048211

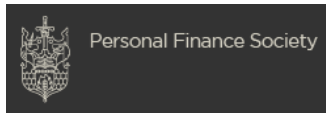
 caroline@balancewealth.uk

 The Point, Loughborough Road, West Bridgford, Nottingham, NG2 7QW

Professional Body Membership

Caroline is a member of the Personal Finance Society which is part of the Chartered Insurance Institute. You can view the registration here:

<https://www.thepfs.org/membership/member-search>




A Chartered Financial Planner must have an Advanced Diploma in Financial Planning, at least five years' experience and maintain a programme of ongoing learning.

Ms Caroline Ann Keegan | Chartered Financial Planner

Country: United Kingdom

Area: Leeds

Designation: FPFS



FPFS means Caroline is a Fellow of the Chartered Insurance Institute, she has the Diploma in Financial Planning and is a paying member of the professional body. This is equivalent to a degree and takes several years to achieve.

Statement of Professional Standing



Chartered
Insurance
Institute
Standards. Professionalism. Trust.

Every financial planner must have a Statement of Professional Standing from a professional body in order to practice. This Statement of Professional Standing has been issued by the Chartered Insurance Institute.

Statement of Professional Standing

Ms Caroline Keegan

The Chartered Insurance Institute (CII) has issued this statement to the above named adviser. The CII has checked that the adviser meets the required qualification standard and confirms the adviser has signed an annual declaration stating that they have kept their knowledge up to date and complied with the Statements of Principle and Code of Practice for Approved Persons (APER).

Date of issue: **1 September 2020**

Valid until: **31 August 2021**

These statements are checked and renewed annually.

Sian Fisher BA (Hons), ACII
Chartered Insurance Practitioner
CEO, Chartered Insurance Institute

The Chartered Insurance Institute (CII) is the premier professional body for the insurance and financial planning sector with over 120,000 members in more than 150 countries. It promotes higher standards of integrity, technical competence and business capability. The person named above is a member of the CII and is bound by a Code of Ethics as a condition of membership. For more information, visit clicc.co.uk/memberssearch

CII Permanent Identity Number **001104983C**

Caroline Keegan - FCA authorisation



The Financial Services Register

You can look this page up here:

<https://register.fca.org.uk/s/individual?id=003b000000LW0cgAAD>

Ms Caroline Ann Keegan

Reference number: CAK00003

Certified / assessed by firm

This individual has been certified and/or assessed by an authorised firm that is regulated for certain activities. This firm accepts responsibility for the certified/assessed individual and the information on this record. The FCA does not directly approve these individuals.

No FCA or PRA disciplinary or regulatory action.

Contents

Current roles & activities

History

Memberships

Current roles and activities

Show table of all current roles

This is not a full employment history, as it only covers roles with activities regulated by the FCA and/or PRA.

Caroline Ann Keegan is connected to:

Balance: Wealth Planning Limited

The FCA updates any disciplinary or regulatory information immediately, and requires that firms will update all other changes to a certified/assessed individual's record within 7 days.

Functions requiring qualifications including giving advice about investments, pensions and insurances.

[FCA CF] Functions requiring qualifications

From 18 Jan 2021

About this role ⓘ

This individual has been certified and/or assessed by an authorised firm that is regulated for certain activities. This firm accepts responsibility for the certified/assessed individual and the information on this record.

[FCA CF] Client dealing

From 18 Jan 2021

About this role ⓘ

Additionally, this individual performs 3 activities that require qualifications.

Show activities

Activities held at Balance: Wealth Planning Limited

[CLOSE](#)[Print Page](#)

This individual performs 3 activities that require qualifications

These are activities at a firm with which this individual is involved that require an appropriate qualification. These are not the only activities with which they are involved. For more details refer to the firm connected to the activity.

Why do some activities require qualifications?

Certified / assessed individuals require qualifications for activities related to regulated business when they work directly with customers. The FCA shows these activities so you can ask about their qualifications before deciding to work with an individual at a firm.

Investment activities

4. Giving personal recommendations on retail investment products which are not broker funds

Insurance activities

6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met)

Pension activities

11. Pension transfer specialist

Contents


[Current roles & activities](#)[History](#)[Memberships](#)

Balance: Wealth Planning Limited


This firm trades under 1 name


Reference number: 629329


Head Office contact details

 The Point Loughborough Road West Bridgford
Nottingham Nottinghamshire


NG2 7QW
UNITED KINGDOM


 441157722126


 team@balancewealth.uk


 <http://www.balancewealth.uk/>

Available for consultation:

 in person

 Nottingham

 by phone

 virtual consultation or via email

It's important to check the firm's record to see its status, any restrictions, and what regulated activities they are permitted to do.

We do not keep individual contact details on the Register. To get in touch with this individual, you should contact their firm.

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[Current roles & activities](#)[History](#)[Memberships](#)

The register shows all other roles that have been held by the same person. This helps you see the other places they have worked, and how long they have been there.

This shows the last known employer, the start date of having this particular role in that business and the end date. These dates do not mean they started and left the business, but that the roles started and stopped then. All CF30 Customer roles (financial planners) ended on 8th December 2019 and were replaced with new roles.

History

[Show table of all previous roles](#)

This is not a full employment history, as it only covers roles with activities regulated by the FCA and/or PRA.

Caroline Ann Keegan was connected to:

[**SERENITY FINANCIAL PLANNING LTD \(Approved roles\)**](#)[**SERENITY FINANCIAL PLANNING LTD \(Certified/assessed roles\)**](#)[**Yorkshire Investment Consultants Limited**](#)

Previous roles for Caroline Ann Keegan

[CLOSE X](#)[Print Page](#)

FRN	Firm Name	Involvement Type	Effective From	Effective To
452299	SERENITY FINANCIAL PLANNING LTD	[FCA CF] Functions requiring qualifications	09 Dec 2019	15 Jan 2021
452299	SERENITY FINANCIAL PLANNING LTD	[FCA CF] Client dealing	09 Dec 2019	15 Jan 2021
452299	SERENITY FINANCIAL PLANNING LTD	CF30 Customer	17 Aug 2012	08 Dec 2019
116203	Yorkshire Investment Consultants Limited	CF30 Customer	01 Nov 2007	16 Aug 2012
116203	Yorkshire Investment Consultants Limited	CF21 Investment Adviser	01 Dec 2001	31 Oct 2007

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[Current roles & activities](#)[History](#)[Memberships](#)

Memberships

Individuals who are certified / assessed to perform activities that require qualifications are members of professional bodies who oversee these qualifications. You can find out more through the bodies listed.

Caroline Ann Keegan is a member of:

[**The Chartered Institute for Securities and Investment \(CISI\)**](#)[**The Chartered Insurance Institute \(CII\)**](#)

Client testimonials



Awards and accolades



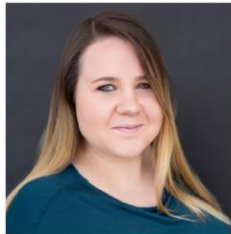
Awarded by the Chartered Insurance Institute

Pension
TRANSFER
Gold Standard

This standard recognises pension transfer advice expertise



2019 & 2020 New Model Adviser Top 100 financial planners



**money
marketing**
AWARDS 19

Our Head of Paraplanning was shortlisted for paraplanner of the year in 2019



Top 250 UK Financial Planners 2020

Top 250 of financial planners for 2019 & 2020 by VouchedFor in the Sunday Times



We featured in 2018's New Model Adviser Top 100 Financial planners



We won this award from the CISI professional body in recognition for our financial planning approach and journey to excellence.



We were selected for the 2018 Midlands Enterprise Award

THE
ENGLISH
WOMEN'S
AWARDS
FINALIST

Our Managing Director, Rebecca Aldridge was shortlisted for the Forward Ladies and English Women's regional awards.



Balance: Wealth Planning - FCA registration



The Financial Services Register

You can access this page here:

<https://register.fca.org.uk/s/firm?id=001b000000a8GfdAAE>



Balance: Wealth Planning Limited

Reference number: 629329

This firm is authorised for specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.

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Who is this firm? >

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What can this firm do in the UK? >

Who is involved with activities at this firm?

Who is this firm connected to? >

Who is this firm?

Firm details

Check details about this firm's place of business, contact details, etc. ^

The FCA expects that a firm will confirm at least annually that these details are accurate.

Details last confirmed: 03 Jul 2020

Address ⓘ

The Point
Loughborough Road
West Bridgford
Nottingham
Nottinghamshire
NG2 7QW
UNITED KINGDOM

Phone

441157722126

Email

team@balancewealth.uk

Website

<http://www.balancewealth.uk/>

Firm reference number

629329

Registered company number ⓘ

[08552799](#)

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- Who is this firm? >
- How are customers protected?
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Check this firm's status and any additional regulatory information.

Status

Authorised

Since 03/11/2014

This firm is authorised for **specific activities and product types. It's important to check the full record for what regulated activities this firm has permission to do.**

Type

Regulated

Trading names

This firm currently trades under 1 trading names.

Current names

Results per page

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Showing 1 result out of 1

Name	Status	Effective from
↓A	↓A	↓
Balance: Wealth Planning Limited	Registered	24 Oct 2014

Previous names

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Name	Status	Effective from	Effective to
↓A	↓A	↓	↓
Think Smarter Consulting	Trading	30 Jul 2014	02 Feb 2016

Results per page

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How are customers protected?

Protections and support

Understand the protections you have when dealing with this firm, and how to make a complaint.

Customer protections and the Register

Regulated activities performed by regulated firms or individuals are covered by a range of protections. Most of these protections are not through the FCA but are primarily through the Financial Ombudsman Service and the Financial Services Compensation Scheme.

The protections available relate to specific regulated activities, products and investment types. We recommend that you check below for the activities that this firm has FCA and/or PRA permission to provide before going ahead. You should also contact the firm and ask them to confirm the specific protections available to you.

The Financial Ombudsman Service may be able to consider a dispute with this firm

Regulated activities that this firm has permissions for may be covered by the Financial Ombudsman Service. If you have complained to the firm and they haven't responded satisfactorily, you can contact the **Financial Ombudsman** for help.

Working with a regulated business gives you a high degree of protection. If our advice is not sound, you can complain. If we cannot resolve the matter you usually have free legal dispute support from the Financial Ombudsman. If we should pay you compensation and we aren't able to do so because of business failure, you can usually claim against the Financial Services Compensation Scheme.

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Who is involved with activities at this firm? >

Who is this firm connected to? >

The Financial Services Compensation Scheme may be able to consider a claim against this firm if it fails


Regulated activities that this firm has permissions for may be covered by the Financial Services Compensation Scheme. If this firm has failed, you can contact the [Financial Services Compensation Scheme](#) for help.


If you have a complaint about a firm


First try to contact the firm directly. In most circumstances, a firm must reply within 8 weeks, or 15 days for payment services such as bank deposits, direct debits or online payments.


If you are concerned you have been scammed, contact [FCA Contact Centre](#) and [Action Fraud](#) immediately.


Complain to the firm

 Rebecca Aldridge

 The Point
Loughborough Road
West Bridgford
Nottingham
Nottinghamshire
NG2 7QW
UNITED KINGDOM

 441157722126

 rebecca@balancewealth.uk

 <http://www.balancewealth.uk/> 

Report to the FCA

If you have concerns about a firm listed on the Register, [contact the FCA directly](#).

If you suspect you have been contacted by an unauthorised firm or individual carrying out an FCA-regulated activity, report it to us using [this form](#).

What can this firm do in the UK?

Restrictions

Check the requirements placed on this firm. Requirements are restrictions governing the regulated activities that this firm can do. ^

We cannot put your money in our bank account unless you are paying our fee.

These are regulations that apply to all financial planning firms. MiFID stands for The Markets in Financial Instruments Directive. The rules broadly require us to tell you what exactly you are investing, what it costs and how it is performing.

Client Money

This firm cannot hold client money. It may be able to control client money if it has the necessary requirements.

Specific requirements may change this firm's ability to hold or control client money – see below for details.

Effective since	Requirement	
30 Jul 2014	Exempt MiFID firm (Article 3) Must comply with the requirements in regulation 4C (or any successor provision) of the Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2007	>
30 Jul 2014	Exempt MiFID firm (Article 3) Must comply with the requirements in regulation 4C (or any successor provision) of the Financial Services and Markets Act 2000 (Markets in Financial Instruments) Regulations 2007	>

Learn about the regulated activities that this firm has FCA and/or PRA permission to provide and other information related to specific non-regulated activities and services that may impact your business with a firm. ^

What to do with this information

These regulated activities are grouped into categories. You should check the specific activities within these categories relate to the business you want to do with the firm, not just the categories.

Once you have checked this page, you should contact the firm via their main contact details and ask them to confirm their permitted regulated activities.

If you don't understand whether the permissions cover the business you want to do, you should [contact the FCA](#).

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- What can this firm do in the UK? >**
- Who is involved with activities at this firm?
- Who is this firm connected to? >

Advising on investments (except on Pension Transfers and Pension Opt Outs)

LIMITATIONS

Investment Type

Life Policy
Non-investment insurance contracts

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Advising on Pension Transfers and Pension Opt Outs

LIMITATIONS

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Customer Type

Professional
Retail (Investment)

Investment Type

Life Policy

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Arranging (bringing about) deals in investments

LIMITATIONS

Investment Type

Life Policy
Non-investment insurance contracts

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments

LIMITATIONS

Investment Type

Life Policy
Non-investment insurance contracts

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

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Advising on investments (except on Pension Transfers and Pension Opt Outs)

LIMITATIONS

Investment Type

Personal pension scheme
Stakeholder pension scheme

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Advising on Pension Transfers and Pension Opt Outs

LIMITATIONS

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Customer Type

Professional
Retail (Investment)

Investment Type

Personal pension scheme
Stakeholder pension scheme

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Arranging (bringing about) deals in investments

LIMITATIONS

Investment Type

- Personal pension scheme
- Stakeholder pension scheme

Customer Type

- Commercial
- Professional
- Retail (Investment)
- Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Making arrangements with a view to transactions in investments

LIMITATIONS

Investment Type

- Personal pension scheme
- Stakeholder pension scheme

Customer Type

- Commercial
- Professional
- Retail (Investment)
- Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

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Who is this firm?



How are customers protected?

What can this firm do in the UK?



Who is involved with activities at this firm?

Who is this firm connected to?



Advising on investments (except on Pension Transfers and Pension Opt Outs)



LIMITATIONS

Investment Type

Certificates representing certain security
Debenture
Government and public security
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Structured Deposits
Unit
Warrant

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Advising on P2P agreements



Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

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- Who is this firm? >
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- Who is this firm connected to? >

We can give advice about transferring occupational pension schemes including defined benefit pension schemes. We can also advise about whether to opt out of an occupational pension scheme. Not many financial planners have permission to do that.

Advising on Pension Transfers and Pension Opt Outs

LIMITATIONS

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Customer Type

Professional
Retail (Investment)

Investment Type

Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Unit

Arranging (bringing about) deals in investments

LIMITATIONS

Investment Type

Certificates representing certain security
Debenture
Government and public security
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Structured Deposits
Unit
Warrant

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

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Making arrangements with a view to transactions in investments

LIMITATIONS

Investment Type

Certificates representing certain security
Debenture
Government and public security
Rights to or interests in investments (Contractually Based Investments)
Rights to or interests in investments (Security)
Share
Structured Deposits
Unit
Warrant

Customer Type

Commercial
Professional
Retail (Investment)
Retail (Non-Investment Insurance)

Limitation

Rights to or interests in (both).
Investment activity in "rights to or interests in investments (security)" and "rights to or interests in investments (contractually based investment)" is limited to the investment types granted for this activity.

Other activities

Agreeing to carry on a regulated activity

LIMITATIONS

Limitation

Limited to carry on regulated activities.
The firm can only agree to carry on the regulated activities specified in this Notice.

The FCA is required to display some information related to certain non-regulated activities. Firms may do other business that is not regulated. You should check with the firm what business it carries out that isn't regulated and what your protections may be.

Insurance Distribution

A firm that offers or sells insurance products and services.
This firm is able to undertake insurance distribution.

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Who is involved with activities at this firm?

Individuals

Individuals currently and previously involved in regulated activities at this firm.



You should check the details of any FCA approved individual that you want to carry out regulated activities on your behalf, especially their current roles and any disciplinary or regulatory action on their record. Directory individuals at firms that are regulated by both the FCA and PRA (details are under the Regulators heading) now appear. Directory individuals may show for some but not all firms regulated solely by the FCA until 1 April 2021. Until this date, if the directory persons information you seek does not appear you should contact the firm directly to confirm the details of individuals carrying out customer function roles.

Name	Individual reference number	Status	Role
JA	JA	JA	JA
Rebecca Elizabeth Aldridge	REF01025	Certified / assessed by firm Approved by regulator	Responsible for Insurance Distribution CF1 Director (AR) SMF16 Compliance Oversight SMF17 Money Laundering Reporting Officer (MLRO) SMF3 Executive Director [FCA CF] Significant management CF30 Customer [FCA CF] Manager of certification employee [FCA CF] Client dealing [FCA CF] Functions requiring qualifications 4. Giving personal recommendations on retail investment products which are not broker funds 6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met) 11. Pension transfer specialist

Krupesh Vipul Kotecha	KVK00003	Certified / assessed by firm	[FCA CF] Functions requiring qualifications [FCA CF] Client dealing 4. Giving personal recommendations on retail investment products which are not broker funds 6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met)
Anne Christina Winter	ACW01053	Certified / assessed by firm	[FCA CF] Functions requiring qualifications [FCA CF] Client dealing 4. Giving personal recommendations on retail investment products which are not broker funds 6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met) 11. Pension transfer specialist
Caroline Ann Keegan	CAK00003	Certified / assessed by firm	[FCA CF] Functions requiring qualifications [FCA CF] Client dealing 4. Giving personal recommendations on retail investment products which are not broker funds 6. Giving personal recommendations on Friendly Society tax-exempt policies (other than Holloway sickness policies where the Holloway policy special application conditions are met) 11. Pension transfer specialist
Jonathan Nigel Page	JXP08020	Approved by regulator	CF1 Director (AR) CF30 Customer

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The register shows the people who work for the firm who have positions of significant responsibility, or who are 'Appointed Representatives'. An Appointed Representative is a business which falls under the regulatory responsibility of another firm. Neon Financial Planning is an Appointed Representative of Balance: Wealth Planning.

Who is this firm connected to?

Appointed representatives and agents

This firm is responsible for regulated activities of the firms listed below.

This table lists the Appointed Representatives and Payment services / Electronic money agents connected with this firm. You can also see if they have Tied agent or EEA Tied agent status. In each case, the principal is responsible for the activities carried out by its appointed representatives / agents on its behalf. An agent or Appointed Representative may act of behalf of more than one principal firm.

Current

Results per page

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[Show all results](#)

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Name	Insurance Distribution	Tied Agent	EEA Tied Agent	Firm reference number	Effective from
JA					▼
Neon Financial Planning Limited	Yes	No	No	801067	08 Feb 2018

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Regulators

Current and former regulators of this firm.

This table shows the former and current regulators of this firm, in the UK and in other European Economic Area (EEA) countries.

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Regulator	Effective from	Effective to
JA		
Financial Conduct Authority	03 Nov 2014	