

FSPAMFPI03 – SQA Unit Code H5J4 04

Contribute to reports for mortgage and/or financial planning clients



Overview

You must be able to contribute to the preparation of reports, including valuations and suitability letters, for mortgage and/or financial planning clients. This involves establishing your areas of responsibility, followed by identifying and obtaining the information required to enable you to create the report content. You must be able to supplement the reports with supporting documents and literature, and ensure that client information is stored and retrieved in line with your organisation's requirements. You will need to be organised and systematic in the approach to your work and keep up-to-date with the information needs of colleagues

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Performance criteria

- You must be able to:*
- P1 Agree the contribution you will make to the preparation of the report with the financial planner or mortgage adviser
 - P2 Identify the information you will need for the report using appropriate and up-to-date sources
 - P3 Create the report content from the information that you have obtained, in line with your organisation's requirements
 - P4 Demonstrate satisfactory writing skills
 - P5 Supplement reports with appropriate supporting documents and literature
 - P6 Assist the financial planner or mortgage adviser to produce and issue client valuations
 - P7 Ensure that the completed report or valuation is checked and authorised by the financial planner or mortgage adviser
 - P8 Ensure that confidential records are stored and retrieved in line with your organisation's requirements
 - P9 Comply with legal requirements, industry regulations, ethical standards, organisational policies and professional codes

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Knowledge and understanding

You need to know and understand:

- K1 The types of mortgage and financial planning reports produced by your organisation
- K2 The types of information available to you for the report, and where to source this information
- K3 Your organisation's systems and protocols for report writing
- K4 The types of supporting documents and literature that are required to accompany reports
- K5 How to prepare valuations as required by your organisation
- K6 Your organisation's procedures for storing and retrieving confidential records
- K7 Your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety as they impact on your activities
- K8 The regulatory framework within which your organisation operates

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Additional Information

Behaviours

1. You are professional and courteous when dealing with clients as well as colleagues
2. You keep confidential information secure at all times
3. You pay attention to details that are critical to your work

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