

## FSPAMFPI01- SQA Unit Code H5J1 04

Provide an administrative service for mortgage and/or financial planning clients



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### Overview

You must be able to deal with clients as well as internal colleagues, whether you are responding to straightforward requests or seeking new information. You must be able to collate the necessary information so that appropriate mortgage and/or financial planning solutions can be discussed, and prepare internal documents for use by the financial planner or mortgage adviser. You must be able to monitor the flow of business, maintain the financial planner's or mortgage adviser's diary and contribute to efficient general office administration duties. 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 Deal with straightforward requests for information received from clients, as well as internal colleagues, within your authority
- P2 Identify requests for information about financial products and services which you are not authorised to deal with, and pass these to the appropriate person
- P3 Refer issues that are outside of your area of responsibility to appropriate colleagues
- P4 Collate the information required for the preparation of quotations and illustrations
- P5 Obtain quotations and illustrations within the limits of your authority, to meet the client's needs and comply with your organisation's requirements
- P6 Where further information is required, pass on full details to the relevant person for action
- P7 Prepare all necessary information to assist the financial planner or mortgage adviser for a client meeting
- P8 Prepare information for the attention of the client which is clear, accurate and relevant to their needs
- P9 Monitor the flow of business and take appropriate action in respect of items outstanding
- P10 Maintain the financial planner's or mortgage adviser's diary and make appointments with clients where required
- P11 Ensure that you efficiently contribute to general office administration duties
- P12 Maintain accurate and up-to-date records in line with your organisation's requirements
- P13 You 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 Your organisation's procedures for dealing with new business
- K2 The limits of your authority and the products and services you are authorised to discuss
- K3 Information required for the preparation of straightforward quotations
- K4 How to obtain straightforward quotations and illustrations
- K5 The actions that need to be taken where further information is required
- K6 The types of documents and/or information required by the financial planner or mortgage adviser as part of a client meeting
- K7 Your organisation's procedures for monitoring the flow of business, and the actions you are required to take
- K8 The financial planner or mortgage adviser's appointment requirements, and how to arrange suitable appointments
- K9 Your organisation's office administration systems and procedures
- K10 Your organisation's internal processes and procedures for recording and storing information
- K11 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
- K12 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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