

FSPAMFPI06 – SQA Unit Code H5J7 04

Complete reports for mortgage and/or financial planning clients



Overview

You must be able to accurately complete reports of a complex nature, and take a proactive approach to the preparation of valuations and suitability letters in line with the financial planner's or mortgage adviser's requirements. This involves establishing your areas of responsibility, followed by planning and identifying the relevant complex information to enable you to complete the report. 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 and look for ways in which you can assist. You will also need to pay attention to details that are critical to your work.

FSPAMFPI06 - – SQA Unit Code H5J7 04

Complete reports for mortgage and/or financial planning clients

Performance criteria

You must be able to:

- P1 Agree the contribution you will make to the preparation of the complete report with the financial planner or mortgage adviser
- P2 Plan and identify the complex information you will need for the report using appropriate and up-to-date sources
- P3 Identify the relevant content from the information that you have obtained to enable you to complete the report
- P4 Complete the report in line with your plan and your organisation's requirements
- P5 Supplement reports for clients with appropriate supporting documents and literature
- P6 Produce client valuations in line with the financial planner's or mortgage adviser's requirements
- 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

FSPAMFPI06 - – SQA Unit Code H5J7 04

Complete reports for mortgage and/or financial planning clients

Knowledge and understanding

You need to know and understand:

- K1 The types of mortgage and/or 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 The importance of planning the report writing and identifying what information is required for the report itself and as supplementary evidence
- K4 Your organisation's systems and protocols for report writing
- K5 The types of supporting documents and literature that are required to accompany reports
- K6 How to prepare valuations, as required by your organisation
- K7 Your organisation's procedures for storing and retrieving confidential records
- K8 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
- K9 The regulatory framework within which your organisation operates

FSPAMFPI06 - – SQA Unit Code H5J7 04

Complete reports for mortgage and/or financial planning clients

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 look for ways to solve complex problems
4. You are supportive of others in the achievement of common objectives
5. You take pride in delivering high quality work
6. You refer to appropriate colleagues, or your organisation's procedures if in doubt

FSPAMFPI06 - – SQA Unit Code H5J7 04

Complete reports for mortgage and/or financial planning clients

Developed by	Financial Skills Partnership
Version number	1
Date approved	September 2012
Indicative review date	September 2015
Validity	Current
Status	Original
Originating organisation	Financial Skills Partnership
Original URN	FSPAMFPI06
Relevant occupations	Finance
Suite	Administration for Mortgage and/or Financial Planning Intermediaries
Key words	Financial products; quotations; mortgage; invoicing; payment; client valuations; back office; client reports; administrative systems