A2 Assessment Sheet

FEBRUARY 2023 | SCQF LEVEL 9 PRACTICAL INVESTMENT PLANNING



# Page Title

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| --- | --- |
| Assessor name |  |
| Assessment date |  |
| Learner Name |  |
| Internal Verification |  |

# General Considerations

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| --- | --- | --- |
| Checklist Requirement | Check | Notes |
| The evidence is compliant with FCA regulations and UK law |  |  |
| The evidence is compliant with Practical Financial Exams Limited’s policies, processes, and procedures (e.g. no breaches of our Malpractice Policy) |  |  |
| The evidence clearly demonstrates achievement of the relevant Performance Criteria. Assessors should consider in each case: *“Would a reasonable person believe, solely on the basis of the evidence provided by the Learner, that they have achieved the relevant Learning Outcomes/Performance Criteria?”* |  |  |
| The evidence is comprehensive, demonstrating the achievement of at least one full Criterion, not merely part of a Criterion, unless otherwise stated in the checklist. |  |  |
| Real-life client personal details are redacted/censored. |  |  |

# Work-Based Evidence

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| Criterion | Evidence Submitted | Grade | Notes |
| 1.1 Deliver an effective, compliant, professional, structured telephone pitch meeting |  |  |  |
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| 1.2 Demonstrate the ability to structure and control client meetings effectively |  |  |  |
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| 1.3 Present and explain a set of disclosure documents, including the firm’s business model and how charges work |  |  |  |
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| 1.4 Establish and agree SMART investment planning objectives with the client, including critical assessment of their potential achievability |  |  |  |
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| 1.5 Critically assess and agree the risk profile of a retail client, as a combination of their attitude to risk and capacity for loss |  |  |  |
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| 1.6 Explain to retail clients the main features, advantages, and disadvantages of the main investment strategies |  |  |  |
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| 2.1 Produce a professional, compliant suitability report comprising a piece of innovative investment advice, the client’s objectives, the reasons why the advice is suitable, and any disadvantages of the advice |  |  |  |
| 2.2 Demonstrate the suitability of the advice via deterministic and/or stochastic cashflow models | N/A |
| 3.1 Professionally and compliantly present an innovative investment plan, along with corresponding regulatory supporting documents, answering any client questions, and gaining the client’s agreement to proceed with the advice |  |  |  |
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| Additional Notes |
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| Grade | Pass / Fail |