

# APPLICATION FOR RPL FOR FNSICCU507B RECORD AND IMPLEMENT CLIENT INSTRUCTIONS

## YOUR DETAILS

<b>STUDENT NAME:</b>	
<b>ENROLMENT NUMBER (ACCOUNT ID)</b>	

Complete the following table and attach the evidence.

## ELEMENTS OF COMPETENCY

ELEMENT	PERFORMANCE CRITERIA	EVIDENCE OF COMPETENCY	EVIDENCE SUFFICIENT <i>(Office use only)</i>
1. EXECUTE INSTRUCTIONS TO SATISFY CLIENT REQUIREMENTS	1.1 The <i>client</i> is adequately identified and <b><i>instructions given in good faith</i></b>		
	1.2 Confirmation from client of instructions and requirements is sought		
	1.3 Relevant <b><i>client instructions</i></b> are recorded and <b><i>documented</i></b> promptly and accurately in accordance with company policy and guidelines, confidentiality requirements, and with <b><i>relevant legislation or industry codes of practice</i></b>		
	1.4 Client instructions are actioned with relevant personnel/section in accordance with client requirements, company policy and guidelines, confidentiality requirements, and with relevant legislation or industry codes of practice		
2 REVIEW AND MONITOR IMPLEMENTATION OF CLIENT INSTRUCTIONS	2.1 Terms and conditions of agreed options and investment strategies are reviewed and monitored for consistency with client		

	instructions		
	2.2 Implementation strategies and actions are regularly monitored and reviewed to ensure compliance with client instructions		
	2.3 Clients are regularly updated on the implementation and administration of their agreed investment strategies and instructions to ensure no breaches of agreement or anomalies occur		
	2.4 Clients are advised of changes to markets, legislative or company requirements or guidelines where appropriate		
3. PROVIDE ADDITIONAL/AFTER SALES SERVICE	3.1 Client documentation, information and histories are periodically reviewed to determine areas and extent of <b>additional/after sales service</b> that can be provided		
	3.2 Potential areas of additional/after sales service are communicated to clients utilising identified marketing strategies		
	3.3 Defined additional/after sales service is agreed with clients and provided as required		

	<p>3.4 Areas of client dissatisfaction are identified and acted upon in a prompt, professional and ethical manner, and in accordance with <b>company policy and guidelines</b>, confidentiality requirements, and with relevant legislation or industry codes of practice</p>		