FINANCIAL ADVISORY LAUNCH PROGRAMME · RESEARCH AND CONSTRUCT THE RECOMMENDATION

Research-to-recommendation worktable

Objective, option considered, why suitable or rejected, and evidence, in one table.

01 One row per objective

Suitability standards are set by the FCA in COBS. If you are an Appointed Representative, your network checks these files.

The client objective this addresses

The option considered

Why it is suitable, or why you rejected it

The evidence behind that judgement

02 Before you write it up

Cashflow model tested against the client's goals?

Checked against Consumer Duty's four outcomes?

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Want a portal that keeps this evidence on file?

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