

PROFESSIONAL REFERENCE

Referee - please complete this form which is required as part of my assessment for compliance with the Code of Professional Conduct for Financial Advice Services.

Candidate (to complete)

Full name:	
Organisation and address:	
Email:	

Professional Referee details:

Name of Professional Referee:	
Address:	
Organisation:	
Designation:	
Daytime phone:	Mobile:
Email:	
Number of years you have known the candidate:	
Relationship to the candidate:	

Referee

I, _____, (name of professional referee) acting as referee for the above candidate, hereby declare that to the best of my knowledge, the information provided below about the candidate is true and accurate.

I confirm that the assessor may contact me for a professional reference for the candidate.

Signature: _____ Date: _____

Professional Reference

Below are questions related to the key performance areas that are required of a financial adviser. Please write out your responses to the questions and be prepared to discuss your responses when contacted over the phone by the assessor.

Please only comment about areas that are relevant to what you know about the candidate and his / her performance. Please give specific examples.

1. Application of good conduct and principles of professionalism

Good conduct and professionalism relate to the need to establish and maintain appropriate standards of behaviour and practice when working with others. Please confirm that in their day-to-day business activities the candidate has demonstrated the following:

Behaviour / Practice	Confirmed ✓	Behaviour / Practice	Confirmed ✓
Confidentiality		Respect for the law	
Acted in good faith		Respect for people	
Impartiality		Technical expertise	
Duty of care		Personal integrity	
Gives advice only in areas that are within their field of competence		Personal effectiveness	
Fiduciary duties			

Comments / Examples

2. Maintenance of competency, authorisation, and any licensing requirements

(e.g. educational qualifications, continuing professional development and professional affiliations for their area of competence, etc.) Please comment on how the candidate currently maintains any competency, authorisation, and licensing requirements they need to meet.

3. Willingness to seek advice or access new learning where required

Please comment on the candidate's willingness to seek advice or access learning where required.

4. Timely and efficient work practices

Please comment on their general work practices in relation to timeliness and efficiency.

5. Clear communication both orally and in writing

Please comment on their communication skills both orally and in writing.

6. General comments

Please explain why you think this person is suitable to work as a Financial Adviser and provide personalised financial advice to clients. If you have any doubts about his / her suitability please expand on these.

Is there any other information you think is relevant or wish to add as part of this reference?