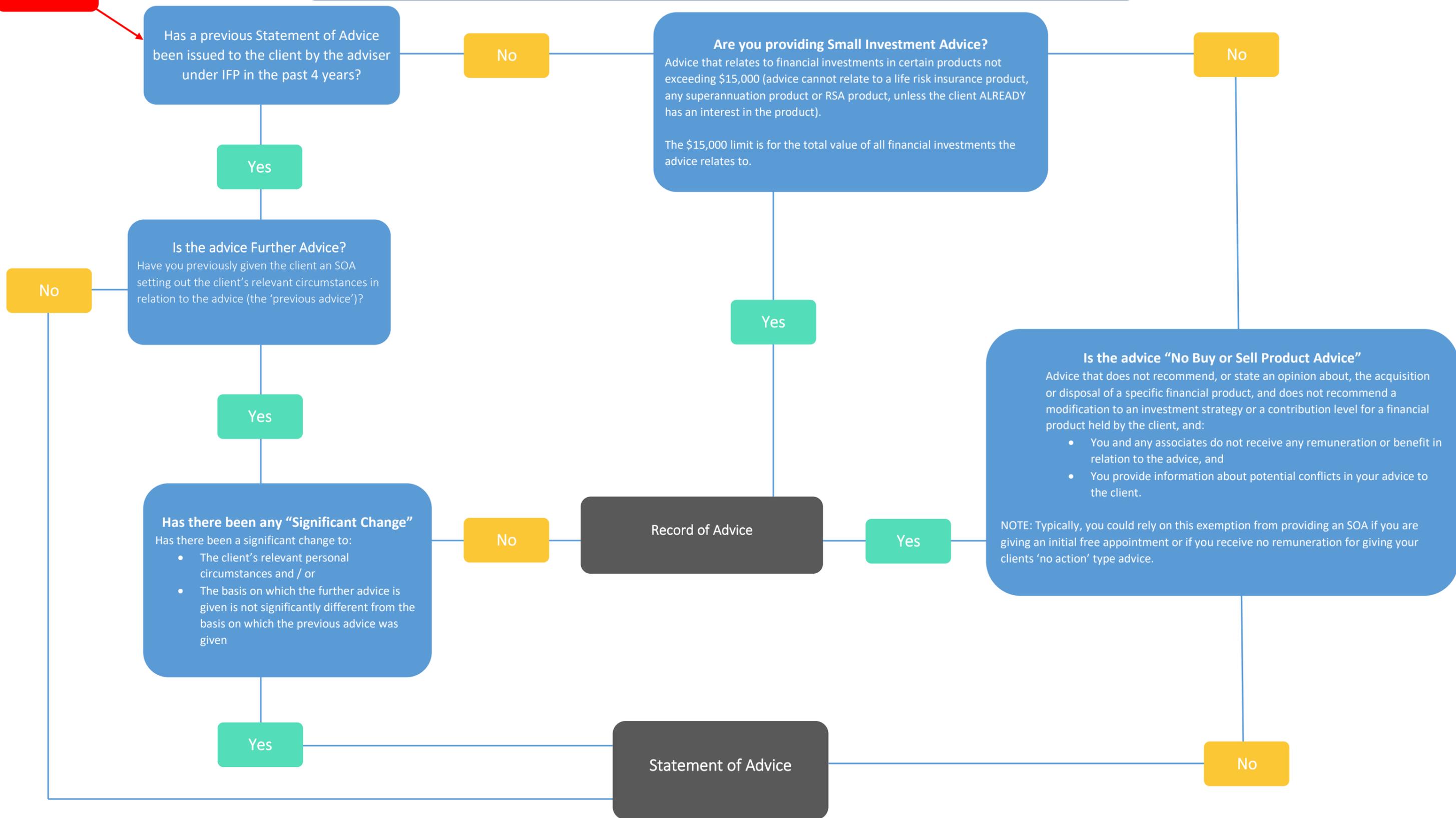


# Advice Document Decision Tree - SoA or RoA?

START HERE



FOR ALL ADVICE: FILE NOTE ALL CLIENT CONVERSATIONS & RECORD EXACTLY WHAT HAS HAPPENED, WHY, YOUR WARNINGS TO THE CLIENT & THE CLIENT'S RESPONSE – DO THEY UNDERSTAND?

WHEN APPLYING PROFESSIONAL JUDGEMENT TO DETERMINE WHETHER TO UTILISE AN ROA OVER AN SOA, CLEAR NOTES ON YOUR THOUGHT PROCESS ABOUT WHY AN ROA IS APPLICABLE SHOULD BE RECORDED ON THE CLIENT FILE.

FILE NOTES SHOULD BE RECORDED WITHIN 24 HOURS OF DISCUSSION/MEETING/EMAIL WITH CLIENT