

Screen 1:

DBAAT training

Completing the summary tab.

Screen 2:

This video provides an overview of the summary tab of the DBAAT, including its purpose and how to complete it.

Screen 4:

The purpose of the summary tab is to capture, in one place, a summary of your conclusions on the firm's compliance with the regulatory requirements, including all the assessment ratings and the rationale for those ratings.

Screen 5:

The content in the summary tab forms the basis for any file specific feedback for the firm.

The summary results are automatically completed by the tool.

These results are pulled from the earlier tabs in the DBAAT. Therefore any required changes to these results must be made on the earlier tabs.

Screen 6:

Where there have been two reviews, the results are pulled from the assessment made at the Quality Assurance stage.

Other than checking that these results are as expected, the assessor should not need to take any further action.

Screen 7:

Further down the tab there are several free text boxes.

Screen 8:

The assessor should complete the first box, "Case summary", with a high level summary of the case, including the relevant client circumstances and objectives, the advice given and the firm's rationale for the advice. This provides context to any feedback provided.

Screen 9:

The following free text boxes all relate to the assessments made in the DBAAT. The assessor should explain, with reference to evidence, why they have rated each section as they have.

Further information on the summary tab is found on page 158 of the instructions.

Screen 10:

FCA

Financial Conduct Authority