

Screen 1:

DBAAT Training

Completing the contingent charging tab

Screen 2:

This video provides an overview of the contingent charging tab of the DBAAT, including its purpose.

Screen 3:

This tab will require completion if advice was given after 1st October 2020, and the client has been charged on a contingent basis.

Screen 4:

This section will allow the assessor to identify the reason the client was charged on a contingent basis.

This could be through transitional rules or due to the client qualifying as a carve out.

Screen 5:

This tab covers the transitional rules, if this was the reason for the contingent charge applying it will allow the assessor to rate whether or not the rules have been met.

Screen 6:

This tab will allow an assessor to identify which carve out exception the client qualified for, and to assess whether or not the rules were complied with.

The rules around carve out exceptions are covered in COBS 19.1B.9

Screen 7:

This tab also allows the assessor to assess whether or not disclosure requirements for a carve out have been met.

Information about the contingent charging tab is found from page 145 of the instructions.

Screen 8:

FCA

Financial Conduct Authority