

Name: [REDACTED]

Membership no: [REDACTED]

1. Competency: 3

Learning Outcome: 3.2

Take accurate instructions

2. Evidence provided:

Note of internal meeting to discuss export issues and email to those involved to confirm instructions

3. Outline how the evidence demonstrates you meet the outcome

Using appropriate techniques, take instructions from a client: I sought a clear explanation of the issue from the internal director concerned. This initially took place at a meeting and then confirmed in writing following some initial investigations of the matter. The director confirmed that I should proceed and produce updated guidance on export control.

Confirm the instruction with the client: I sent an email to the director to confirm the initial instructions as the new export control guidelines would impact [REDACTED] dealer network. It was necessary to confirm that my proposed approach was acceptable as this was an issue raised to us by our parent company in [REDACTED]

Evidence of taking and confirming the instruction: The note of the meeting shows that I am able to take initial instructions effectively. These were followed up in a confirmation so that a written record of the instructions could be kept.

4. Reflection and evaluation (what you learnt from the activity you undertook to meet the outcome). Note: you may want to complete this section at a later date once you have had time to reflect on your practice and experience.

It is important to listen carefully when instructions are being given. If these are given during a meeting a contemporaneous note should be kept of the instructions. It is helpful for a written set of instructions to be produced and confirmed with the client or individual raising the issue.

5. Completion date: 7 August 2014

6. Signed (applicant)

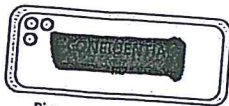
[REDACTED SIGNATURE]

**Date:
07.08.2014**

7. Signed (supervisor)

[REDACTED SIGNATURE]

**Date:
07.08.2014**



Attendance Note

Meeting
With:

[Redacted]

Reference

[Redacted]

Department

Legal & Compliance

Date

07.08.2014

Subject:

Export control

Issue:

Possible breach of internal guidelines relating to vehicle exports

Discussed:

Meeting to discuss and confirm instructions:

A large number of [Redacted] vehicles have recently been discovered [Redacted] [Redacted] has requested that:

1. That an investigation be completed to discover what has happened in this instance (timing is fairly urgent because a complaint has been made to [Redacted] by [Redacted]).
2. Export control policy/guidelines need to be produced to clearly set out the correct position concerning vehicle exports. This needs to combine the [Redacted] agreement provisions limiting the scope of where we can sell to, the [Redacted] Guidelines and any applicable external sanctions.

Timeframe:

- Investigation to be completed by 15.08.2014. A report needs to be produced and circulated by that time.
- Policy needs to be produced, reviewed and circulated to all internal and external parties as soon as can be arranged.

[REDACTED]

From: [REDACTED]
Sent: 08 August 2014 08:06

To: [REDACTED]
Cc: [REDACTED]
Subject: Export Control [REDACTED]

Dear [REDACTED]

Thank you for meeting with [REDACTED] and I yesterday. I just wanted to take this opportunity to confirm our the instructions that we received from you.

1. You would like us to investigate the vehicles that have been exported to [REDACTED]. This will include providing an outline of who these vehicles were exported for and which dealers were involved in the sales of the vehicles. We will be able to obtain complete records for the last three years from the service provider that we use for export work.
2. You would like us to produce some formal export control guidelines to make clear exactly the markets that we are able to export to. This will include reference to the current [REDACTED] agreement that we have in place with [REDACTED] and also to the [REDACTED] guidelines that set out high risk/restricted jurisdictions.
3. You would like an initial update to provide to [REDACTED] by the end of next week. I will make sure that you have the information that we have available to us by then so that we can provide an initial view to those who have requested it in [REDACTED].
4. Please could you provide us with the initial request from [REDACTED] as any further information that we have about the vehicles exported that the [REDACTED] in [REDACTED] have complained about. This will allow us to fully track these vehicles and see who has sold them, to which customer and when they were exported.

If you require any further assistance from us in relation to this matter please do not hesitate to contact me. Once you have confirmed that you are happy for me to proceed in the way set out above I will start to investigate this issue. I will then draft the export control guidelines and get internal approval of these before sharing them with you. Once all approvals have been obtained we will circulate these guidelines to our dealer network.

Kind regards

[REDACTED]

[REDACTED]

Manager, Legal & Compliance

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]