ADVICE-ONLY™ SAMPLE EVIDENCE PACKET

21-Criterion Evidence Crosswalk

AO-SAMPLE-026 | Candidate evidence mapping, not a findings sheet.

FICTIONAL TRAINING MATERIAL. All people, firms, dates, balances, and events are invented. This is not an official assessment, legal advice, or a guarantee of any finding.

How to use this crosswalk

Evidence IDs are candidate places to look; they do not imply that any criterion is Met. Record only evidence actually examined and apply the governing Assessment's finding, rationale, conflict, and materiality requirements.

ID	Professional criterion title	Question tested (short form)	Candidate evidence
1	Access Without Asset-Based Qualification	Was access independent of asset minimums, wealth thresholds, or expected asset transfer?	E-01, E-02, E-14, E-16
2	Defined Advice Engagement	Was the advisory engagement and scope clearly formed and bounded?	E-03, E-01, E-10
3	Access and Qualification Integrity	Were access and qualification conditions based on advice-related reasons rather than implementation opportunity?	E-01, E-02, E-14, E-16
4	Engagement Formation and Scope Clarity	Were parties, scope, responsibilities, and limits clear before work proceeded?	E-03, E-02, E-09
5	Advance Fee Agreement and Direct Client Payment	Was the fee agreed before substantive work, with the client directly obligated to pay?	E-03, E-04, E-05
6	No Implementation-Linked Economic Benefit	Could economic value depend on how, where, whether, or with whom the client implemented?	E-03, E-04, E-13, E-14
7	No Implementation-Linked Relational or Business Advantage	Did a noncash business or relationship advantage depend on the implementation path?	E-12, E-13, E-14, E-16
8	Information-Use Independence	Was engagement information limited to appropriate advice, administration, legal, and authorized purposes?	E-03, E-13, E-14, E-15
9	Fact-Based Advice Formation	Were recommendations finalized after sufficient facts, assumptions, constraints, and objectives were documented?	E-06, E-07, E-08
10	Alternatives and Tradeoffs	Did advice reasonably identify material alternatives, tradeoffs, assumptions, and limitations?	E-07, E-08
11	Recommendation Independence	Were recommendations independent of an unnecessary product, custodian, manager, provider, affiliate, or implementation relationship?	E-07, E-08, E-09
12	Completion of Agreed Work	Was agreed work completed, or were material limitations and unfinished items clearly identified?	E-03, E-08, E-10
13	Deliverable Completeness and Portability	Could the client use completed advice without being locked into a particular implementation channel?	E-08, E-10, E-11
14	Advice-Cycle Completion Boundary	Was the completion boundary established by contemporaneous evidence?	E-03, E-10, E-11, E-14
15	No Implementation Authority or Activity Within the Advice Cycle	Did trading, management, account control, execution, or implementation remain outside the assessed cycle?	E-03, E-11, E-13, E-14, E-16
16	Separate Post-Completion Service Decision	If later services occurred, were they considered and accepted as a separate post-completion decision?	E-09, E-10, E-14, E-16

ID	Professional criterion title	Question tested (short form)	Candidate evidence
17	Implementation Optionality	Could the client implement personally, use another professional, delay, or take no action without penalty?	E-03, E-08, E-09, E-10, E-16
18	Client-Controlled Professional Selection	Were providers suggested without compensation, reciprocity, quota, exclusivity, or undisclosed preference?	E-12, E-13, E-16
19	Absence of Pressure or Steering	Did conduct avoid pressure, artificial urgency, steering, or implied implementation expectations?	E-01, E-09, E-10, E-16
20	Chronological and Documentary Integrity	Were records contemporaneous and consistent, with material gaps or conflicts investigated?	E-01–E-16; test dates, versions, completeness and conflicts
21	Truth in Advertising and Representational Integrity	Were public and engagement-specific representations accurate and appropriately limited?	E-03, E-10, E-11, E-15

Controls that are not additional criteria

• Economic Completeness is a synthesis based on underlying criterion findings; it is not a separate criterion and cannot create an independent failure.

• Evidence Sufficiency and Reliability is a gate before the overall determination; it is not a criterion.

• Version 1.0 permits N/A only for Criterion 10 (no meaningful alternative existed and documented), Criterion 16 (no later service occurred and facts reasonably support that no post-completion service decision is presently part of the sequence), and Criterion 18 (no outside professional or provider was identified or suggested).

• Do not score or average criteria. A defining structural requirement cannot be offset by favorable findings elsewhere.