

FAP compliance *UNCOVERED*



TAILORED COMPLIANCE OFFICER COURSES FOR
PEOPLE IN BUSINESSES THAT INTEND TO BECOME,
OR ARE, FINANCIAL ADVICE PROVIDERS.

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Strategi
Institute

FAP compliance officer course

NO MATTER THE SIZE, EVERY FINANCIAL ADVICE PROVIDER (FAP) WILL NEED TO HAVE SOMEONE WHO IS RESPONSIBLE FOR ENSURING THE BUSINESS IS COMPLIANT AND MEETING ITS OBLIGATIONS UNDER THE MULTITUDE OF LEGISLATION, REGULATION AND CODE THAT APPLY TO FAPS.

This course is a must attend for owner-operators of FAPs, and those who currently have, or will shortly have, a compliance role in a business which intends to become, or is, a FAP.

Date and location

Please [click here](#) for current dates.

Programme fees

Early bird pricing: \$2,100* *plus GST*

Regular fee: \$2,350 *plus GST*

*(if enrolled and fee paid at least 30 days prior to course commencing)

What you will learn

- What needs to be in place, so the business is compliant in the FMCA regime;
- The practical items your business needs to put in place to obtain its full FAP licence;
- What 'good conduct' means and how the business can practically demonstrate it;
- How to build a compliance assurance programme and governance framework that are the right size for your business;
- How to potentially save thousands in future compliance costs by harnessing technology and taking a client first approach with your FAP licence planning;
- The importance of cyber-security and how to build, implement and maintain effective cyber-security processes;
- Tips for building a 'fit for purpose' compliance officer or compliance manager job description and key performance indicators (KPIs), and much more.

Download the full course content [here](#).



Length of course
2 days



Course location
Auckland



Book this course online
www.shop.strategi.ac.nz



CPD hours awarded
20 hours

What you will receive

Great learning outcomes plus:

- Electronic course manual;
- 'The book': A notebook for recording your profitable ideas and advice;
- Pre-course and post-course assignments;
- Radar login for 12 months (*this is the Strategi Institute online education platform with a special compliance officer section*);
- Two days of classroom training and interaction;
- Exposure to software solutions to aid the business;
- Morning and afternoon teas;
- Provision of templates and guidance notes that can be used within your business;
- Regulatory guide for the financial services industry: Edition 5;
- Issue of Strategi Institute certificate for course completion, and
- Discounted pricing for the compliance team toolbox (see below).

Email david.greenslade@strategi.co.nz to find out more

Coming soon Compliance team toolbox

This will be a unique resource in the NZ financial services industry. Compliance team toolbox is an ongoing service hosted on Radar, and provides compliance officers with:

- Compliance officer help desk - up to 30 minutes per month of advice from the Strategi compliance team on compliance issues you may encounter within the business;
- Monthly newsletter specifically designed to support compliance officers;
- Access to compliance officer/manager AML/CFT training modules;
- Attendance at webinars and receipt of videos on specific compliance issues;
- Access to all Strategi guidance notes;
- Strategi Radar access;
- Updates to the Regulatory guide for the financial services industry.

Further details will be provided at the course



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Disclaimer: While every care has been taken to supply accurate information, errors and omissions may occur. Accordingly, Strategi Limited and Strategi Institute Limited accept no responsibility for any loss caused as a result of reliance on the information supplied.

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