



Strategi  
Institute

# Closing the Gaps

## A bridge to the new advice world

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# Closing the Gaps

A bridge to the new advice world

FINANCIAL ADVISERS AND FAPS NEED TO DEMONSTRATE THEY HAVE THE COMPETENCE, KNOWLEDGE, AND SKILL TO PROVIDE REGULATED FINANCIAL ADVICE TO RETAIL CLIENTS IF THEY DO NOT HOLD THE NEW ZEALAND CERTIFICATE IN FINANCIAL SERVICES (LEVEL 5) V2. THIS GOES FOR NOMINATED REPRESENTATIVES TOO.

To help bridge the gaps between the old advice world and the new, and demonstrate this knowledge, Strategi Institute has created a Closing the Gaps course, perfect for advisers that have already obtained a Level 5 qualification and now need to update to the new environment.

## What does it involve?

The course is as flexible as you need it to be and more cost effective than you might think.

This practical half day course will cover the key legislation and regulation advisers need to know about, as well as the Code of Professional Conduct and good conduct obligations. We'll also cover the six-step advice process and ways to modernise it.

The course includes a number of scenario-based multichoice assessment questions conducted online, which take under an hour to complete.

All participants receive an electronic copy of the invaluable Strategi Regulatory Handbook Edition 5 - your regulatory bible and reference manual for navigating the new regime.

You also get a one-year basic subscription to Radar, Strategi Institute's online CPD platform, setting you up to meet your professional development obligations for the new regime.

### Clarification on adviser and person

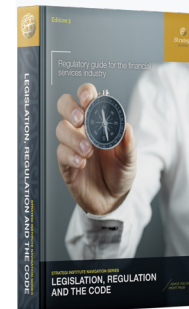
Under the Financial Markets Conduct Act 2013, the financial advice provider is responsible for the advice provided by its authorised bodies, financial advisers and nominated representatives. For simplicity, the term 'adviser' has been used in this document as a generic term to refer to the various persons who can provide regulated financial advice. A person is the legal term for an entity or an individual.

## Study options

Need to squeeze your study in between clients? Or prefer to do it face-to-face?

There is an option available to cover all needs.

STUDY OPTION	DESCRIPTION	COST
<b>Online only</b>	Study when it suits you via PowerPoint slides and recordings, supplemented by online material.	\$250 plus GST
<b>Zoom workshops</b>	In one four-hour session, an experienced facilitator guides you through the content and answers your questions. All materials are provided electronically.	\$300 plus GST
<b>Face-to-face classrooms</b>	Our recommended solution as it provides the best overall educational experience. Our experienced facilitator takes you through the course material in one four-hour session, bringing the content to life using practical examples. Students can complete the assessment immediately after the class has finished.	\$350 plus GST



While an electronic version of the Strategi Regulatory Handbook Edition 5 is provided for all participants, a professionally bound hardcopy is also available for an additional \$55 plus GST (postage and handling excluded).

**Please note:** discounts apply for large groups and customised courses can also be arranged on request.

## Who needs to Close the Gaps?

- Previous Authorised Financial Advisers without a Level 5 qualification;
- Previous QFE advisers who will become financial advisers, or nominated representatives, in a Financial Advice Provider (FAP);
- Previous Registered Financial Advisers who do not hold the Level 5 qualification and are not planning to get it (intending to leave the industry within two years);
- Existing financial advisers who already hold one of the Level 5 qualifications (other than Core strand of the NZCFS Level 5 V2 enrolled after 1 December 2020);
- Compliance officers and quality assurance staff of FAPs; and
- Managers within FAPs directly supervising financial advisers or nominated representatives.

## Why study with Strategi Institute?

- We're the only active 'Category 1' rated private training provider in the financial services sector. That's the top rating available\*.
- We're the only training provider with a compliance and consulting arm, so we're up to date with industry developments and roll these straight into our training courses.
- We offer flexibility of study mode and use industry experts for teaching.

## How do I enrol?

It's as easy as clicking this [link](#) to get underway.  
[www.shop.strategi.ac.nz/pages/closing-the-gaps](http://www.shop.strategi.ac.nz/pages/closing-the-gaps)

## Got questions?

Check out our [Closing the Gaps webpage](#)

[www.shop.strategi.ac.nz/pages/closing-the-gaps](http://www.shop.strategi.ac.nz/pages/closing-the-gaps)

Phone 09 414 1300 or Email [support@strategi.ac.nz](mailto:support@strategi.ac.nz)

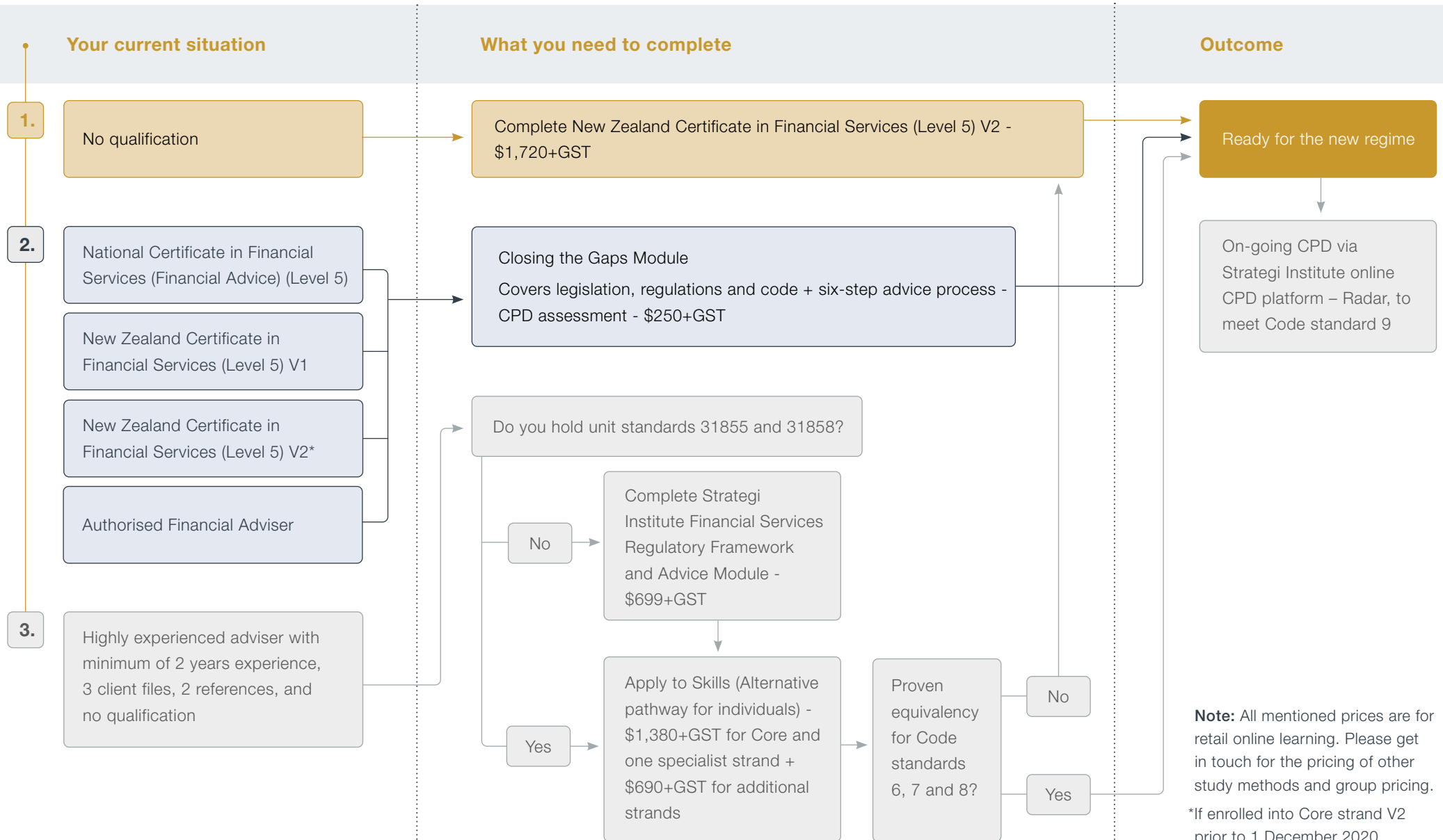
Our team is ready to help.





# Closing the Gaps

Your pathway to proving competence, knowledge and skill under the Code of Professional Conduct for Financial Advice Services. You will need to demonstrate you have the competence, knowledge, and skill to operate at the equivalent of the New Zealand Certificate in Financial Services (Level 5) V2.



**Note:** All mentioned prices are for retail online learning. Please get in touch for the pricing of other study methods and group pricing.

\*If enrolled into Core strand V2 prior to 1 December 2020.



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### For general enquiries

Phone: 09 414 1300

Email: [support@strategi.ac.nz](mailto:support@strategi.ac.nz) or

Visit our [Closing The Gaps webpage](#)

[www.shop.strategi.ac.nz/pages/closing-the-gaps](http://www.shop.strategi.ac.nz/pages/closing-the-gaps)

### For corporate enquires please contact

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