



CATALYST.AI

ID

105026

DURATION

18 - 24 months

CREDITS

515

SETA

INSETA + QCTO

OCCUPATIONAL CERTIFICATE:

FINANCIAL ADVISOR

NQF Level 6



Occupational Certificate: Financial Advisor - Course structure

| QUALIFICATION / PROGRAMME TITLES | NQF LVL | ID OR OFO CODE | MINIMUM CREDITS |
|---|---------|----------------|-----------------|
| Occupational Certificate: Financial Advisor | 6 | 105026 | 515 |
| Occupational Certificate: Health Care Benefits Adviser | 5 | 105030 | 102 |
| Occupational Certificate: Investment Adviser | 6 | 105021 | 213 |
| Occupational Certificate: Long Term Insurance Adviser | 5 | 105022 | 180 |
| Occupational Certificate: Employee and Pension Fund Benefit Adviser | 6 | 105025 | 110 |

WHO SHOULD STUDY THIS COURSE?

The purpose of this qualification is to prepare a learner to operate as a Financial Advisor.

A Financial Advisor analyses the financial needs of clients and facilitates processes to implement solutions that will contribute towards the protection and growth of wealth for clients.

Rationale

The qualification caters for building competence at Levels 5 and 6. There are three-part qualifications enabling the development of new entrants into the occupation and then catering for the further development as the employees specialise and eventually grow to become fully fledged Financial Advisors.

The effective use of wealth creation tools to grow wealth is essential for the protection and wellbeing of citizens. This industry provides an essential service in support of the development of the country and the achievement of the National Development Plan's objectives.

The growth of the financial services industry is dependent on the training and education of staff that will be able to provide professional financial services to people across the nation. This qualification will therefore support the National Development Plan and will contribute towards job creation and social harmony; it provides the basis for entry into the industry.

The qualification has relevance for learners in:

- Retirement Funds
- Investment Medical Schemes
- Intermediaries

Exit Level Outcomes

1. Provide advice to clients regarding the use of Long Term Insurance to manage risks and protect wealth.
2. Provide advice to clients regarding the implementation of Employee benefits and Retirement Funds.
3. Provide advice regarding the use of Health Care benefit programmes.
4. Provide advice to clients to grow and protect wealth through appropriate Investments and related methods.

Admission Requirements

- Communication at NQF Level 4.

ASSOCIATED ASSESSMENT CRITERIA

Exit Level Outcome 1:

- All relevant regulatory requirements are correctly identified and complied with.
- The consequences of non-compliance with regulatory requirements is explained in terms of the impact on clients, the company and the representative.
- Appropriate client information is collected and captured in a format required for analysing it relevant to the specific product being sold.
- Client information is analysed and interpreted to reflect the real client needs.
- Appropriate recommendations are developed and communicated to clients ensuring full disclosure.
- Records of advice given, instructions received and actions taken are accurate and according to legal requirements.

Exit Level Outcome 2:

- All relevant regulatory requirements are correctly identified and complied with.
- The consequences of non-compliance with regulatory requirements is explained in terms of the impact on clients, the company and the representative.
- Appropriate client information is collected and captured in a format required for analysing it relevant to the specific product being sold.
- Client information is analysed and interpreted to reflect the real client needs.
- Appropriate recommendations are developed and communicated to clients ensuring full disclosure.
- Records of advice given, instructions received, and actions taken are accurate and according to legal requirements.

Exit Level Outcome 3:

- All relevant regulatory requirements are correctly

identified and complied with.

- The consequences of non-compliance with regulatory requirements is explained in terms of the impact on clients, the company and the representative.
- Appropriate client information is collected captured in a format required for analysing it relevant to the specific product being sold.
- Client information is analysed and interpreted to reflect the real client needs.
- Appropriate recommendations are developed and communicated to clients ensuring full disclosure.
- Records of advice given, instructions received, and actions taken are accurate and according to legal requirements.

Exit Level Outcome 4:

- All relevant regulatory requirements are correctly identified and complied with.
- The consequences of non-compliance with regulatory requirements is explained in terms of the impact on clients, the company and the representative.
- Appropriate client information is collected captured in a format required for analysing it relevant to the specific product being sold.
- Client information is analysed and interpreted to reflect the real client needs.
- Appropriate recommendations are developed and communicated to clients ensuring full disclosure.
- Records of advice given, instructions received and actions taken are accurate and according to legal requirements.

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