

Governance for Financial Advice Providers
(Small Business) Microcredential (Level 6)

Good governance is good business.

*Build a strong governance framework
for your FAP*



Learn to build and operate strong FAP governance frameworks for growth and profitability

Good governance is a key requirement for every financial advice provider (FAP) big or small. It's also good business. Our Governance for Financial Advice Providers (Small Business) (Level 6) Micro-credential is a must for owners and directors of small to mid-size FAPs, as well as those intending to become company directors.

Why choose Strategi Institute

Strategi Institute is the training provider of choice for many corporates and individuals in the financial and professional services sector. We are an NZQA category 1 training provider actively operating in the financial services industry. You would be partnering with the best from a quality perspective.



Microcredential

2

Days classroom
(workshop)

14

Weeks duration

10

Credits at NZQA
Level 6 on completion

Why you need this course

The Financial Markets Authority (FMA) expects FAPs to have an approved and documented policy that ensures FAP directors and senior managers have the right skills and experience for their roles. Oversight and compliance functions need to cover all the required components and have sufficient scope to monitor the business effectively and ensure licence obligations are met. (See FAP full licence guide Version 5, FMA June 2021).

This course gives you the skills and knowledge to meet these expectations. But more than just compliance, it will show you how good governance translates to good business.



Governance for Financial Advice Providers (Small Business) (Level 6)

This course will help you foster an effective governance culture, while providing the tools to ensure your FAP meets its regulatory obligations, compliance requirements, and appropriate risk management. More specifically, you will learn:

- the FMA's FAP licensing requirements;
- how to build an appropriate governance framework for a small to mid-size FAP;
- the necessary legislation, regulations, code, good conduct obligations and product provider obligations;
- how to appraise board competence, knowledge, and skills, and board reporting requirements;
- how to manage business risk, IT and cyber security, and outsourcing decisions;
- the obligations, compliance and record keeping requirements;
- how to develop a fit-for-purpose advice process;
- how to 'right size' your governance framework;
- when to have a board and how to get value from directors;
- how to conduct meaningful board meetings and produce board papers and meeting minutes quickly; and
- how to set the FAP on a path of growth and success.

	Course length: 14 weeks
	Delivery method: 2 day classroom workshop + online learning
	Locations: Auckland, Christchurch
	Fees: - \$2,350 plus GST or - \$2,100 plus GST <i>(If enrolled and fees paid at least 30 days prior to course commencing)</i>
	NZQA Credits & CPD hours: 10 credits at Level 6, 30 CPD hours

Entry and selection criteria



There are multiple ways you can demonstrate you meet the above entry requirements. Our friendly team will guide and assist you in completing your enrolment.

*Equivalent to NCEA Level 1

What will you receive?

... Great learning outcomes ...

... Electronic and printed course manual ...

... Provision of templates and guidance notes that can be used within your business ...

... 'The book': A notebook for recording your profitable ideas and advice ...

... Pre-course and post-course assignments- these are practical tasks which you need to do as part of your licence requirements ...

... Two days of classroom training and interaction ...

... Radar login for 12 months (this is the Strategi Institute online education platform) ...

... Exposure to software solutions to aid the business ...

... Issue of Strategi Institute certificate for course completion ...

... Morning and afternoon teas ...

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Supported by:



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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