PROFESSIONAL EDUCATION PROVIDERS TO THE NZ FINANCIAL SERVICES INDUSTRY SINCE 1987

Adviser Support Services

Product Description

Support services to assist advisers **comply with industry best practice**

Adviser Support Services

AdviserLink has established its adviser support services division, to assist individual advisers grow and develop their business to achieve industry best practice.

Adviser support services works with financial advisers to review their current practices to help them improve the efficiency of their advice and business processes, compliance and profitability.

This is achieved through AdviserLink's three adviser support services:

- Paraplanning Support;
- Best Practice Reviews; and
- Quality Certification.

1. Paraplanning Support

AdviserLink's Paraplanning Support Service helps advisers spend more time with their clients by outsourcing the back-office functions, including:

1. Setting-up templates documents to help you get up and running quickly;
2. Maintaining a library of templates that AdviserLink will keep up to date as industry standards change and develop; and
3. Writing plans on an overflow or full-time contract basis.

All you need to do is provide us with a completed Fact Find, supporting documents, strategy description, Client Service agreement and Quotes. We will then prepare a statement of advice or discussion/strategy paper in the agreed time.

2. Best Practice Review

We offer advisers a practice review/compliance audit service to help them better align their advice and business processes with the background requirements of Legislation, Professional Body Practice Standards, General "Best Practice" Principles, Civil Law (such as negligence and prudent person issues) and adviser or dealer group points of distinction.

AdviserLink helps you improve the quality & efficiency of your practice by:

1. Auditing a sample of your client files on a regular basis (e.g. 6 monthly);
2. Reviewing your current processes; and
3. Preparing a Best Practice Review Report that you can use to identify the action you need to take to improve your compliance.

This service has been derived from a model offered in Australia by a provider of Licensee and Authorised Representative audits as required by ASIC under the licensing regime for financial advisers.

3. Quality Certification

AdviserLink will help adviser practices develop and document a financial services quality management system, conduct second party internal audits and to prepare for a third party certification audit to the international ISO standard.

The three step AdviserLink process to help you achieve internationally recognised ISO certification, includes

1. Document quality management system
2. Conduct Internal Audit
3. Achieve ISO Certification

This provides a duel benefit of not only having verified best practice, but being able to include the ISO mark on all marketing material, including business cards, letter heads, Disclosure Statements, website and Statements of Advice.

To arrange a demonstration, please call AdviserLink on 0800 932 567 or email us at training@adviserlink.co.nz

Phone
NZ : 0800 932 567
Int : +64 4 471 1975

Email
training@adviserlink.co.nz

Web
www.adviserlink.co.nz

Fax
NZ : 04 471 1016
Int : +64 4 471 1016

Copyright © 2008 Adviserlink Limited

PROFESSIONAL EDUCATION PROVIDERS TO
THE NZ FINANCIAL SERVICES INDUSTRY SINCE 1987

Adviser Support Services
Service Request Form

Complete the adviser support services request form and **fax back to 04 711 016**

1. Contact details

Title: ☐ Mr ☐ Mrs ☐ Ms ☐ Miss Fax: ____________

Surname: ____________ Given Names: ____________

Dealer Name: ____________ Adviser Number: ____________

Company Name____________

Address: ____________

Phone (w): ____________ Mobile: ____________ Postcode: ______

Email: ____________

Company: ____________ Position/Role: ____________

Qualifications: ☐ Undergraduate ____________ ☐ Postgraduate ____________ ☐ N/A

2. Please indicate years of financial services industry experience

Over the last five years: New entrant ☐ 0-1 years ☐ 1-5 years ☐ 5-10 years ☐ 10 + years ☐

3. Paraplanning Support (GST inclusive)

	Fee
☐ Limited plan (insurance only)	$220
☐ Limited plan (insurance & retirement only)	$320
☐ Full statement of advice	$490
☐ Complex statement of advice	$490 + $80/hr
☐ Discussion/Strategy paper	$80/hr

4. Best Practice Reviews (GST inclusive)

☐ Client files compliance audit (per adviser)	$195
☐ Best Practice Review Report	$995

5. Quality Certification (excludes third party certification audit fees, GST inclusive)

☐ 1-5 Advisers	$2,500
☐ 6-10 Advisers	$4,900
☐ 10+ Advisers (fee for quotation)	$350

6. Discount

☐ Credit Card Payment (payment received in full at time of booking) ☐ 5% $__________

7. Payment

Total $

☐ Please debit my: ☐ Visa ☐ MasterCard

No.: ☐☐☐☐ ☐☐☐☐ ☐☐☐☐ ☐☐☐☐

Card Holder's Name: (please print) ____________ Expiry:_____/_____

Card Holder's Signature: ____________

☐ A bank transfer has been made to "AdviserLink" BSB: 02 050 07 Account: 64592 02; or

☐ My cheque payable to "AdviserLink" is enclosed.

8. When complete:

Please fax with credit card details to AdviserLink on 4 711 016 or
Mail with a cheque to AdviserLink, PO Box 1056. Wellington New Zealand 6140

Phone
NZ : 0800 932 567
Int : +64 4 471 1975

Email
training@adviserlink.co.nz

Web
www.adviserlink.co.nz

Fax
NZ : 04 471 1016
Int : +64 4 471 1016

New Zealand Financial Services training course from…

Copyright © 2008 Adviserlink Limited

PTE # 8496