

Advice Process II: The Fact Find Consultation

Purpose: This course is a compulsory element of the Certificate in Financial Services and is for people who need to learn how to conduct effective fact find meetings and consultations with their clients and how to apply this stage of the six-step advice process.

Course content:

- » The six-step advice process
- » Client welcome and introduction
- » Rapport building
- » Disclosure of business and regulatory details
- » Stages of advice process and role of the adviser
- » Client expectations
- » Managing the Fact Find consultation
- » The referral process
- » Summarising and recording
- » Gaining commitment to proceed
- » Closing the meeting

Learning outcomes:

On successful completion of this course, learners will be able to:

- » conduct a successful fact find meeting with a client
- » establish and maintain rapport with clients
- » apply effective communication techniques in a meeting
- » explain the financial advice process and services to the client
- » obtain relevant information on clients existing financial and personal situation
- » evaluate clients objectives, needs and financial situation
- » demonstrate an awareness of the client's situation
- » determine client expectations and requirements with respect to financial advice
- » prepare and update necessary documentation
- » make effective disclosure of business and regulatory matters
- » summarise, record and manage client information

This course is approved by the New Zealand Qualifications Authority under the provisions of the Education Act 1989, and Adviserlink Learning Ltd is accredited to teach it.

Delivery methods:

This course is designed to be delivered through a combination of individual study and in a classroom/workshop format led by an experienced facilitator. This course is not available through the Adviserlink distance learning programme.

Assessment:

Assessment for Classroom option:

Assessment	% of Overall Assessment
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Video Assessment skills practice -observed skills checklists. Videos are externally moderated	100%
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Pre requisite/s:

Open entry, however, learners must have successfully achieved competence in the learning outcomes and competency elements contained in or equivalent to Advice Process I.

Dates of course/s:

Please refer to the course calendar on our website www.adviserlink.co.nz for the date/s and location of our classroom options.

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