Level 4 Financial Adviser Journey

skills edge

Chartered Insurance Institute | Aspire Apprenticeships

R0 Online workshop delivered by our CII Approved Trainer

Initial Assessment
Enrolment
Induction
Training Plan

My World Matters:
British Values | PREVENT | Equality & Diversity | Safeguarding | E-Safety
Transgender Awareness | FGM | Employment | Positive Mental Health

Months → 0 · R01 · R01 · 1 · R01 · R01 · 2 · R01 · R01 · 3 · R01 · R01 · Progress Review R01 Exam · R02 · R02 · 5 · R02 · R02 · 6 · R02 · R02 · 7 · R02 · R02 · Progress Review R02 Exam · R03 · R03 · 9 · R03 · R03 · 10 · R03 · R03 · 11 · R03 · R03 · Progress Review R03 Exam · R04 · R04 · 13 · R04 · R04 · 14 · R04 · R04 · 15 · R04 · R04 · Progress Review R04 Exam · R05 · R05 · 17 · R05 · R05 · 18 · R05 · R05 · 19 · R05 · R05 · Progress Review R05 Exam · 21 · R06 · 22 · 23 · R06 · Progress Review R06 Exam · Gateway · 25 · 26 · Exit Review 27

The Role of a Financial Adviser
Overview of the Role | Success factors

Financial Services Market
Financial Services Impact & Future | UK Economy | Post-EU & AI | Trainee to Chartered Advisor Path.

Regulatory & Legislation
Consumer Duty Rules | Tech Impact | Regulatory

Consumer Duty and GDPR
Impacts | Benefits | Challenges | UK Data Protection Compliance

Ethics in Financial Advice
Fiduciary Duty | Conflict Avoidance | Suitability | Professionalism | Privacy | ESG

Maintaining Professional Standards
SM&CR | CPD | Knowledge Expansion | Soft Skills | Reflective Statements | Commercial Awareness

Systems & Controls
Financial Planning Policies & Procedures
Client Protection | Professional Indemnity Insurance | Data Protection

The Financial Advice Process
End-to-End Financial Advice Process

Understanding Clients Needs & Objectives
Case Studies | Product Evidence

Evidencing a Client's Personal and Financial Circumstances
Client Interaction | Effective Communication

Establishing and Explaining Attitude to Risk
Assessing Client Risk

Products - Retirement Planning Pension Decumulation
Pension Decumulation Strategies

Products - Savings and Investments
Motivations | Government Initiatives | Lifecycle | Products | Planning Tools|

Products - Retirement Planning Pension Accumulation
Pension Planning Challenges

Products - Protection Planning
Importance | Client Perceptions | Industry Trends | Trusts

Analysing Client's Needs and Preparing Recommendations
Analysing Needs | Crafting Suitable Recommendations

Presenting Solutions
Objectives | Documentation| Clear Communication | Handling Concerns

Adapting to Changing Circumstances
Impact of Events

Customer Service and Relationship Management
Service vs. Relationship Management

Communicating Effectively and Team Working
Communication & Teamwork Models

Final Portfolio Build
Start

Business Orientation and Planning
Financial Planning Trends

Business Development
Professional Connections Strategy

Case Study
Meeting Techniques | End Point Assessment Preparation

Final Portfolio Build
End

Case Study Test

Viva Interview