

# Financial Adviser

## Level 4

Duration 24-30 months

Funding band £9,000



### What is the background to this programme?

Financial Advisers provide their clients with specialist advice on how to manage their money. They may be employed in large companies such as banks or within small specialist advice businesses. The role involves building long term valued relationships with clients, researching the marketplace and recommending the most appropriate products and services available. Financial Advisers may specialise in particular products, depending on their clients, such as selling employee pension schemes to companies or offering mortgage, pension or investment advice to private clients. Financial Advisers operate in a highly regulated environment and in order to give financial advice, they must have professional qualifications and demonstrate a high degree of integrity, adherence to a code of ethics and be committed to maintaining their professional development and knowledge.

### What are the entry requirements?

Employers will set their own entry requirements. This standard is designed for apprentices with no previous experience, although it could also act as a progression opportunity for those in other roles such as Financial Services Administrator, Mortgage Adviser or Paraplanner. Progression beyond this apprenticeship could be to become a Chartered Financial Planner, Manager or business owner.

Apprentices without level 2 English and maths will need to achieve this level prior to taking the end point assessment.

## What is covered?

- Financial services market
- Regulatory and compliance
- Products and cash flow modelling
- Systems and controls
- Understanding clients' needs and objectives
- Customer service
- Business development
- Managing risk
- Using systems and processes
- Communication skills

## What qualification is achieved?

It is a Financial Conduct Authority (FCA) requirement that in order to have a licence to practise, a financial adviser must pass an FCA-approved Level 4 qualification as described below. By achieving one of these qualifications during the apprenticeship, professional registration can be achieved by application to the relevant Professional Body, with the recognised status indicated:

- Chartered Insurance Institute: Diploma in Regulated Financial Planning; designation DipPFS
- The London Institute of Banking & Finance: Diploma for Financial Advisers; designation DipFA
- Chartered Institute for Securities and Investment: Investment Advice Diploma; designation ACSI

## Apply to start or ask for more information

Our team are here to help.

The quickest route is to email [learning@davies-group.com](mailto:learning@davies-group.com)

We look forward to chatting to you soon!



*"I was really impressed with the amount of resources and expertise that were available from Davies Learning Solutions. Everything I needed was provided, the environment was so supportive, and I never felt like I had to do anything on my own"*

– Ciara Octigan, Apprentice