



Accredited Africa Training Institute for Capacity Development

Unit FO409, Hatfield Plaza · 1122 Burnett St, Hatfield 0028 · Pretoria, Gauteng · South Africa

Tel: +27 12 004 8389 · Mobile: +27 65 077 6310

Email: apply@aaticd.co.za · Website: www.aaticd.co.za

COURSE BROCHURE

Building An Effective Financial Advice Environment Training

Business, Commerce and Management Studies / Generic Management

Unit Standard 115819 · NQF Level 5 · 5 Credits · 2 Days

COURSE OVERVIEW

This course equips financial advisors and related professionals with the knowledge and skills to create and maintain an effective financial advice environment. It covers regulatory requirements, ethical practices, and operational frameworks essential for delivering compliant and client-centric financial advice.

Category	Business, Commerce and Management Studies
Subfield	Generic Management
Unit Standard	115819
Accreditation	SAQA Accredited · NQF Level 5 · 5 Credits
Duration	2 days
Training Method	Online, On-Campus, In-House
Certificate	Issued via AATICD LMS – verifiable online

LEARNING OUTCOMES

- Apply the regulatory framework governing financial advice environments, including the Financial Advisory and Intermediary Services Act.
- Analyze the components of an effective financial advice environment to identify gaps and improvement areas.
- Evaluate client needs and risk profiles to recommend suitable financial products and services.
- Design processes and procedures that ensure compliance, ethical conduct, and client protection.
- Implement record-keeping and reporting systems that meet regulatory and professional standards.
- Demonstrate effective communication and interpersonal skills when interacting with clients and stakeholders.

WHO SHOULD ATTEND

- Financial advisors, paraplanners, compliance officers, and branch managers in the financial services industry who are responsible for establishing or improving the financial advice environment within their organizations.

COURSE OUTLINE

Day 1: Foundational Principles of an Effective Financial Advice Environment

- Overview of the financial services regulatory landscape in South Africa.
- The FAIS Act: fit and proper requirements, code of conduct, and enforcement.
- Treating Customers Fairly (TCF) outcomes and their integration into daily practice.
- Ethical decision-making frameworks for financial advisors.
- Client needs analysis: gathering accurate information and assessing risk profiles.
- Documentation and record-keeping standards for compliance and transparency.
- Introduction to suitability and appropriateness of financial products.
- Case studies on regulatory breaches and lessons learned.

Day 2: Practical Implementation and Continuous Improvement

- The advice process: from initial contact to implementation and review.
- Risk management and disclosure requirements in advice provision.
- Using technology and software to enhance compliance and client engagement.
- Handling conflicts of interest: identification, disclosure, and mitigation.
- Continuous professional development (CPD) and staying updated with regulatory changes.
- Building a culture of feedback and improvement within the advisory practice.
- Practical workshop: designing a client advice file that meets all regulatory standards.
- Action planning: integrating TCF and FAIS principles into your business operations.

ASSESSMENT & CERTIFICATION

Delegates are assessed through exercises and a final test. A mark of **50% or above** earns an **AATICD Certificate of Completion**, issued digitally with a unique verification code. This course carries **5 NQF credits** at **NQF Level 5**.

PRICING (PER DELEGATE, EX-VAT)

Delegates	Training Method	Price per Delegate	Total
1	Online	R 16,200.00	R 16,200.00
1	In-House	R 21,000.00	R 21,000.00
1	On-Campus (Pretoria)	R 24,300.00	R 24,300.00

UPCOMING SESSIONS

Start	End	Method	Venue
10 Aug 2026	11 Aug 2026	On-Campus	Durban, South Africa
10 Aug 2026	11 Aug 2026	On-Campus	Pretoria, South Africa
10 Aug 2026	11 Aug 2026	On-Campus	Cape Town, South Africa
12 Aug 2026	13 Aug 2026	On-Campus	Abu Dhabi, UAE
12 Aug 2026	13 Aug 2026	On-Campus	Dubai, UAE
12 Aug 2026	13 Aug 2026	On-Campus	Mauritius
18 Aug 2026	19 Aug 2026	On-Campus	Pretoria, South Africa
18 Aug 2026	19 Aug 2026	On-Campus	Durban, South Africa

Contact us if no suitable date is listed – on-demand sessions can be arranged for groups.

HOW TO GET A QUOTE OR APPLY

1. **Get an instant quotation online:** visit www.aaticd.co.za, open the page for this course (Unit Standard 115819) and click **Get A Quote / Apply**. Select your training method and number of delegates – your quotation is generated immediately and emailed to you with the course brochure attached.
2. **Apply by email:** send the course title, your preferred training method (Online, In-House or On-Campus Pretoria), the number of delegates and your preferred dates to apply@aaticd.co.za – our team will reply with a formal quotation.
3. **Apply by phone or WhatsApp:** call +27 12 004 8389 or WhatsApp +27 65 077 6310 and we will prepare your quotation and reserve your seats.
4. **Confirm your booking:** accept the quotation and settle the invoice. As soon as payment is confirmed your delegates are enrolled and receive their AATICD LMS login details by email, along with joining instructions for their chosen training method.

Group discounts apply automatically – the more delegates you enrol, the lower the price per delegate. No payment is required to request a quotation.

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