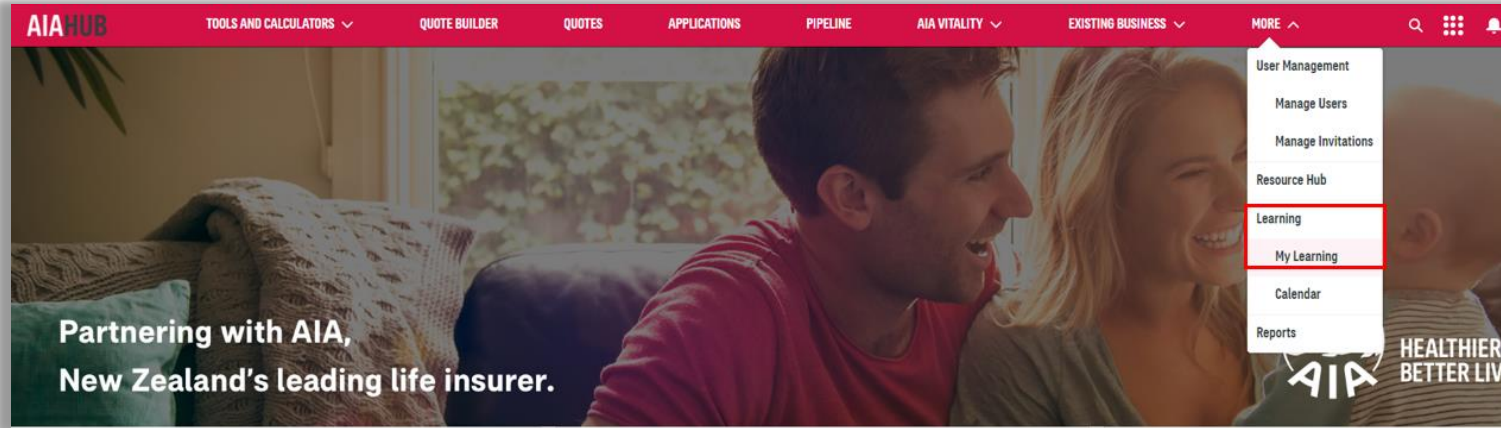


Financial Advice Code Competency Documentation Evidence Upload

e.g., Level 5 certificate core and specialist strands, Bridging Papers, AFA evidence or alternative

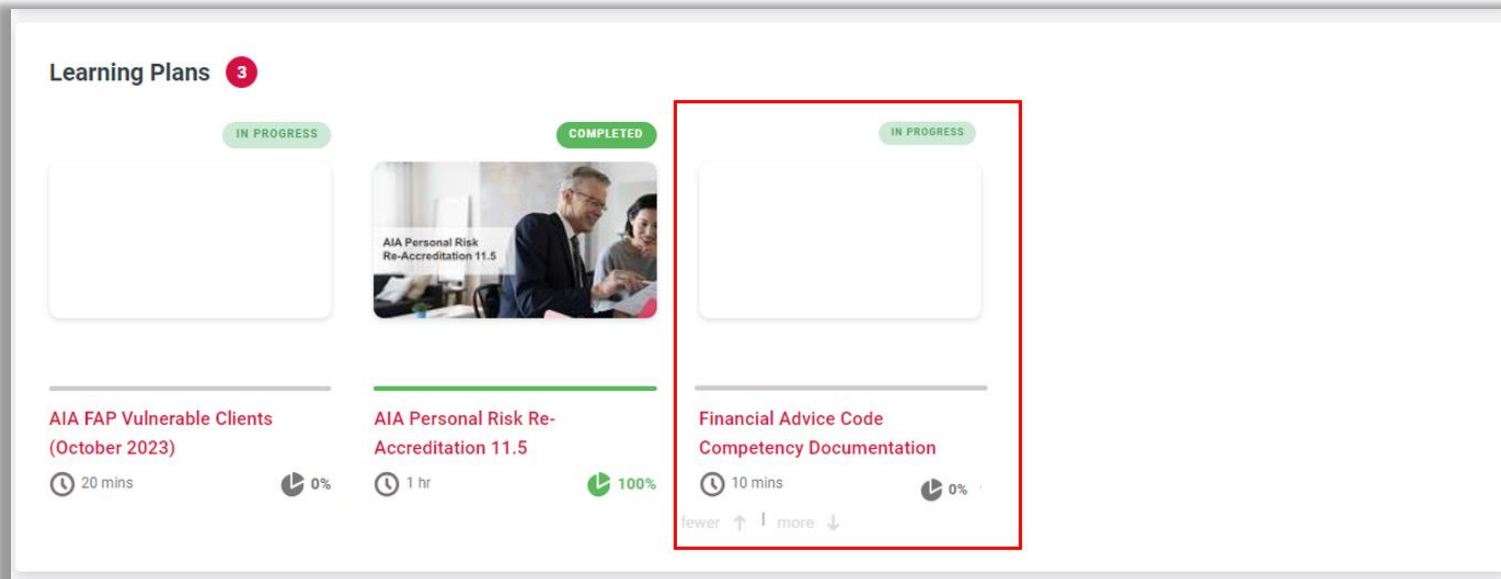


We require evidence to be uploaded to ensure all AIA advisers are compliant with the Code of Professional Conduct Act for Financial Service Advisers.

Your onboarding **cannot proceed** until AIA have evidence that you are meeting the standards and have the relevant strands for the products you wish to distribute.

To upload competency evidence, follow the below instructions:

1. Once you log in to AIAHub please click on **My Learning**. Note: If you are on a laptop this may show under **More**
2. Click on the learning plan called **Financial Advice Code Competency Documentation**.
3. This will now take you into the next screen that will show you the tasks you can upload against.



Financial Advice Code Competency Documentation Evidence Upload

Financial Advice Code Competency Documentation

Status: Completed 100% Due Date: 20/12/2023 Duration: 10 mins

Activities Feedback Materials

Plan activities

Strand	Status	Duration
Core Strands	100%	3 mins
Specialist Strands	100%	5 mins
IFA - Life, Disability and Health Insurance	0%	2 mins

Launch

1. Please click on the down arrow to expand the sections.
2. Click on **Launch** next to the strand you would like to upload evidence for.
3. Click on **Upload Media** & upload the evidence you have completed. Add comments as needed.
4. Click **Submit** to complete this and send it to our admin team for verification.

Note:

- If you have a single official completion certificate which includes core and specialist strands, please upload this to the Core Strands version you have completed. You only need to upload this to one strand, and we will tidy the rest for you.
- Only upload to the strands that are relevant to you. For example, if you are only distributing Home Loans then you **do not** need to upload the Life, Disability & Health certificate.
- If you have completion letters and or completion screenshots, please upload them to the relevant strand.
- If you only have evidence of specialist strands, we will also require evidence of core being completed.

Plan activities

Strand	Status	Duration
Core Strands*	0%	15 mins
Specialist Strands*	0%	15 mins
Certified Financial Planner	0%	10 mins

Back to Learning Plan Next

IFA - National or New Zealand Certificate in Financial Services Version 1

Please upload evidence of completing your National Certificate or New Zealand Certificate in Financial Services Version 1

How do I upload evidence of completion?

- You will receive a certificate upon successful completion of the assessment.
- Once you have received the certificate please save it as a PDF to your computer.
- In AIAHub use the **Upload Media** button to upload your evidence in AIAHub.

Upload Media

Comments

Submit

How to acquire evidence?

Open Polytechnic	Strategi	Massey University	NZQA
<ul style="list-style-type: none">Advisers can log into My Open Polytechnic and take a PDF of their Academic Transcript and provide this to us as evidence. (has to show their name)	<ul style="list-style-type: none">Advisers can log into Radar Online and take a PDF of their Academic Transcript and provide this to us as evidence. (has to show their name)	<ul style="list-style-type: none">Advisers can log Massey's online portal and get an unofficial transcript downloaded which shows this. AIA has to evidence that both Core & Specialist strands are completed.	<ul style="list-style-type: none">Advisers can get a digital or paper copy of their Record of Achievement in the MyNZQA learner portal. This will have all the information of the unit standards they have completed.https://www2.nzqa.govt.nz/qualifications-and-standards/access-your-results/new-zealand-record-of-achievement/

Acceptable Evidence Examples

Strategi Residential Lending Strand confirmation letter

Congratulations on successfully completing the **Residential Property Lending Strand** course, part of the New Zealand Certificate in Financial Services (Level 5):

Your passing of the following unit standards have been recorded with the New Zealand Qualifications Authority:

- 28383: Demonstrate understanding of regulatory and organisational requirements and residential property lending concepts
- 28384: Understand residential property lending products and the needs they meet
- 28385: Understand the residential property market and the impact on residential property lending
- 28386: Develop financial solutions to meet the needs of residential property borrowers and apply a loan application process

To meet the requirements for the New Zealand Certificate in Financial Services*, you now need only complete one more course, Core Strand. Core Strand can be studied online, or through a two-day classroom course, and is assessed via 3 assignments.

Open Polytechnic Core and Life, Disability and Health Insurance Strand

NZQF
NEW ZEALAND QUALIFICATIONS FRAMEWORK
TE PUKENGA

Open Polytechnic
KURATINI TUWHERA

Te Pūkenga

Under Subpart 2 of Part 5 of the Education and Training Act 2020,
New Zealand Certificate
in
Financial Services
Life, Disability and Health Insurance
(Level 5)
NZQF: 2315
This is to certify that on 9 March 2023

has met the requirements of the programme leading to the above qualification and was awarded this qualification by Te Pūkenga – New Zealand Institute of Skills and Technology.

[Signature]
Chief Executive, Te Pūkenga

Open Polytechnic
KURATINI TUWHERA

Issued: 13 March 2023

Academic Transcript (Open Poly)

Academic Transcript

Student Number: [Redacted]
NSN: [Redacted]

NC1476 National Certificate in Financial Services (Financial Advice) (Level 5)

Year	Course	Description	Grade	Result	Level	Credits
2016	US25648	Demonstrate Understanding of Investment Concepts used by Financial Advisers	Competent	Pass	5	10
2017	US26360	Demonstrate Understanding of the Legislative Framework for Financial Advisers	Competent	Pass	5	5
2017	US25649	Apply Principles of Investment Advice	Competent	Pass	5	7

G9999 Community, Continuing, and General Education

Year	Course	Description	Grade	Result	Level	Credits
2020	FSCE19	New Zealand's Financial Advice Regime	Pass	Pass	5	3

NZ2315 New Zealand Certificate in Financial Services (Level 5) [Version 2]

Year	Course	Description	Grade	Result	Level	Credits
2021	FSC524	Life, Disability and Health Insurance	Pass	Pass	5	30

This is the true academic transcript of this student as at [Redacted]

Academic Transcript (NZQA)

skills.
Grow by growing others

Candidate Training Record of Learning

ITO No: [Redacted]

Postal Address: [Redacted]

Mobile: [Redacted] NZQA ID: [Redacted]

Email: [Redacted] Date of Birth: [Redacted]

Employment Details

Sovereign: [Redacted] Company No: [Redacted]

Postal Address: [Redacted]

Phone: [Redacted]

Programme Enrolments

Enrolment	Months	Status	Start Date	End Date
2142 - Standard Set D: Investment specialist standards v1	12	Active	29 Oct 2010	
2146 - FS Candidate_NC in Financial Services [Financial Advice] Investment Advice Strand	12	Active	29 Oct 2010	
2150 - Core Compulsory v1 - Financial Services Level 5 v1	12	Active	29 Oct 2010	
2151 - Financial Advice Strand v1 - Financial Services Level 5 v1	12	Active	29 Oct 2010	
2152 - Investment Strand v1 - Financial Services Level 5 v1	12	Active	29 Oct 2010	
2153 - Life and Health Insurance Strand v1 - Financial Services level 5 v1	12	Active	29 Oct 2010	
2154 - General Insurance Strand v1 - Financial Services Level 5 v1	12	Active	29 Oct 2010	
2155 - Residential Property Lending Strand v1 - Financial Services Level 5 v1	12	Active	29 Oct 2010	

FMA certificate for Authorised Financial Adviser

FINANCIAL MARKETS AUTHORITY
TE MAMA TATAI HOKIOHIOKI - NEW ZEALAND

CERTIFICATE OF AUTHORISATION

THIS IS TO CERTIFY THAT [Redacted]

IS AN AUTHORISED FINANCIAL ADVISER (AFA)

authorised under section 55 of Financial Advisers Act 2008 to provide financial advice, discretionary investment management services and investment planning services.

This adviser is bound by the Code of Conduct for Authorised Financial Advisers and the terms and conditions issued by the Financial Markets Authority.

Authorisation issued on: [Redacted] | Authorisation expires on: [Redacted] | Financial Services Provider Register: [Redacted]

[Signature]
SIMON ALLEN
CHAIRMAN

Strategi Closing the Gaps Bridging Strand

Strategi

This is to certify that:

has successfully satisfied all requirements of the Strategi Institute continuing professional development course

Closing the Gaps 2021

[Signature]
Daniel Bell
Chief Executive Officer

Date completed: [Redacted]
CPD hours: 6

WHEN YOU CAN
GROW FROM

