

FINANCIAL ADVISER ASSESSMENT CHECKLIST



Standard Sets	Unit Standards	Relief/ exemption	Self- evaluation	Training/ refresher	Ready for assessment	Action
A Core Industry Knowledge	24755: Knowledge of the industry and apply professional practice	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training Book assessment: <input type="checkbox"/> training provider <input type="checkbox"/> ETITO
	25642: Knowledge of economic environment and financial markets					
	25643: Knowledge of stages of financial advice and the products used by financial advisers					
B Knowledge of the Code and consumer protection laws	26360: Knowledge of the code and legislative framework for financial advisers			<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training <input type="checkbox"/> Book examination [ETITO]
C Professional Practice	25650: Relating to client relationships and gathering information	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training Book assessment: <input type="checkbox"/> DAO <input type="checkbox"/> ETITO
	25651: Relating to the development and presentation of recommendations					
	25652: Relating to the implementation and review processes					
	25653: Apply requirements of regulations, professional practice standards, and operational guidelines as a financial adviser					
D Investment	25648: Knowledge of investment concepts	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training Book assessment: <input type="checkbox"/> training provider <input type="checkbox"/> ETITO
	25649: Apply principles of investment advice					
E Insurance	25644: Knowledge of insurance structures, principles, products; and risk principles And at least one of the following:	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training Book assessment: <input type="checkbox"/> training provider <input type="checkbox"/> ETITO
	25645: Knowledge of the life insurance market and life insurance advice					
	25646: Knowledge of the health insurance market and health insurance advice					
	25647: Knowledge of the fire and general insurance market and fire and general insurance advice					
E Residential Property Lending	26286: Knowledge of the mortgage industry, lending principles, home loan products and apply the application process	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Undergo training Book assessment: <input type="checkbox"/> training provider <input type="checkbox"/> ETITO
	26287: Knowledge of the residential property market and residential property lending advice					