CPD catalogue

Areas of interest

1. AML/CFT - Reports
2. AML/CFT - Tips
3. FMCA - Rules and tools
4. CCCFA – Rules and tools

5. Insurance - General
6. Insurance - Life, disability, and health
7. Investing - Portfolio management
8. Investing - Products
9. Investing - Retirement
10. Investing - Risk profiling
11. Lending - Personal
12. Lending - Residential property

13. Compliance and governance
14. Growing your business
15. Running your business
16. Soft skills
17. Industry insights

CPD training modules

The modules below are not an exhaustive list. New modules are being constantly developed. Check Radar for the latest catalogue.

1. AML/CFT – Reports

COURSE NAME	CPD HRS
• REPORT - FIU: Suspicious activity report - June 2023	0.5
• REPORT - FIU: Suspicious activity report Oct/Nov 2022	0.5
• REPORT - The Suspicious Activity Report - March 2021	0.5
• RISK ASSESSMENT - Audit Guideline for risk assessment and AML/CFT programme - October 2019	0.5
• RISK ASSESSMENT - Designated Non-Financial Businesses and Professions (DNFBPs) and Casinos Sector Risk Assessment - December 2019	1.5
• RISK ASSESSMENT - FMA: AML/CFT Sector Risk Assessment 2021	1
• RISK ASSESSMENT - National Risk Assessment of Money Laundering and Terrorism Financing (NRA) 2019	1.5

2. AML/CFT – Tips

COURSE NAME	CPD HRS
• GUIDANCE NOTE - Amendments to AML/CFT regulations - July 2021	0.5
• GUIDANCE NOTE - AML/CFT new regulations - June 2024	1
• GUIDANCE NOTE - AML/CFT regulators: Amended Identity Verification Code of Practice 2013	1
• GUIDANCE NOTE - AML/CFT regulators: Enhanced customer due diligence guideline	0.5
• GUIDANCE NOTE - AML/CFT Supervisory Framework	0.75
• GUIDANCE NOTE - Beneficial ownership guideline	0.5
• GUIDANCE NOTE - Changes to AML/CFT Act regulations - July 2023	0.4
• GUIDANCE NOTE - Customer due diligence for companies	0.25
• GUIDANCE NOTE - DIA: VASPs - complying with the AML/CFT Act	0.5
• GUIDANCE NOTE - Expired passports as identification for customer due diligence	0.5
• GUIDANCE NOTE - FMA and DIA: Outsourcing your CDD requirements	0.25
• GUIDANCE NOTE - How to register a reporting entity on the goAML website	0.25
• OVERVIEW - AML/CFT Suspicious Activity Reporting requirements	1
• OVERVIEW - AML/CFT training for compliance officers	1.5
• OVERVIEW - Developing an AML/CFT programme for accountants	0.5
• OVERVIEW - DIA: Approach to regulation of anti-money laundering and countering financing of terrorism	0.5
• OVERVIEW - Embracing AML/CFT digitisation	0.5
• OVERVIEW - Introduction to AML/CFT for staff in a law firm	1
• REFRESHER - AML/CFT Act 2009: Annual refresher for advisers	0.5
• REFRESHER - AML/CFT Act 2009: Annual refresher for lawyers	0.5
• REFRESHER - AML/CFT Act 2009: Annual refresher for lenders	0.5
• REFRESHER - AML/CFT Act 2009: Annual refresher for real estate agents	0.5

3. FMCA - Rules and tools

COURSE NAME	CPD HRS
• CONDUCT - A guide to the FMA's view of conduct	0.75
• CONDUCT - Code of Professional Conduct for Financial Advice Services	0.5
• CONDUCT - FMA: Insurance conduct and culture - fire and general insurers update	0.5
• FAP OBLIGATIONS - FMA: Climate related disclosures regime - implementation approach	0.25
• FAP OBLIGATIONS - FMA: Meeting the standards of competence, knowledge, and skill	1
• FAP OBLIGATIONS – FMA: Monitoring of licensed FAPs	0.25
• FAP OBLIGATIONS - FMA: Record keeping for Financial Advice Providers	0.75
• FAP OBLIGATIONS - Guidance note: New disclosure requirements for FAPs	0.5
• FINANCIAL ADVICE - FMA: Advertising offers of financial products under the FMC Act 2013	1
• FINANCIAL ADVICE - FMA: Reasonable grounds for financial advice about financial products	0.4
• FINANCIAL ADVICE - Guidance Note: What does compliant financial advice really look like	0.5
• FINANCIAL ADVICE - The new financial advice regime	0.5
• OVERVIEW - FMA: Approach to oversight of financial statements	0.4
• TOOLS - Competence, knowledge, and skill in the new FAP regime	0.5
• TOOLS - FSC: Financial advice law - a guide for Financial Advisers	0.7
• TOOLS - FSC: Locum financial advice arrangements - a guide for financial advice providers	0.75
• TOOLS - Guidance Note: A guide to surveys and why they are so important in the financial services sector	0.5
• TOOLS - Guidance Note: the advice process during COVID-19	0.5
• TOOLS - The six-step advice process	0.5
• TOOLS - Wholesale clients and eligible investors	0.75

• VULNERABILITIES - Better outcomes for vulnerable clients	1
• VULNERABILITIES - Guidance Note: Handling vulnerable clients fairly	0.75
• VULNERABILITIES - Whitepaper: Vulnerable clients	0.75
• WHITE PAPER - FAP licensing - a hurdle or an opportunity? (Webinar)	0.5

4. CCCFA – Rules and tools

COURSE NAME	CPD HRS
• GUIDANCE NOTE - Changes to the Responsible Lending Code- July 2024	1
• GUIDANCE NOTE: Credit Contracts and Consumer Finance Act changes - December 2021 to July 2022 a guide for frontline staff	0.5

5. Insurance - General

COURSE NAME	CPD HRS
• Marine insurance challenges in the era of fourth generation modular construction	0.5
• Changing the traditional insurance paradigm - the new role of the adviser	0.25
• Apathy to action	0.5

6. Insurance - Life, disability, and health

COURSE NAME	CPD HRS
• Changing the traditional insurance paradigm - the new role of the adviser	0.5
• Apathy to action	0.5
• TOOLS - FSC: Money and you - taking cover	0.75

7. Investing - Portfolio management

COURSE NAME	CPD HRS
• OVERVIEW - The risk report 2022	0.4
• TOOLS - A beginner's guide to exotic options	1
• TOOLS - A three box approach to building debt portfolios	0.4
• TOOLS - Bring the benefits of alternative investments to client portfolios	0.75
• TOOLS - Client cash flow - automatic budgeting	0.5
• TOOLS - Does active share equal good performance?	0.5
• TOOLS - Financial planning for same sex couples	0.25
• TOOLS - FMA: Ethical investing explained	0.25
• TOOLS - How to build a portfolio	0.75
• TOOLS - Integrated tail risk hedging: The last line of defence in investment risk management	0.5
• TOOLS - NZ Stewardship Code for responsible investment	0.5
• TOOLS - Putting a value on your value: Quantifying Vanguard Adviser's Alpha	0.75
• TOOLS - Six behavioural biases of fund investing	0.25
• TOOLS - The emergence of fee-based planning: Reassess how you serve your clients	0.4
• TOOLS - Using dividend growth stocks to pursue financial goals	0.6
• WHITE PAPER - A critique of Grantham and Gordon: The prospects for long-term growth	0.4
• WHITE PAPER - A look back at the performance of the holy grail	0.5
• WHITE PAPER - A look from the outside in	0.5

• WHITE PAPER - Asset allocation - Survival of the fleetest	0.5
• WHITE PAPER - Asset allocation debate: Provocative questions, enduring realities	0.75
• WHITE PAPER - Behind the Euro: history and future	0.25
• WHITE PAPER - Building ETF portfolios	0.5
• WHITE PAPER - Do socially responsible firms walk the talk?	0.75
• WHITE PAPER - Eugene Fama's views on modern financial theory	0.4
• WHITE PAPER - Impact of corporate governance on financing practices of NZ companies	0.25
• WHITE PAPER - Market bubbles and investor psychology	1
• WHITE PAPER - Options for dis-saving 'safely'	0.6
• WHITE PAPER - Responsible investing: The ESG-efficient frontier	0.5
• WHITE PAPER - The value of financial advice in a VUCA world	0.25
• WHITE PAPER - Transforming from ROI-centric planning to return on life planning	0.25
• WHITE PAPER - What is millionaire intelligence?	0.25

8. Investing – Products

COURSE NAME	CPD HRS
• FX - Bifurcation of FX exposure as hedging of P&L results	0.5
• FX - Chart types part 1: Basic charts	0.5
• FX - Crypto-currencies: An introduction to not-so-funny moneys	1.5
• FX - Currency options	0.75
• FX - Currency options pricing	0.75
• FX - Currency options strategies	0.5
• FX - FX hedging: 10 common pitfalls	0.5
• FX - Introduction to currency futures	0.25
• FX - Making cash work harder	0.5
• FX - The stages of a forex trend	0.25
• SECURITIES - Cash and money market securities	1
• SECURITIES - Covered call strategy: Generating passive income from a buy-hold portfolio	0.5
• SECURITIES - Introduction to shares	0.5
• SECURITIES - Understanding the credit ratings system	0.25

9. Investing - Retirement

COURSE NAME	CPD HRS
• TOOLS - Eight core ideas to guide retirement income planning	0.4
• TOOLS - The 9 Keys to a happy retirement	0.25
• TOOLS - Using age banding to estimate spending in retirement	0.5
• WHITE PAPER - An older Australia	0.25
• WHITE PAPER - Baby boomers: the economic miracle of our time	0.5
• WHITE PAPER - Boomers, Herding, Denial and Zeitgeist	0.8
• WHITE PAPER - FMA: Point of retirement research	0.5
• WHITE PAPER - Generation KiwiSaver	0.75
• WHITE PAPER - Great Expectations: Retirement realities for older New Zealanders	0.5
• WHITE PAPER - How much can clients spend in retirement? A test of the two most prominent approaches	0.5
• WHITE PAPER - Retirement risk, rising equity glide paths, and valuation-based asset allocation	0.7
• WHITE PAPER - Study Reveals The #1 Key to a happy retirement	0.25
• WHITE PAPER - The ageing revolution	0.5

• WHITE PAPER - Why clients fail at retirement	0.3

10. Investing - Risk profiling

COURSE NAME	CPD HRS
• RISK ASSESSMENT - FMA: Managed investment schemes Sector Risk Assessment (SRA)	0.5
• TOOLS - Assessing manager risk: Looking beyond the numbers	0.3
• TOOLS - Climate change and prudential regulation: Issues in New Zealand	0.25
• TOOLS - Concentrated equity triple play higher returns, lower risk, lower correlations	0.5
• TOOLS - Does equity risk decrease over time?	0.3
• TOOLS - Evaluating the suitability of investment products, structures, and options in terms of their benefits, risks, and limitations	1
• TOOLS - Hedging currency risk	0.5
• TOOLS - How big is longevity risk?	0.3
• TOOLS - Risk profiling and the foundation of a living financial plan	0.75
• TOOLS - Why risk-profile questionnaires don't work	0.5
• WHITE PAPER - Managing sequencing risk - Buckets v Rebalancing	0.25
• WHITE PAPER - New measures of risk	0.5
• WHITE PAPER - Risk tolerance questions to best determine client portfolio allocation preferences	0.5
• WHITE PAPER - The Great Beta Hoax: Not an accurate measure of risk after all	0.5
• WHITE PAPER - The intertemporal persistence of Risk Tolerance Scores	0.5

11. Lending – Personal

COURSE NAME	CPD HRS
• Cash control and credit cards	0.5
• Consumer Debt - Opportunity or Threat	0.75

12. Lending - Residential property

COURSE NAME	CPD HRS
• GUIDANCE NOTE - Government housing policy changes 2021	0.25

13. Compliance and governance

COURSE NAME	CPD HRS
• GUIDANCE NOTE - FMA: CoFI - Fair conduct programmes (FCP)	0.35
• GUIDANCE NOTE - FMA: DIMS limit breaks under the FMC Act	0.3
• GUIDANCE NOTE - FMA: Understanding the regulation of DIMS	0.75
• PRIVACY - The new information privacy principle 12	0.5
• PRIVACY - The Privacy Act 2020	1
• PRIVACY - Understanding the Privacy Act 2020	1
• REPORT - FMA: Annual Corporate Plan 2022/23	0.75
• REPORT - FMA: Annual report to June 2022	1
• REPORT - FMA: Strategic Risk Outlook 2019	0.75

• REPORT - FMA: Supervision insights report July 2019-June 2020	1
• REPORT - FMA: Thematic review of use of the wholesale investor inclusion	0.5
• REPORT - Governance thematic review	1
• SECURITIES - FMA: Guidance and expectations for keeping proper accounting records	0.5
• TOOLS - Due diligence on, and monitoring performance of, outsourced providers	0.75
• TOOLS - Financial advertising code	0.5
• TOOLS - Guidance Note: Protected Disclosures (Protection of Whistleblowers) Act 2022	0.5
• TOOLS - How to make your trust compliant with the Trusts Act 2019 - A step by step guide	0.5
• TOOLS - Identifying and managing director conflicts of interest	0.5
• TOOLS - The essentials of being a director	0.5
• TOOLS - Three lines of accountability	0.75
• TOOLS - Tips for the correct use of the KiwiSaver word and logo	0.25
• TOOLS - Understanding the role of a compliance assurance programme (CAP)	0.5
• WHITE PAPER - Carrot or stick? Culture as a regulatory approach	0.25
• WHITE PAPER - Ethics in financial planning: Analysis of ombudsman decisions using codes of ethics and fiduciary duty standards	0.75
• WHITE PAPER - Ethics in practice	1
• WHITE PAPER - How does the economy shape the financial advisory profession?	1
• WHITEPAPER - Effective information is the lifeblood of good governance	0.5
• CPD - Financial advice: Continuing professional development - the complete handbook	
• REPORT - FMA: KiwiSaver Annual Report 2022	0.25
• REPORT - FMA: Market operator obligations review NZX	0.5
• REPORT - FMA: Integrated financial products - review of managed fund documentation	0.5
• REPORT - FMA: Value for money industry report	0.5
• TOOLS - Guidance Note: General Data Protection Regulation (GDPR)	0.5

14. Growing your business

COURSE NAME	CPD HRS
• BEST PRACTICE - Client Onboarding - First impressions drive lifetime outcomes	0.4
• BEST PRACTICE - Client segmentation: the secret to wealth management profitability	0.25
• BEST PRACTICE - Convincing prospects: How to discuss risk and goals	0.3
• BEST PRACTICE - McKinsey report: transforming life insurance with design thinking	0.5
• BEST PRACTICE - Morningstar Guide to holistic Financial Planning	0.4
• BEST PRACTICE - Transforming the client experience	0.75
• BEST PRACTICE - Use the funnel to create a strategic marketing plan	0.25
• TOOLS - 10 Ways my closing ratio topped 90%: How our sales process went from dismal to dynamic	0.25
• TOOLS - 2019 Value of an Adviser Report: Help your clients understand the value you deliver	0.5
• TOOLS - 2024 value of an adviser report	0.5
• TOOLS - 7 Investment Lessons from Mum	0.3
• TOOLS - 9 systems every adviser needs in their business to succeed	0.25
• TOOLS - A 7 step plan to transform your practice	0.25
• TOOLS - Applying neuroscience to financial planning practice: A framework and review	1
• TOOLS - Connected investor report: insights into the adviser-investor relationship	0.5
• TOOLS - How lead advisers can help the next generation succeed	0.25
• TOOLS - How to describe what makes your firm different	0.25
• TOOLS - How to increase business profitability by over 50%	0.75
• TOOLS - Improve your practice using longevity analysis	0.25
• TOOLS - Marketing using social media	0.5

• TOOLS - The business benefits of transitioning from commissions to fee-based advisory accounts	0.25
• TOOLS - Value of an adviser 2022	0.5
• WHITE PAPER - 4 Gen Y trends that affect your practice	0.3
• WHITE PAPER - 4 reasons the demand for advice is booming	0.5
• WHITE PAPER - Defining the 'female effect' on advice	0.25
• WHITE PAPER - Extracting value from demographic change	0.75
• WHITE PAPER - Robo-Advice: The poor man's human being ... or is it?	0.3
• WHITE PAPER - Robo-Advisers are not new but they foretell the future of financial advice	0.3
• WHITE PAPER - Robo-Advisors: Client portals and the $30 trillion opportunity	0.5
• WHITE PAPER - Women in insurance: Invest in women. Invest in business	0.5

15. Running your business

COURSE NAME	CPD HRS
• BCP - An introduction to Business Continuity Planning	0.25
• BCP - Business continuity: protecting your business future	0.5
• BCP - COVID-19: a guide to maintaining business resilience	0.5
• BCP - Guidance Note: Business Continuity Planning	0.5
• BCP - Guidance Note: handling flu outbreaks, epidemics, and pandemics	0.5
• BCP - Your Business Continuity Planning guide	0.25
• COMPLAINTS - Best practice complaint handling guide	0.5
• COMPLAINTS - Client complaints	0.5
• COMPLAINTS - Effective complaint handling	0.75
• CYBER SECURITY - CERT NZ - Q4 2022 report	0.4
• CYBER SECURITY - Cyber insurance: the next frontier	0.5
• CYBER SECURITY - Cyber security and why it matters	1
• CYBER SECURITY - FMA information sheet: developing cyber resilience for financial advice providers	0.25
• CYBER SECURITY - FMA: Cyber security and operational systems resilience	0.5
• CYBER SECURITY - How to stop the top 3 cyber attacks	0.4
• CYBER SECURITY - RBNZ: Guidance on cyber resilience	0.75
• CYBER SECURITY - Small business cyber security guide	0.75
• OVERVIEW - Dimensional: 2024 global advisor study	0.3
• PEOPLE MANAGEMENT - A brief outline of common HR issues	1.25
• PEOPLE MANAGEMENT - How to create a culture of continuous improvement	0.25
• PEOPLE MANAGEMENT - Is there a 'right' culture?	0.5
• PEOPLE MANAGEMENT - Management system specification and guidance: Facilitating the creation of management systems without boundaries	2
• PEOPLE MANAGEMENT - Nurturing: One way to succeed at succession	0.25
• PEOPLE MANAGEMENT - Why aren't advisers retiring? Preparing for an end-of-career transition	0.5
• REPORT - Advice 2030: The big shift	1
• REPORT - World wealth report 2022	1
• WFH - Remote working during COVID-19: New Zealand national survey - initial report July 2020	0.25
• WFH - Remote working: Employer challenges and how to overcome them	0.25
• WFH - Working from home before, during, and after the COVID-19 pandemic: implications for workers and organisations	0.5
• WFH - Working remotely: The full guide for New Zealand businesses and employees	0.25

16. Industry insights

COURSE NAME	CPD HRS
• REPORT - Financial resilience trends in NZ	0.4
• REPORT - Global insurance market trends 2014	0.5
• REPORT - Global insurance market trends 2022	0.5
• REPORT – MBIE: The future of business for Aotearoa NZ	1
• REPORT - Mindful Money: Impact report	0.25
• REPORT - RBNZ: Financial Stability Report May 2023	1
• REPORT - RBNZ: Financial Stability Report November 2023	1
• REPORT - RBNZ: Monetary Policy Statement August 2023	1
• REPORT - RBNZ: Monetary Policy Statement May 2023	1
• REPORT - RBNZ: Monetary Policy Statement November 2023	1
• WHITE PAPER - Cleared for take off: Five megatrends that will change financial services	0.5
• WHITE PAPER - Climate risk and the opportunity for real estate	0.5
• WHITE PAPER - Developments in financial market benchmarks	1
• WHITE PAPER - Digital transformation in financial services	0.75
• WHITE PAPER - Financial advice: What consumers really think	1
• WHITE PAPER - Fintech and financial stability	1
• WHITE PAPER - Future firm, future planner	0.5
• WHITE PAPER - Global fintech report	0.75
• WHITE PAPER - How does climate change interact with the financial system?	0.5
• WHITE PAPER - Measuring uncertainty and its impact on the New Zealand economy	0.5
• WHITEPAPER - 2023 Global market outlook	0.35
• WHITE PAPER - Swiss Re sigma research: Turbulence after lift-off - global economic and insurance market outlook 2022/23	0.5
• WHITE PAPER - The value of financial advisers at claim time	0.25

17. Soft skills

COURSE NAME	CPD HRS
• COMMUNCIATION - Getting the best out of meetings	0.25
• COMMUNICATION - 7 steps to facilitate exquisite listening	0.25
• COMMUNICATION - Five writing mistakes that sabotage your investment commentary	0.25
• COMMUNICATION - Harold Evensky's nine key communication points	0.25
• COMMUNICATION - How to tell if you're talking too much	0.25
• COMMUNICATION - Professional writing made simple V5	1
• EMPATHY - Empathy is the essential skill to survive the robo-threat	0.25
• EMPATHY - Helping clients face Alzheimer's disease and Dementia	0.3
• EMPATHY - How to protect and help clients with diminished capacity	0.25
• FINOLOGY - Break the habit?	0.25
• FINOLOGY - Finding the higher purpose	0.5
• FINOLOGY - From functioning to flourishing: applying positive psychology to financial planning	0.75
• FINOLOGY - From irrational to rational: 6 steps to guide clients to productive decisions	0.5
• FINOLOGY - Helping clients make better decisions	0.25
• FINOLOGY - How to incorporate behavioural finance theory into a financial planning practice	0.25
• FINOLOGY - Out of balance: risk, returns and the contradictory views of individual investors	0.5
• FINOLOGY - Picture your prosperity: Create your personal vision	0.75
• FINOLOGY - Policy-based financial planning as decision architecture	0.5
• FINOLOGY - Practical uses of behavioural finance	0.5

COURSE NAME	CPD HRS
• FINOLOGY - Resist the amygdala!	1.25
• FINOLOGY - The psychology of wealth: Psychological factors associated with high income	0.25
• FINOLOGY - The science of helping clients change	0.25
• FINOLOGY - The silent value: Advice for the 21st century	0.5
• MANAGING THE RELATIONSHIP - Becoming a culturally intelligent financial planner	0.25
• MANAGING THE RELATIONSHIP - Couples conundrum	0.6
• MANAGING THE RELATIONSHIP - Discussing fees with clients	0.5
• MANAGING THE RELATIONSHIP - Financial turning points: relationships, marriage, and divorce	0.25
• MANAGING THE RELATIONSHIP - How to psychologically prepare clients for Bear markets	0.25
• MANAGING THE RELATIONSHIP - Stress fracture: how to save your relationship with your client	0.25
• MANAGING THE RELATIONSHIP - Tightwads and Spenders: Predicting financial conflict in couple relationships	0.5
• MANAGING THE RELATIONSHIP - Trust in the client-adviser relationship	0.25
• SELF MANAGEMENT - Doing more with less: time management and productivity	0.75
• SELF MANAGEMENT - Leisure and physical wellbeing	0.25
• SELF MANAGEMENT - The time management hack that can raise revenue	0.25
• SELF MANAGEMENT - Time management for advisers	1
• SELLING - Consistently outperform your competitors	0.25
• SELLING - The art of selling	0.25

Strategi
Institute

17e Corinthian Drive,
Albany, Auckland 0632,
PO Box 301426, Albany,
Auckland 0752, New Zealand
+64 9 414 1300
info@strategi.ac.nz

STRATEGI.CO.NZ