



THE
LEARNING
DEVELOPMENT
GROUP

Introduction

The National Certificate: Wealth Management is a comprehensive qualification for individuals working in a range of roles in the Financial Services industry. It covers Long-term Insurance, Collective Investments, Retirement Funds, Medical Scheme Administration, Short-term Insurance and other areas of Wealth Management and Wealth Creation.

Delegates will also gain broad knowledge on the applicable legislation, economics and the industry as a whole, to ensure they are able to operate ethically and responsibly in this highly regulated environment.

The qualification offers study progression and a career path in Financial Services within Long-term Insurance and Investment.

Target Audience

The programme, as a level 5 qualification, goes into more depth than the level 4 Certificate and is suitable for Intermediaries, Financial Advisors, Personal Financial Planners, Financial Service Call Centre Agents, Brokers, Consultants, Administrators, Trustees and Retail Managers that support Advisors, in primarily the Long-term Insurance and Investment sectors.

It is suitable for entrants into the Financial Services industry and those who have some financial services experience and want a formal and accredited qualification.

It is ideal for those licensing in Long-Term Category A and B.

Entry Requirements

- A senior certificate (NQF Level 4)
- Confidence in communicating and demonstrating communication literacy at NQF level 4.
- Mathematical literacy at NQF level 4.
- A Long-Term Insurance or Wealth Management qualification at a Level 4.
- Those with work experience and learning in the Financial Services and Insurance industry will be considered.

Workplace Requirements

- Access to work activities that cover the practical aspects of the qualification
- Active support and mentorship by a manager or supervisor
- Access to a PC, software and the internet, for course assignments.

Finance & Accounting

NC: Wealth Management

INSETA Certification

SAQA ID: 57608

NQF Level: 5

Credits: 120

Course Delivery & Assessment

We use in-classroom, virtual classroom and blended interactive facilitated training sessions, group discussions, assignments, case studies and self study to embed skills.

You will need to:

- Attend all lectures and sessions.
- Demonstrate theoretical and practical understanding of programme content.
- Participate in and contribute to group discussions, practical work and activities.
- Compile and submit a Portfolio of Evidence (PoE)

To receive the NC: Wealth Management, you will need to compile, submit and be found competent by constituent Assessors, Moderators and Verifiers on a Portfolio of Evidence (PoE).

Learning Outcomes

By the end of the qualification, you will have essential core and fundamental knowledge and skills in Wealth Management and Wealth Creation, such as:

- The key terms, concepts, rules, theories and practices and products and services of Wealth Management.
- Presenting and communicating information effectively.
- Behaving ethically and promoting ethical behaviour in the industry.
- Gathering, analysing and evaluating information, interpreting and presenting data, identifying trends and showing insight into the current circumstances of the industry.
- Applying knowledge of economics, investment practices, tax and other financial information to match a client to the correct financial product.
- Understanding legislation and compliance in the context of the Financial Services sector.



Course Content

NC: Wealth Management

Accreditation Body: INSETA

SAQA ID: 57608 | Learning Programme ID: 66611

NQF Level: 5 | Credits : 120

Module 1: The Financial Services Industry in Context

- Economics and Financial Services
- Behavioural economics, finance and the consumer
- The impact of current affairs on the industry
- The impact of current affairs on business in general
- The changing nature of the sector
- The concepts and principles of risk
- Financial life cycles and decision making for individuals and entities

Module 2: Planning, Tax & Financial Advice

- Financial Risk Assessment
- Analysing the needs and wants of a business or entity to find financial solutions and give financial advice
- Tax considerations in Wealth Management
- Scenario Planning
- Asset classes
- Individual Financial Risk Analysis

Module 3: Financial Services Legislation and Regulation

- The Financial Advisory and Intermediary Services Act (FAIS)
- Money Laundering Legislation
- The impact of Money Laundering legislation on Accountable Institutions
- Disclosure
- Ethics in business and in the Financial Services sector

Module 4: Investment Concepts, Products & Services

- Financial Services Funds and Portfolio Managers
- Medical Schemes
- Long-term Insurance
- Retirement Planning
- Estate Planning
- Retirement Funds



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