

Financial Training Services

Newleaf financial services

Stepping Stones™ to Success



Stepping Stones™

to your own business

This programme has been designed for all those individuals who want to start their own business without having to pay for a franchise.

You will be an appointed representative of a major network after you have completed CeMAP modules 1, 2 and 3 and our Stepping Stones™ programme. We will take you through a 5 stage modular programme at your own pace to enable you to gain the status of independent mortgage broker.

This can of course then lead to our Stepping stones™ to Financial advisor outlined later.

The first three modules are classroom based and cover the topics listed below. This can be conducted one to one or in very small groups. We can even undertake this work in the privacy of your home.

An audit trail of rigorous competency assessments are covered during the training and go forward to make up your own continuous professional development file.



Modules

Module 1 – (1 day) Compliance

The compliance manual.
Review of learning styles.
Corporate outlook.
Overview of the compliant sales process and the underpinning compliance requirements (tested).
Continuous Professional Development files.
Training and competency files
Data security.
Compliant marketing.
Business Planning
Goal Setting.
Selling skills.
Role Play (tested).

Module 2 – (1 day) Protection

Generic Protection module (tested).

Gathering knowledge “know your client”
Establishing Budgets – role play
Handling objections – role play
Prioritisation
Research and product selection – group exercise/role play
Research of protection and GI will be fully trained
Completion of application forms
The submission process
Specific companies – Features and benefits
Specific companies – online training
MCOB rules module (tested).
ICOB rules module (tested).
Money Laundering module (tested).
Business Planning and goal setting.
Sales Training (with particular emphasis on prospecting and closing).

Module 3 – (1 day) Mortgages

Generic Mortgage module (tested).

ID – Money laundering
Status
Credit scoring
Complaints process
Mortgage sales process
Case study module (tested).
Research utilising our research tool .
Second meeting mandatories– role play

(tested).
Specific lender training module .
Introducers and lead generation

- Module 4 – PCA DAY – Independent testing of your first and second meetings

The course culminates in the Professional Competency Assessment (PCA) day. Here the candidates will be tested in a role play scenario on the first and second meeting and all mandatory actions will be tested after close observation.

- Module 5 – Field Training and on-going support

We will attend your fact finding meetings and your second client meetings where we will observe you in action with your clients. We will sign you off as competent advisor once we are confident that you have achieved the required skill set to advise on both mortgages and protection.

This will normally require you to have submitted a minimum of 24 cases to the network.

A compliant audit trail will be presented to you outlining your progress and will go towards formulating your personal, continuous professional development. This is your personal Training and Competency file which is your CV for the future.

Once you have been with us for one year and you are fully signed off as competent you will be able to become an Appointed Representative of the network or join the Stepping Stones™ to Financial Advice programme. If you wish – you can simply stay under the New Leaf umbrella. If you choose to become an AR of the network we will ask you to attend their head office for a final PCA prior to you leaving the Stepping Stones™ programme and setting up in your own right directly with the network.

We will be there to support and guide you as you go about setting up your own practise and we will always be there to add value to your business once it is up and running.

Once you are licensed to trade by the network you will be in a position to advise with both mortgage enquiries and protection enquiries.

All the benefits of studying in a group are outlined in the CeMAP section of this website – we have a unique approach that really works.

What are the costs?

The cost to enter the programme is £1500.00 + VAT

Once you have completed your initial in-house training and are operational in the field the next stage begins and you can commence broking and submitting both mortgages and protection business.

There are no costs to you in terms of a Consumer Credit Licence or Network membership or Data protection licensing as we cover those costs within your initial fee.

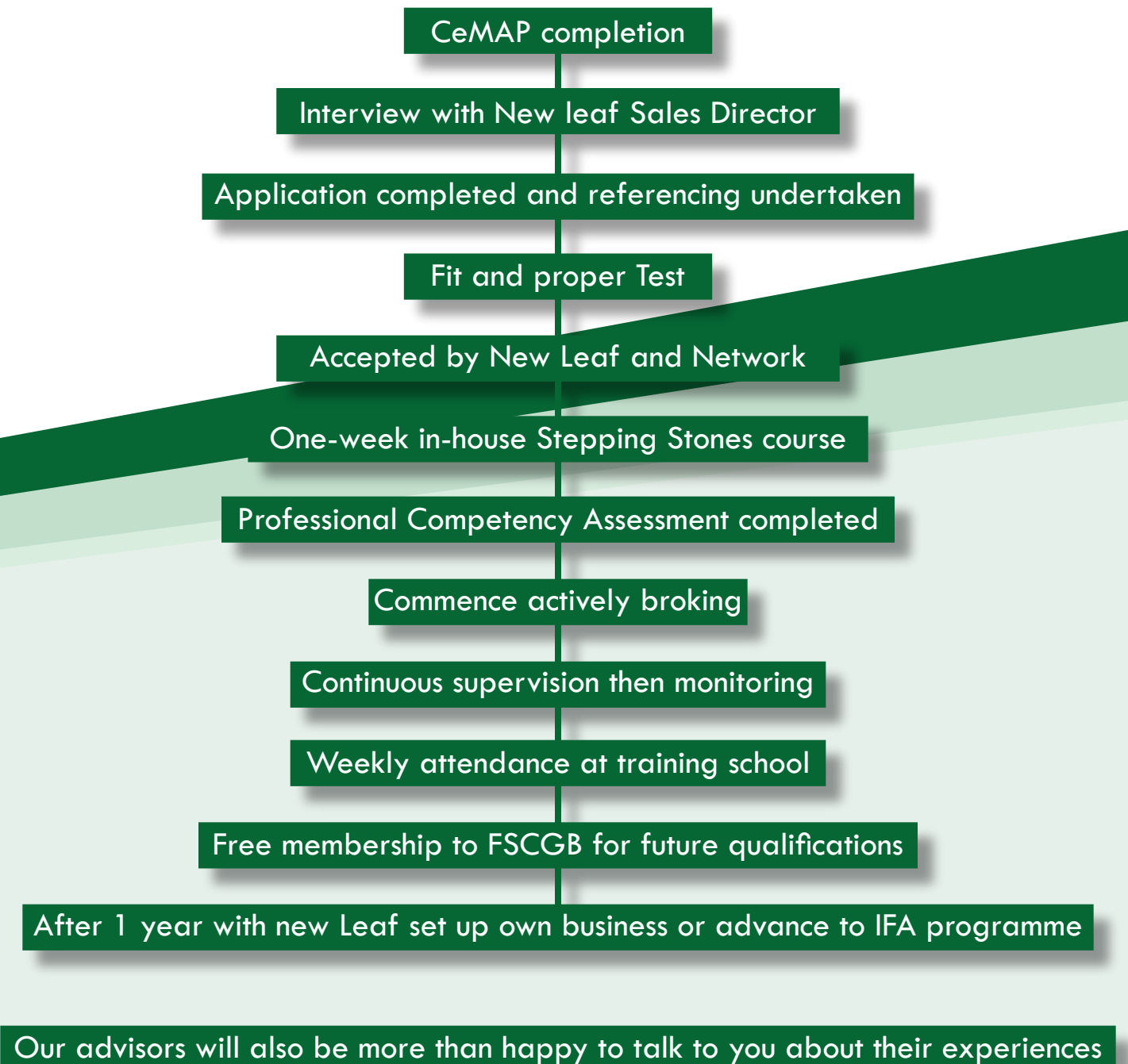
We cover everything including set up costs with the network, professional indemnity insurance, compliance support and registration with all lenders and providers.

You will be a consultant to NewLeaf Training and as a consequence you will fall under our consumer credit licence and work on a split of commissions (70% to you 30% to NL). You will also be required to subscribe to The Home Buyers Research Tool which is £30.00/month and is also mandatory. This is utilised to monitor your compliance by the networks compliance officer.

For more information please contact us or call and ask for Chris Nairn (Sales Director) in person and he will be more than happy to talk you through the process.

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Stepping Stones Process Map



Stepping Stones™ Financial Advisor

This is the only company in the UK that will get you through CeFA whereby you will be qualified as a financial advisor then train you through supervision and monitoring to Competent advisor status allowing you to become a massive asset to any authorization or run your own financial services business

“Our prospective new financial adviser wakes up one day and thinks – I’ve got loads of energy and ambition but I can’t find a career where I can harness these elements to good effect. I’ve got to find something where I can get uthorizati from solving peoples problems and earn what I am worth”.

Stepping Stones to Financial advisor status

Undertake full CeFA training programme with New leaf Financial Services (go to CeFA page)

Entry to NASCENT training programme

Trained on the 12 point “fact find” meeting template

Trained on the 12 point “presentation” meeting template and how to undertake a business plan

The business plan uses DOME. Diagnose, Objectives, Method and Evaluation

Form A completion is also undertaken at this point. (5 years career history, credit check etc)

Having successfully completed the entry programme

Candidate is then invited onto the Professional Competency Assessment day.

PCA encompasses PIMPSI tests that is 15 multiple choice questions on protection, investments, mortgages and savings.

In addition a 40-minute case study and needs analysis written question is set.

-PCA then proceeds to a fact find and presentation role play as well as a presentation of the business plan.

At this point the candidate is invoiced £1500.00 + Vat to join our partner company as a trainee Financial Advisor

Once the PCA is completed the candidate will attend a two day induction course which will cover all of the software that they will encounter as well as the business process: Atlas (back office and commissions) Invu (file scanner) Intranet site (which has suitability letter templates, suitability advice guides, links to research tools etc.) Trigold (mortgage research) the Exchange (protection research) Synaptics (a product qualitative research tool), MS tools and email.

FSA uthorization is normally granted within 7 days of attending the induction course.

-Set up on all systems happens on the day that FSA uthorization comes through. Workstation allocated, office procedures explained.

T&C support includes field visits, hands on guidance on the research tools and writing suitability letters. The first three client visits are normally accompanied; all the paperwork is checked in office before being submitted. Each new entrant is allocated a mentor as well as receiving ongoing coaching from our superb management team

Business Monitoring Unit sample check all new business.

Ongoing encouragement to undertake further professional exams.

Support directed towards personal developemnt, marketing expertise and technical knowledge.

“I’ve got loads of energy and ambition but can’t find a career where I can harness these elements to good effect. I’ve got to find something where I can get fulfilment from solving people’s problems and earn what I am worth.”

The following have found a way to satisfy their career needs.

“18 months ago I was an airline purser”, Paula, 36

“12 months ago I was a finance director”, Mary (FCA), 46

“24 months ago I was a financial administrator” Chris (Bsc Eng), 28

“30 months ago I was a financial administrator” Nathan (Bsc Finance), 25

“6 months ago I was an Engineer” Peter (Msc Econ), 53

“3 months ago I was a homemaker” Jo (Bsc Econ), 46

“20 months ago I was a city trader” Andy, 37

“3 months ago I was running a family business” Paul, 37

All these people hadn’t considered becoming a financial adviser yet knew they wanted a change. It may surprise you to find out that each are now building their own successful financial advice practices harnessing their innate energy, satisfying their ambitions and fulfilling their clients needs.

Real people, providing people with real solutions.



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