

ADVICE MATTERS

The CPD Solution For Financial Professionals

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Welcome to the first edition of Advice Matters for 2023.

Welcome

Wouldn't it have been fantastic if we could have started off this year by saying "thank goodness the war between Ukraine and Russia is over, there are no planned cuts in the industry, no further planned strikes and the UK government has had at least one month of stability in office" but unfortunately, we can't. We just hope that you are all keeping well and had a good start to the year given the circumstances (and the weather).

Those of us who have worked in financial services and been around for a while know that these things do come to pass but the requirement for you to stay competent and up to date in your role remains a constant. To help you do that we have three very relevant articles accompanied by questions to validate your learning:

- Consumer Duty and Vulnerable Clients
- Models of Investment
- The Changing Face of Compliance

Whether you call them customers or clients, doing the right thing for them to achieve good customer outcomes is no different and all three of this edition's articles have an impact on the adherence to the additional regulatory requirements coming along with Consumer Duty one way or another.

We are working with a number of clients on Consumer Duty, and we cannot urge you more strongly to pick up the pace on addressing the requirements in your firm as the FCA are being more and more vocal about their focus and expectations. All relevant eLearning modules from Access are being updated to reflect the Consumer Duty with a summary being sent out to you shortly listing the changes. At ZISHI we are helping firms in a number of ways from bridging the gap with resource to addressing what needs to be done to acting in an assurance capacity for work that has been carried out internally - if you need any help you know where we are - Info@thezishi.com

Have a great week
The ZISHI Advice Matters Team

ApEx Standards

The learning outcomes and the ApEx Standards can be found at the end of this edition of Advice Matters

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