Continuing Education for Responsible Managers & Advisers

Licensees are required to ensure that their Responsible Managers (*RG105*) and Advisers (*RG146*) satisfy continuing education requirements. Financial Education Professionals provides three choices for continuing education for Advisers and Responsible Managers (RMs).

To assist Advisers and Responsible Managers to meet ASIC's continuing education requirement, Financial Education Professionals has developed a multi-pronged approach to continuing education, providing diversity of delivery modes and challenging and practical topics.

Our fast-tracked solutions allow you to choose the appropriate content and delivery methods for your staff and give them an opportunity to meet their requirements across all knowledge areas.

Continuing Education for Responsible Managers

This self-study course, focuses on relevant regulatory issues. We can also offer this course as an in house workshop if required.

The course includes coverage of the following issues for Responsible Managers:

» Review of your responsibilities on behalf of your licence holder

» Positioning compliance in your financial services business

» Examining your organisational capacity requirements

» Implementing the principles of effectively managing conflicts of interest.

» ASIC's priorities in regulating the "financial economy"

» Issues that are likely to receive greater regulatory attention by the financial regulator. See where ASIC intends to focus its efforts

» Obtain a Certificate upon successful completion of an open-book assessment comprising twenty-five [25] questions (80% to pass) confirming **4 CPE hours/points** of continuing training

Fees

Self-study

Fee: $425 + GST per person

To enrol: Complete the attached form and send it to us.

Clients wishing to organise an in-house workshop should contact us directly to discuss their specific needs.

Risk Management

This Risk Management course comprises a total of five topics – a capstone topic "Financial Risk Management", which provides a high-level overview of financial risk management; followed by four more detailed topics – Operational Risk, Market Risk, Credit Risk and Liquidity Risk.

The course is delivered as a self-study module. On receipt of the self-study course material and open-book assessment, participants

» complete the open-book assessment as they study

» submit the assessment to Financial Education Professionals

» receive a Certificate upon completion of an open-book assessment comprising fifty questions (80% to pass) confirming successful completion and confirming **20 CPE hours/points**

Fees

Self-study

Fee: $495 + GST per person

To enrol: Complete the attached form and it send to us.

Clients wishing to organise an in-house workshop should contact us directly to discuss their specific needs.

Ethics in Financial Services

This program highlights the issue of ethics, ethical behaviour and professionalism in the financial services industry. Conducted as an interactive 3-hour workshop, the program includes case studies and encourages active discussion aimed at addressing and resolving ethical dilemmas and challenges.

The foundation workshop addresses the most pressing issues which can often become lost in the broad world of Ethics. It is delivered in-house and is not assessed. Upon completion, attendees receive a Certificate confirming successful completion and confirming **3 CPE hours/points** of continuing education.

Fees

Foundation Workshop (3 Hours)

Fee: $4,000 + GST per session or

$650 + GST per person

Price includes a meeting with the presenter to ensure any organisation-specific issues are understood. Workshops are conducted with minimum 6 people to a maximum of 20 people to enable small group exercises.

Clients wishing to organise supplementary tailored workshop(s) can be accommodated, but should contact us directly to discuss their specific needs.

Further information

Contact us on 02 9252 7437 or by email enquiries@financialeducation.com.au

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FINANCIAL EDUCATION PROFESSIONALS PTY LTD
ABN 51 096 944 062
REGISTERED TRAINING ORGANISATION
LISTED ON THE ASIC TRAINING REGISTER

Continuing Education: Individual Form [self study]

(Please print)

Applicant information						
Applicant's last name:	First name:		☐ Mr ☐ Mrs ☐ Miss ☐ Ms	Email:		
Company name:		Business phone no.: ( )		Mobile:		
Preferred address:				City:	State:	Postcode:

Enrolment & Fee (please tick)

I wish to enrol in:

- ☐ Continuing Education for Responsible Managers $425 + GST = $467.50; and/ or
- ☐ Risk Management $495 + GST = $544.50

Payment (please tick)

☐ I attach a cheque payable to Financial Education Professionals Pty Ltd;

or

☐ Please invoice my company.

If requesting us to invoice your company, please complete the information below.

Approving Manager

First Name: Last Name:

Email:

Title/Position: Department/Division:

Approving Manager's signature:

Please send completed form to:

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Email: enquiries@financialeducation.com.au

Website: www.financialeducation.com.au