

RG 146 Gap Training Program

Covering ASIC Compliance for CFA[®] Charterholders and Candidates

This RG 146 Gap Training program enables CFA[®] Charterholders and Candidates to meet ASIC training requirements “for those providing financial product advice to retail clients”.

It is based on the material specified in ASIC’s *Regulatory Guide 146: Licensing: Training of financial product advisers*, not contained in Level 1 of the CFA[®] program. Successful completion of Level 1 of the CFA[®] program plus this RG 146 Gap Training Program satisfies five ASIC knowledge competency areas.

To provide Personal Advice you need to complete the Skills component. (Not required for General Advice).

The program for CFA[®] Charterholders and Candidates is listed on the ASIC Training Register as:

- RG 146 Gap Training Program (for General Advice) and
- RG 146 Gap Training Program (for Personal Advice)

Benefits

- ✓ Meet ASIC’s RG 146 requirements without repeating the comprehensive CFA[®] Level 1 materials
- ✓ Study in your own time and subject to your own work pressures
- ✓ Choose to meet requirements for General Advice or Personal Advice
- ✓ If you are being proposed as a Responsible Manager for a licensed entity you may be able to demonstrate your organisational competency (RG 105) with this course.
- ✓ Flexible and cost effective

CFA Institute[®] does not endorse, promote, or warrant the accuracy or quality of the products or services offered by Financial Education Professionals Pty Ltd. CFA Institute[®], CFA[®] and Chartered Financial Analyst[®] are trademarks owned by CFA Institute[®].

Who can enrol in the program?

Enrolments in the program are restricted to persons who have completed at least Level 1 of the CFA[®] program. You will not be enrolled until you provide a copy of your CFA[®] documentation of having completed at least Level 1. Persons who have not yet completed Level 1 may *not* enrol in the course. Persons who have completed Level 2 or Level 3 may enrol in the course. Persons who have been awarded a CFA[®] may enrol in the course. No other person may be registered in the course. There are no exceptions to the minimum requirement to complete at least Level 1 of the CFA[®] program.

Features

- ✓ Offered as a self-study course only
- ✓ Gain the following RG 146 knowledge areas:
 - ✓ Generic Knowledge
 - ✓ Securities Knowledge
 - ✓ Derivatives Knowledge
 - ✓ Managed Investments Knowledge
 - ✓ Foreign Exchange Knowledge
- ✓ Meet Skills requirements for those providing Personal Advice (not required if you are providing General Advice)
- ✓ Complete the multiple-choice assessment at a time and location that suits you. (Subject to acceptable supervision arrangements.) (50 questions; 70% pass mark)
- ✓ Covers Australian Economic Environment, Legal and Compliance, Australian Taxation
- ✓ In addition you may demonstrate the required Skills for Personal Advice by a face-to-face assessment in our Sydney office (or by a telephone assessment) at a pre-booked time

Fees

Cost per person:

- | | |
|---|---------------|
| <input type="checkbox"/> Five knowledge competencies (General Advice) | \$825 + GST |
| <input type="checkbox"/> Skills | \$400 + GST |
| <input type="checkbox"/> Five knowledge competencies and Skills (Personal Advice) | \$1,225 + GST |

Enrolment form

Candidates complete the attached enrolment form to register.

Your CFA Examination Results from the CFA Institute[®] website (Level 1, 2 or 3) or your Charter from the CFA Institute[®] or the AIMR (what the CFA Institute[®] used to be called) must accompany the enrolment form.

Persons may pay by cheque or electronically to our account. With prior approval we can also invoice your employer.

For further information

Financial Education Professionals Pty Ltd - Level 8, 20 Loftus Street - Sydney NSW 2000

Tel: +61 2 9252 7437

Email: enquiries@financialeducation.com.au

Website: www.financialeducation.com.au

“This RG 146 Gap Training Program is a convenient and straightforward way for CFA[®] Charterholders and Candidates to meet ASIC’s RG 146 Training requirements.”

RG146 Gap Training Program

Enrolment Form [All information is mandatory]

Last Name:	First Name:	Title:	Date of Birth	Email:
		<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms	DD/MM/YYYY ____/____/____	
Company name:		Business phone No.:	Mobile:	
		()		
Title/Position:		Department/Division:		
Company Address:		City:	State:	Postcode:
Payment Options				
<input type="checkbox"/> Enrol me in the RG146 Gap Training Program [General Advice]. Fee \$825.00 + GST = \$907.50 <input type="checkbox"/> Enrol me in the RG146 Gap Training Program [Personal Advice]. Fee \$1,225.00 + GST = \$1,347.50 <input type="checkbox"/> I attach a copy of my CFA [®] / AIMR records as having completed at least Level 1 I am associated with the CFA [®] Society of: <input type="checkbox"/> Sydney or <input type="checkbox"/> Melbourne or <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> I attach a cheque [Please attach with enrolment form] <input type="checkbox"/> I have paid by Direct Credit to Macquarie Bank BSB 182-888 Account 1204 48402, indicating my last name and the letters CFA [®] (eg: Smith CFA [®]) <input type="checkbox"/> Please invoice my company [We will invoice your employer only with approval from your manager below]				
Approving Manager				
First Name: _____		Last Name: _____		
Email: _____				
Title/Position: _____		Dept/Division: _____		
Approving Manager's Signature: _____				
Compulsory Declaration				
I hereby apply for enrolment in the Financial Education Professionals' RG146 Gap Training Program. I agree to be bound by the rules and regulations of Financial Education Professionals for my assessments and confirm that all information provided above, is, to the best of my knowledge and belief, accurate.				
Participant's Signature: _____				