

# Continuing Professional Development

## RM's under an Australian Financial Services Licence

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).

RG105.7 requires that...*"We expect your measures for complying with the organisational competence obligation will ensure that you:*

- a) review your organisational competence on a regular basis and whenever your responsible managers or business activities change;*
- b) maintain and update the knowledge and skills of your responsible managers; and*
- c) keep records showing that you have reviewed your organisational competence and the steps you have taken to maintain your organisational competence."*

To assist Advisers and Responsible Managers to meet ASIC's continuing education requirement, Financial Education Professionals has developed a straightforward self-study program that allows you to meet your regulatory obligations and update your required knowledge to discharge your duties as an RM. Upon successful completion, you gain **10 hours/ points**.

The course will cover the following main areas of knowledge:

- » Your organisation's Australian Financial Services Licence
- » Insider Trading
- » Conflict of Interest
- » Responsible Managers and Compliance
- » Emerging Regulatory Issues for 2012

### Course delivery and assessment

Upon registration and payment, we will email you course materials and the open book assessment. All you have to do is complete the assessment (80% to pass) and we will then send you a Certificate confirming successful completion and confirming **10 CPE hours/points**.

| CPE hours/points | Fee per person (excl GST) |
|------------------|---------------------------|
| 10 hours/points  | \$525.00                  |

Complete the attached Registration Form and return it to Financial Education Professionals.

## CPD for RMs under an Australian Financial Services Licence: Registration Form

(Please print)

| Applicant information   |                     |   |        |           |
|---|---------------------|---|--------|-----------|
| Applicant's last name:  | First name:         | <input type="checkbox"/> Mr<br><input type="checkbox"/> Mrs<br><input type="checkbox"/> Miss<br><input type="checkbox"/> Ms | Email: |           |
| Company name:   | Business phone no.: | Mobile:   |        |           |
| ( )   |                     |   |        |           |
| Preferred address:  |                     | City:   | State: | Postcode: |
| <b>Fees (excl GST)</b>  |                     |   |        |           |
| <input type="checkbox"/> I wish to enrol in the Regulatory Update CPD course  |                     | \$525 + GST = \$577.50  |        |           |
| <b>Payment Options (please tick)</b>  |                     |   |        |           |
| <input type="checkbox"/> INDIVIDUALS: I am paying by Direct Credit to your bank account (please attach remittance advice) |                     |   |        |           |
| or  |                     |   |        |           |
| <input type="checkbox"/> CORPORATES: If requesting us to invoice your company, please complete the information below.     |                     |   |        |           |
| <b>Approving Manager</b>  |                     |   |        |           |
| First Name:   |                     | Last Name:  |        |           |
| Email:  |                     |   |        |           |
| Title/Position:   |                     | Department/Division:  |        |           |
| Approving Manager's signature:  |                     |   |        |           |
| <b>Our Bank Details:</b>  |                     |   |        |           |
| Macquarie Bank BSB 182-222 Account 1204 48402, indicating Full name or Invoice Number                                     |                     |   |        |           |

### Please send completed form (email/ mail) to:

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