

RG146 and RG105

CPD Solutions

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).

RG146F requires that *“licensees must implement policies and procedures to ensure that they and their advisers undertake continuing training to maintain and update the knowledge and skills that are appropriate for their activities.”*

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 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

1. Self Study

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:

- » Reviewing the responsibilities of Responsible Managers
- » Achieving good corporate governance practice
- » Building market integrity - curbing insider trading and market manipulation
- » Satisfy the key obligations under the AML/ CTF Laws
- » Being aware - the “big picture” changes which are emerging in financial regulation in Australia
- » Recognising other regulatory areas that may be subject to change in 2011
- » Obtain a Certificate upon successful completion of an open-book assessment comprising twenty-five [25] questions (80% to pass) confirming **8 CPE hours/points** of continuing training

Fees

Self-study

Fee: \$435 + GST per person

2. Workshop

We also provide a tailored 3-hour face-to-face workshop specific to your licence and authorisations. This option is not assessed and available for in-house delivery. Upon completion, attendees will receive a Certificate confirming **3 CPE hours/ points** of continuing training.

Fees

Workshop (3 hours)

Fee: \$3,650 + GST per session

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

Workshop (3 Hours)

Fee: \$4,000 + GST per session

Price includes a meeting with the presenter to ensure any organisation-specific issues are understood. Workshops are conducted with minimum 8 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.

Enquiries

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

Financial Education Professionals Pty Ltd was established in 2001.

We focus on:

- ▶ tailored course design and delivery in investment banking, investment management and financial markets
- ▶ training for custody and treasury operations and investment administration roles and
- ▶ initial training and continuing professional education for wholesale market participants to meet Australian Securities and Investments Commission's (ASIC's) licensing compliance requirements

Financial Education Professionals is an ASIC Authorised Assessor for the purposes of RG 146 and RG 105 and is a Registered Training Organisation, accredited to offer programs and qualifications throughout Australia.

Continuing Education: Self Study Enrolment Form [All information is mandatory]

(Please print)

Applicant information				
Applicant's last name:	First name:	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms	Email:	
Company name:	Business phone no.:	Mobile:		
()				
Preferred address:			City:	State: Postcode:
Enrolment & Fee (please tick)				
I wish to enrol in:				
<input type="checkbox"/>	Continuing Education for Responsible Managers	\$435 + GST = \$478.50; and/ or		
<input type="checkbox"/>	Risk Management	\$495 + GST = \$544.50		
Payment (please tick)				
<input type="checkbox"/> I attach a cheque payable to Financial Education Professionals Pty Ltd; or <input type="checkbox"/> Please invoice my company.				
<i>If requesting us to invoice your company, please complete the information below.</i>				
Approving Manager				
First Name:		Last Name:		
Email:				
Title/Position:		Department/Division:		
Approving Manager's signature:				

Please send completed form to:

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