



FINANCIAL PLANNING
EDUCATION COUNCIL

FINANCIAL PLANNING ASSOCIATION of AUSTRALIA

FPEC-APPROVED COURSES AND ASIC'S RG146 ACCREDITATION

21 January 2016



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INTRODUCTION

This document is to assist both licensees and students/graduates to confirm **minimum RG146 compliance** achieved in university degrees recognised by the FPA. It does not represent the requirements of an FPEC approved degree. This document collates statements **from higher education providers**.

Under ASIC's RG146, Tier 1 compliance in a specialist knowledge area requires that a person needs to have been assessed in generic knowledge and skills plus the specialist knowledge required.

Prior to 24 September 2012, the reference source was the ASIC Register. Since that date, ASIC compliance is determined by the training provider. (For vocational education, a Transcript of Competencies or Statement of Attainment is issued and the relevant competency identified.) Higher education providers list completed subject on an academic transcript. The transcript can then be compared to the education provider's mapping.

The ASIC Training Register is still available online but includes this statement:

“The ASIC Training Register has been placed under review. The register content is valid up to 24 September 2012. For courses completed after that date, you will need to contact individual training providers directly to get information about the courses they provide and if they meet the standards in RG 146.”

This document therefore is the information from the individual training providers but in one place together with a current contact person at each education provider.

Beyond the subject listings

The subjects listed here generally represent only a subset of the subjects required in the related FPEC approved degree (minimum of eight subjects mapped to the FPEC requirements). More details can be found under the heading “Approved Degrees” at <http://fpa.com.au/education/cfp-certification/>

Most, but not all, approved degrees include subjects on taxation and commercial law listed with the TPB. Subjects required for the Tax Practitioners Board (TPB) for a Tax (Financial) Adviser can be found at www.tpb.gov.au.

An exposure draft issued by the Government in December 2015 has announced planned changes to the minimum education standards which will apply to all new advisers from 2017. While the proposed new body will establish the new minimum requirements going forward, the existing RG146 requirements are still current at January 2016.



CHARLES STURT UNIVERSITY: MASTER OF APPLIED FINANCE

The Master of Applied Finance provides formal knowledge, capabilities and competencies in finance and specialised areas of banking or financial planning. The Degree is designed to produce graduates who are skilled and work-ready in their selected discipline or profession. Students who complete the specialisation in financial planning qualify for ASIC RG146 accreditation.

<http://www.csu.edu.au/courses/master-of-applied-finance?R38GiEXUwG0CzraZ.99>

| ASIC area | Subjects required at Charles Sturt University |
|--|---|
| A1 Generic knowledge | FIN530 OR FIN560 |
| A 2.1 Financial planning | FIN560 |
| A2.2 Securities | FIN530, FIN531 |
| A 2.3 Derivatives | FIN530, FIN531 |
| A2.4 Managed investments | FIN531, FIN560 |
| A 2.5 Superannuation | FIN560, FIN 564 |
| A 2.6 Insurance Life insurance, General insurance, Insurance broking | FIN562 |
| A 2.7 Deposit products and non-cash products | FIN530, FIN560 |
| A 2.8 Foreign exchange | FIN530, FIN531, FIN560, FIN518 |
| A 2.10 Margin lending facilities | FIN560, FIN564, FIN545 |
| SKILLS | FIN560 Financial Planning |
| CONTACT PERSON re RG146 | Dr Dianne McGrath, dmcgrath@csu.edu.au |

FIN518 International Financial Management
FIN530 Money & Capital Investments
FIN531 Investment Analysis
FIN560 Financial Planning
FIN562 Risk Management and Insurance
FIN564 Superannuation
LAW545 Taxation Strategies



**CURTIN UNIVERSITY: MASTER OF FINANCIAL PLANNING OR
BACHELOR PROGRAMS**

| ASIC area | Subjects required at Curtin University | | | | | | | |
|---|--|---|---|--|-------------------------------|--|---|-------------------------------------|
| | Personal Finance 220 or 520 | Finance (Plan Construction) 319 or 519 | Personal Risk and Insurance 309 or 509 | Superannuation and Retirement Planning 321 or 621 | Taxation 301 or 331 or 531 | Managerial Finance 212 or Finance Principles 215 or 515 | Financial Derivative Securities 312 or 572 | International Finance 302 or 573 |
| A 1 Generic knowledge | X | | | | | X | | |
| A 2.1 Financial planning | X | X | X | | X | | | |
| A2.2 Securities | | | | | | X | X | |
| A 2.3 Derivatives | | | | | | | X | |
| A 2.4 Managed investments | X | X | | | X | X | | |
| A 2.5 Superannuation | X | X | | X | X | | | |
| A 2.6 Insurance Life insurance, General Insurance and Insurance broking | | X | X | | X | | | |
| A 2.7 Deposit products and non-cash products | X | | | | | | | |
| A 2.8 Foreign Exchange | | | | | | | | X |
| A 2.10 Margin lending facilities | | X | | | | | | |
| SKILLS | X | X | X | | | | | |
| CONTACT PERSON re RG146 | Elson Goh, E.Goh@cbs.curtin.edu.au | | | | | | | |



DEAKIN UNIVERSITY: BACHELOR DEGREES

| ASIC area | Subjects required at Deakin University | | | | | | |
|---|--|--|--|---|---|---|---|
| | Money and Capital Markets (MAF202) | Financial Planning (MAF255 or MAA255) | Equities and Investment Analysis (MAF307) | Superannuation Planning (MAF311 or MAA317) | Advanced Financial Planning (MAF312 or MAA318) | Building Client Relationships (MAF315 or MAA215) [For students commencing Jan 2015] | Estate Planning (MAF316 or MAA319) [For students commencing Jan 2015] |
| A1 Generic knowledge | X | X | X | X | X | | |
| A 2.1 Financial planning | | X | | | X | | X |
| A2.2 Securities | | X | X | | X | | |
| A 2.3 Derivatives | | | X | | X | | |
| A2.4 Managed investments | | X | X | | X | | |
| A 2.5 Superannuation | | X | | X | X | | |
| A 2.6 Insurance Life insurance, general insurance & broking | | X | | | X | | |
| A 2.7 Deposit products and non-cash products | X | | | | | | |
| A 2.8 Foreign exchange | X | | | | | | |
| A 2.10 Margin lending facilities | | | | | X | | |
| SKILLS | | X | | | X | X | |
| CONTACT PERSON re RG146 | Dr Adrian Raftery CFP® adrian.raftery@deakin.edu.au | | | | | | |



DEAKIN UNIVERSITY: MASTERS DEGREE

| ASIC area | Subjects required at Deakin University | | | | | | | |
|--|--|--|---|---|---|--|--|---|
| | Financial Markets (MAF702) | Financial Planning Fundamentals (MAF765) | Investments and Portfolio Management (MAF707) | Superannuation and Retirement Planning (MAF708) | Financial Planning Development (MAF709) | Principles of Risk Management and Insurance (MPS701) [For students commencing Jan 2015] | Managing Client Relationships (MAF 14) [For students commencing Jan 2015] | Estate Planning Strategies (MAF715) [For students commencing Jan 2015] |
| A1 Generic knowledge | X | X | X | X | X | | | |
| A 2.1 Financial planning | | X | | | X | | | X |
| A 2.2 Securities | X | X | X | | X | | | |
| A 2.3 Derivatives | X | | | | X | | | |
| A 2.4 Managed investments | | X | X | | X | | | |
| A 2.5 Superannuation | | X | | X | X | | | |
| A 2.6 Insurance Life insurance, general insurance & broking | | X | | | X | X | | |
| A 2.7 Deposit products and non-cash products | X | | | | | | | |
| A 2.8 Foreign exchange | X | | | | | | | |
| A 2.10 Margin lending facilities | | X | | | X | | | |
| SKILLS | | X | | | X | | X | |
| CONTACT PERSON re RG146 | Dr Adrian Raftery CFP® adrian.raftery@deakin.edu.au | | | | | | | |



GRIFFITH UNIVERSITY: MASTER OF COMMERCE (FINANCIAL PLANNING)

Note: This degree has not been offered to new students since 2014

| ASIC area | Subjects required at Griffith University |
|--|--|
| A 1 Generic knowledge | 7232AFE Investment Analysis & 7303AFE Economics |
| A 2.1 Financial planning | 7202AFE Financial Planning, 7203AFE Corporate Financial Risk Management & 7232AFE Investment Analysis |
| A 2.2 Securities | 7202AFE Financial Planning, 7203AFE Corporate Financial Risk Management & 7232AFE Investment Analysis |
| A 2.3 Derivatives | 7108AFE Taxation Planning, 7202AFE Financial Planning, 7203AFE Corporate Financial Risk Management & 7232AFE Investment Analysis |
| A 2.4 Managed investments | 7202AFE Financial Planning & 7232AFE Investment Analysis |
| A 2.5 Superannuation | 7202AFE Financial Planning & 7214AFE Retirement and Estate Planning |
| A 2.6 Insurance Life insurance, General insurance, Insurance broking | 7202AFE Financial Planning & 7203AFE Corporate Financial Risk Management |
| A 2.7 Deposit products and non-cash products | 7202AFE Financial Planning |
| A 2.8 Foreign exchange | 7303AFE Economics |
| A 2.10 Margin lending facilities | N/A |
| SKILLS | 7202AFE Financial Planning & 7228AFE Financial Planning Construction and Review |
| CONTACT PERSON re RG146 | Rakesh Gupta, r.gupta@griffith.edu.au |



GRIFFITH UNIVERSITY: MASTER OF FINANCIAL PLANNING

This qualification commenced from Semester 2 2014.

Note that the subjects shaded in grey add to the content shown in the first four subjects. The Graduate Certificate, comprising these four subjects, covers all the ASIC areas in full with the exception of Margin Lending which also requires study of 7255AFE/7820GBS.

| ASIC area | Subjects required at Griffith University | | | | | | |
|--|--|--|------------------------------------|---|---|--|---------------------------------|
| | 7254 AFE/7818GBS Financial Planning Fundamentals | 7223 AFE /7803GBS Financial Markets | 7106AFE /7817GBS Income Tax Law | 7256AFE /7819GBS Personal Risk Management | 7255 AFE/7820GBS Applied Financial Planning | 7214 AFE /7821GBS Retirement and Estate Planning | 7232AFE /7801GBS Investments |
| A 1 Generic knowledge | X | X | | X | X | | |
| A 2.1 Financial planning | X | X | X | X | X | | |
| A 2.2 Securities | X | X | X | | | | X |
| A 2.3 Derivatives | X | X | | | | | X |
| A 2.4 Managed investments | X | X | | | X | | X |
| A 2.5 Superannuation | X | | | | X | X | |
| A 2.6 Insurance Life insurance, General insurance, Insurance broking | X | | | X | X | | |
| A 2.7 Deposit products and non-cash products | X | X | | | | | |
| A 2.8 Foreign exchange | X | X | X | | | | X |
| A 2.10 Margin lending facilities | X | | | | X | | |
| SKILLS | X | | | X | X | X | |
| CONTACT PERSON re RG146 | Rakesh Gupta, r.gupta@griffith.edu.au | | | | | | |



GRIFFITH UNIVERSITY: BACHELOR DEGREES

Bachelor of Commerce (Financial Planning)

Bachelor of Commerce (Professional) with a major in Financial Planning

Bachelor of Commerce (Accelerated) with a major in Financial Planning

| ASIC area | Subjects required at Griffith University | | | | | | |
|--|--|---------------------------------|--|---------------------------------------|--|---|------------------------|
| | 1202AFE Financial Planning 1 | 2213AFE Financial Planning 2 | 2202AFE Risk Management and Insurance | 1203AFE Money, Banking and Finance | 1303AFE Economics for Decision Making 1 | 3204AFE Retirement and Estate Planning | 3106AFE Revenue Law |
| A 1 Generic knowledge | X | | | | X | | |
| A 2.1 Financial planning | X | | | | | | |
| A2.2 Securities | X | X | | X | | | |
| A 2.3 Derivatives | X | X | | | | | X |
| A 2.4 Managed investments | X | X | | | | | X |
| A 2.5 Superannuation | X | | | | | X | X |
| A 2.6 Insurance Life insurance, General insurance, Insurance broking | X | | X | X | | | |
| A 2.7 Deposit products and non-cash products | X | | | X | | | |
| A 2.8 Foreign exchange | X | X | | X | | | X |
| A 2.10 Margin lending facilities | | X | | | | | |
| SKILLS | X | X | | | | | |
| CONTACT PERSON re RG146 | Rakesh Gupta, r.gupta@griffith.edu.au | | | | | | |

Alternate subject codes are: 1202AFE/1282AFE; 2213AFE/2280AFE; 2202AFE/2282AFE

1203AFE/1302AFE; 1303AFE/1383AFE; 3204AFE/3283AFE.

KAPLAN PROFESSIONAL: MASTER OF FINANCIAL PLANNING

On completion of the Graduate Diploma of Financial Planning, ASIC RG 146 compliance is gained in the following areas:

- Generic knowledge
- Specialist knowledge and skills in: Financial Planning, Insurance, Superannuation, Managed Investments and Securities.

The Graduate Diploma of Financial Planning includes the following subjects:

- FPC001 Economic, Legal and Ethical Context for Financial Planning
- FPC002 Applied Financial Planning
- FPC003 Superannuation and Retirement Advice
- FPC004 Insurance Advice
- FPC005 Estate and Succession Planning
- FPC006 Tax Considerations in Financial Advice
- FPC007 Client Engagement Skills
- FPC008 Investment Management Fund Manager Perspective

Kaplan advises that RG146 compliance will be available upon completion of the Graduate Certificate in Financial Planning in 2016.

Contact: Ms Sue-Ann Stanford, Academic Director, sue-ann.stanford@kaplan.edu.au



LA TROBE UNIVERSITY: BACHELOR OF BUSINESS

| ASIC area | Subjects required at La Trobe University | | | | | | | |
|--|--|--|-----------------------------------|---------------------------------------|--|--------------------|--|---|
| | Business Economics (BUS1BUE) | Introduction to Financial Planning (FIN2IFP) | Fundamentals of Finance (FIN1FOF) | Insurance and Risk Planning (FIN2IRP) | Principles of Retirement and Estate Planning (FIN3PRE) | Taxation (ACC3TAX) | Case Studies in Financial Planning (FIN3CFP) | Investment and Portfolio Management (FIN3IPM) |
| A1 Generic knowledge | X | X | X | | | | | |
| A 2.1 Financial planning | | X | | | X | X | X | |
| A 2.2 Securities | | X | X | | | X | | X |
| A 2.3 Derivatives | | | X | X | | | | X |
| A 2.4 Managed investments | | X | X | | | X | X | X |
| A 2.5 Superannuation | | X | | | X | X | X | |
| A 2.6 Insurance | | X | | X | | | X | |
| A 2.7 Deposit products and non-cash products | | X | X | | | | | X |
| A 2.8 Foreign exchange | | | X | | | | | X |
| A 2.10 Margin lending facilities | | | | | | X | X | |
| SKILLS | | | | | | | X | |
| CONTACT PERSON re RG146 | Darren Henry, d.henry@latrobe.edu.au | | | | | | | |



RMIT UNIVERSITY: BACHELOR OF BUSINESS (FINANCIAL PLANNING)

Completion of the RMIT University's Bachelor of Business (Financial Planning) core and specialised courses will permit compliance with the requirements of RG146, in both the 'generic' and 'specialised' areas and skills requirements.

| ASIC area | Subjects required at RMIT University | | | | | | | | | |
|--|---|--|----------------------------------|---|---------------------|---|---|--------------------------------------|--------------------------------------|--|
| | BLW32 Taxation | BAN23 Introduction to Finance Principles | FNP12/BAF12112 Financial Markets | BAF1014/BAFI2040 Personal Wealth Management | BAF12112 Investment | ACCT2261 Wealth Creation & Preservation | LAW2458 Law of Investment & Financial Markets | ACCT2262 Superannuation & Retirement | ACCT2264 Financial Advisory Practice | ACCT2263 Risk, Insurance and Social Security |
| A1 Generic knowledge | X | X | X | X | X | | | | | |
| A 2.1 Financial planning | X | | | X | | X | X | X | X | |
| A2.2 Securities | | X | X | X | X | | X | | | |
| A 2.3 Derivatives | | | X | X | X | | X | | | |
| A2.4 Managed investments | X | | | X | X | X | X | | | |
| A 2.5 Superannuation | | | | X | | | X | X | | |
| A 2.6 Insurance | X | | | X | | | X | | | X |
| A 2.7 Deposit products and non-cash products | | | X | X | | | X | | | |
| A 2.8 Foreign exchange | X | X | X | X | | | X | | | |
| A 2.10 Margin lending facilities | | | | X | X | X | X | | | |
| A 2.11 Regulated emissions trading | | | | X | | X | | | | |
| SKILLS | | | | X | | X | | X | X | X |
| CONTACT PERSON re RG146 | Assoc. Prof Abdullahi Ahmed, abdullahi.ahmed@rmit.edu.au | | | | | | | | | |



TAFE NSW: BACHELOR OF APPLIED FINANCE (FINANCIAL PLANNING)

| ASIC area | Subjects required at St GEORGE TAFE |
|--|--|
| A1 Generic knowledge | AFFIN101A, AFREG101A, AFFIN102A |
| A 2.1 Financial planning | AFREG101A, AFPLN101A, AFPLN203A |
| A2.2 Securities | AFFIN101A, AFREG101A, AFPLN203A |
| A 2.3 Derivatives | AFFIN101A, AFREG101A, AFPLN203A |
| A2.4 Managed investments | AFFIN101A, AFREG101A, AFPLN203A |
| A 2.5 Superannuation | AFPLN204A, AFREG101A Additional for SMSF: AFPLN303A |
| A 2.6 Insurance Life insurance, General insurance and Insurance Broking | AFREG101A, AFPLN201A, |
| A 2.7 Deposit products and non-cash products | AFREG101A, AFFIN101A |
| A 2.8 Foreign exchange | AFPLN303A, AFPLN203A, AFREG101A, AFFIN101A |
| A 2.10 Margin lending facilities | AFREG101A, AFPLN303A, AFPLN203A |
| SKILLS | Integrated across the subjects listed |
| CONTACT PERSON re RG146 | Diana Bugarcic, diana.bugarcic@tafensw.edu.au |

- AFFIN101A Principles of Finance and Investment
- AFFREG101A Regulation and legal principles in Practice
- AFPLN101A Fundamentals of personal Financial Planning
- AFFIN102A Principles of Economics and Economic Theory in Practice
- AFPLN201A Insurance Planning for Personal Risk Management
- AFPLN203A Investment Management and Portfolio Analysis
- AFPLN204A Retirement and Superannuation Planning
- AFPLN303A Contemporary Financial Planning Strategies



UNIVERSITY OF CANBERRA: BACHELOR DEGREES

Bachelor of Commerce (Financial Planning major)

Bachelor of Finance (Financial Planning major)

| ASIC area | Subjects required at University of Canberra | | | | | | | |
|--|---|-----------------------|--|------------------|---|--|------------------|---------------------------|
| | 6386 Financial Institutions and Markets | 6392 Business Finance | 6563 Introduction to Financial Planning OR 9987 Introduction to Personal Financial Planning | 6378 Investments | 6564 Strategic Financial Planning OR 9988 Superannuation, retirement and estate planning | 6561 Advanced Financial Planning OR 9986 Financial Planning and Risk Management | 6417 Revenue Law | 7371 Strategic Management |
| A1 Generic knowledge | X | | | | | | | |
| A 2.1 Financial planning | | X | X | X | X | X | X | |
| A 2.2 Securities | | | | | | | | |
| A 2.3 Derivatives | X | | X | X | X | X | X | |
| A 2.4 Managed investments | | X | X | X | X | X | X | |
| A 2.5 Superannuation | | | X | | X | X | X | |
| A 2.6 Insurance Life insurance, general insurance and broking | X | | X | | X | X | X | |
| A 2.7 Deposit products and non-cash products | X | | X | | X | X | | X |
| A 2.8 Foreign exchange | | | X | | X | X | | X |
| A 2.10 Margin lending facilities | | X | | | X | X | | |
| SKILLS | | | X | | X | X | | |
| CONTACT PERSON re RG146 | Prof Milind Sathye, milind.sathye@canberra.edu.au | | | | | | | |



UNIVERSITY OF NEW ENGLAND: BACHELOR DEGREES

| ASIC area | Subjects required at UNE |
|--|--|
| A1 Generic knowledge | FIN101 Introductory Finance (covers all) Also covered by: FIN200 Financial Planning and Wealth Management; FIN303 Investment Management in Financial Planning |
| A 2.1 Financial planning | FIN200 Financial Planning and Wealth Management; FIN303 Investment Management in Financial Planning |
| A2.2 Securities | FIN303 Investment Management in Financial Planning Also covered by: FIN101 Introductory Finance; FIN200 Financial Planning and Wealth Management |
| A 2.3 Derivatives | FIN303 Investment Management in Financial Planning Also covered by: FIN101 Introductory Finance; FIN200 Financial Planning and Wealth Management |
| A2.4 Managed investments | FIN303 Investment Management in Financial Planning |
| A 2.5 Superannuation | FIN302 Superannuation and Retirement |
| A 2.6 Insurance Life insurance, general insurance and broking | FIN304 Risk Management and Insurance |
| A 2.7 Deposit products and non-cash products | FIN200 Financial Planning and Wealth Management and FIN101 Introductory Finance |
| A 2.8 Foreign exchange | FIN303 Investment Management in Financial Planning Also covered by: AFM231 Corporate Finance |
| A 2.10 Margin lending facilities | FIN303 Investment Management in Financial Planning |
| SKILLS | FIN305 Developing the Financial Plan FIN200 Financial Planning and Wealth Management |
| CONTACT PERSON re RG146 | Assoc. Prof Martin Hovey, mhovey@une.edu.au |

In summary, the following five subjects cover the ASIC areas as shown above:

- FIN101 Introductory Finance (covers all)
- FIN200 Financial Planning and Wealth Management
- FIN302-Superannuation and Retirement
- FIN303 Investment Management in Financial Planning
- FIN304-Risk Management and Insurance
- FIN305-Developing the Financial Plan

UNIVERSITY OF NEW ENGLAND: MASTER OF FINANCIAL SERVICES

| ASIC area | Subjects required at UNE |
|--|---|
| A1 Generic knowledge | AFM465 Financial Planning and Wealth Management AFM468 Investment Management in Financial Planning |
| A 2.1 Financial planning A2.2 Securities A 2.3 Derivatives A2.4 Managed investments | AFM465 Financial Planning and Wealth Management AFM468 Investment Management in Financial Planning |
| A 2.5 Superannuation | AFM467 Superannuation and Retirement |
| A 2.6 Insurance | AFM466 Risk Management and Insurance |
| A 2.7 Deposit products and non-cash products | |
| A 2.8 Foreign exchange | AFM465 Financial Planning and Wealth Management AFM468 Investment Management in Financial Planning |
| A 2.10 Margin lending facilities | AFM465 Financial Planning and Wealth Management AFM468 Investment Management in Financial Planning |
| SKILLS | AFM569 Developing the Financial Plan |
| CONTACT PERSON re RG146 | Assoc. Prof Martin Hovey, mhovey@une.edu.au |

In summary, the following five subjects cover the ASIC areas as shown above:

- AFM465 Financial Planning and Wealth Management
- AFM466 Risk Management and Insurance
- AFM467 Superannuation and Retirement
- AFM468 Investment Management in Financial Planning
- AFM569 Developing the Financial Plan



UNIVERSITY OF NEW SOUTH WALES, SCHOOL OF BANKING AND FINANCE

Note: UNSW's Master degree is an FPEC approved degree. UNSW does not have a Bachelor degree on the FPEC approved list.

Students and graduates in a Bachelor or Master program with a Finance Major (B.Com, B.Econ, M.Com) or in a post-graduate Financial Planning program may combine their undergraduate courses with post-graduate courses to complete their RG146 Tier 1 Generic and Specialist education requirements as long as they have completed at least one of the two courses listed in each of the following four columns. Course codes show the undergraduate course/postgraduate. The list below is prepared on the basis all four courses studied and competently completed at UNSW in order to claim compliance.

| ASIC area | Subjects required at UNSW | | | |
|--|---|---------------|---------------|---------------|
| | FINS1612/5512 | FINS2624/5513 | FINS2643/5510 | FINS3637/5537 |
| A1 Generic knowledge | X | X | X | X |
| A 2.1 Financial planning | | | X | X |
| A2.2 Securities | X | X | | |
| A 2.3 Derivatives | X | X | X | |
| A2.4 Managed investments | X | X | X | X |
| A 2.5 Superannuation | | | X | X |
| A 2.6 Insurance Life insurance, general insurance & broking | | | X | X |
| A 2.7 Deposit products and non-cash products | X | | X | |
| A 2.8 Foreign exchange | X | | | |
| A 2.10 Margin lending facilities | X | | X | X |
| SKILLS | | | X | X |
| CONTACT PERSON re RG146 | Assoc. Prof. Kingsley Fong, k.fong@unsw.edu.au | | | |



UNIVERSITY OF THE SUNSHINE COAST: BACHELOR DEGREES

Bachelor of Commerce (Financial Planning)

Bachelor of Commerce

| ASIC area | Subjects required at USC | | | | | |
|--------------------------|--|---|--------------------------------------|--------------------------------------|------------------------------------|----------------------------------|
| | FIN310 Personal Investment Management | FIN210 Introduction to Financial Planning | FIN220 Retirement and Superannuation | FIN221 Insurance and Risk Management | FIN312 Financial Plan Construction | ACC311 Taxation Law and Practice |
| A1 Generic knowledge | X | X | | | | |
| A 2.1 Financial planning | X | X | | | | X |
| A2.2 Securities | X | X | | | | |
| A 2.3 Derivatives | X | X | | | | |
| A2.4 Managed investments | X | X | | | | X |
| A 2.5 Superannuation | | X | X | | | |
| A 2.6 Insurance | | X | | X | | |
| SKILLS | | | | | X | |
| CONTACT PERSON re RG146 | Dr Gabrielle Parle Gabrielle.parle@usc.edu.au | | | | | |



WESTERN SYDNEY UNIVERSITY: BACHELOR OF ACCOUNTING

Bachelor of Accounting
Western Sydney University Course Code: 2783
Alignment with RG146 Requirements

Completion of the Bachelor of Accounting core and financial planning specialisation will cover the RG146 generic and specialist knowledge requirements and skills requirements, as they currently stand.

The following table outlines units associated with RG146 requirements, for students entering the Bachelor of Accounting from 1 January 2016. Please note, it is not compulsory to complete the taxation specialisation, however students are encouraged to complete these units as content builds on that covered in the financial planning specialisation.

| RG146 Requirements | | 200272 Insurance Adv – Theory & Practice | 200265 Personal Asset Management | 200627 Financial Planning | 200899 Retirement & Succession Planning | 200186 Advanced Taxation Law | 200900 Self-Managed Super & Trusts | 200271 Financial Services Law | |
|---|--|--|----------------------------------|---------------------------|---|---------------------------------|------------------------------------|-------------------------------|--|
| | | Financial Planning | | | | Taxation | | | |
| | | | | | | Financial Planning and Taxation | | | |
| | | | | | | | | | |
| RG146 Generic Knowledge Requirements | The Economic Environment | | | X | | | | | |
| | Operation of Financial Markets | | | X | | | | | |
| | Financial Products | X | X | X | | | | X | |
| RG146 Specialist Knowledge Requirements | Financial Planning | X | X | X | X | | X | | |
| | Securities | | X | | | | | | |
| | Derivatives | | X | | | | | | |
| | Managed Investments | X | X | X | X | X | | X | |
| | Superannuation | | | X | X | X | X | | |
| | Insurance – general, life and broking | X | | X | | | | | |
| | Deposit Products and non-cash payment products | | X | | | | | | |
| | Foreign Exchange | | X | | | | | | |
| | Margin Lending Facilities | | X | | | | | | |
| Regulated Emissions Units | | X | | | | | | | |
| RG146 Skill Requirements | Establish relationship with client | X | X | X | X | | | | |
| | Identify client objectives, needs and financial situation | X | X | X | X | | | | |
| | Analyse client objectives, needs and financial situation | X | X | X | X | | X | | |
| | Develop appropriate strategies and solutions | X | X | X | X | | X | | |
| | Present appropriate strategies and solutions to the client | X | X | X | X | | X | | |
| | Negotiate financial plan/policy/transaction | X | X | X | X | | | | |
| | Complete and maintain necessary documentation | X | X | X | X | | | | |
| | Provide ongoing service (optional at discretion of client) | | | X | | | | | |

RG146 Contact: Derek Gleeson, derek.gleeson@westernsydney.edu.au



WESTERN SYDNEY UNIVERSITY: BACHELOR OF FINANCIAL ADVISING

Western Sydney University Course Code: 2727. This table shows the Financial Planning Stream.

| RG146 Requirements | | 200525 Principles of Economics | 200187 Taxation Law | 200271 Financial Services Law | 200627 Financial Planning | 200186 Advanced Taxation Law | 200272 Insurance Adv - Theory & Practice | 200265 Personal Asset Management | 200625 Estate & Succession Planning | 200569 Retirement Planning |
|---|---|--------------------------------|---------------------|-------------------------------|---------------------------|------------------------------|--|----------------------------------|-------------------------------------|----------------------------|
| | | From core units | | | | | Financial Planning Stream | | | |
| RG146 Generic Knowledge Requirements | The Economic Environment | X | | | X | | | | | |
| | Operation of Financial Markets | X | | | X | | | | | |
| | Financial Products | | | X | X | | | | | |
| RG146 Specialist Knowledge Requirements | Financial Planning | | | X | X | X | X | X | X | X |
| | Securities | | | | X | | | X | | |
| | Derivatives | | | | X | | | X | | |
| | Managed Investments | | | | X | | | X | X | X |
| | Superannuation | | | | X | | | | X | X |
| | Insurance - general, life and broking | | | | X | | | X | | |
| | Deposit products and non-cash payment products | | | | | | | X | | |
| | Foreign exchange | | | | | | | X | | |
| | Margin Lending Facilities | | | | X | | | X | | |
| | Regulated Emissions Units | | | | | | | X | | |
| RG146 Skill Requirements | Establish relationship with client | | X | | X | X | X | X | X | X |
| | Identify client objectives, needs and financial situation | | X | | X | X | X | X | X | X |
| | Analyse client objectives, needs and financial situation | | X | | X | X | X | X | X | X |
| | Develop appropriate strategies and solutions | | X | | X | X | X | X | X | X |
| | Present appropriate strategies and solutions | | X | | X | X | X | X | X | X |
| | Negotiate financial plan/policy/transaction | | | | X | | | | | |
| | Complete and maintain necessary documentation | | | | X | | | | | |
| Provide ongoing service | | | | X | | | | | | |

RG146 Contact: Derek Gleeson, derek.gleeson@westernsydney.edu.au



WESTERN SYDNEY UNIVERSITY: MASTER OF FINANCIAL PLANNING

This degree was launched in 2015 and was initially called Master of Commerce (Financial Planning).
(See next entry.)

| RG146 Requirements | | 200817 Business Communications Skills | 200866 Principles of Financial Planning | 200868 Investment Planning | 200432 Commercial Law | 200867 Superannuation | 200871 Planning for Retirement | 200870 Insurance & Risk Management | 200869 Principles of Taxation | 51168 Funds Management & Portfolio | 200872 Contemporary Issues in Taxation | 200829 Business Project or 200830 Internship* |
|--|--|---------------------------------------|---|----------------------------|-----------------------|-----------------------|--------------------------------|------------------------------------|-------------------------------|------------------------------------|--|--|
| RG146 Generic Knowledge Requirements | The Economic Environment | | X | | | X | X | | X | X | X | X |
| | Operation of Financial Markets | | | X | | | | X | | X | | X |
| | Financial Products | | | X | | X | X | X | X | X | | X |
| RG146 Specialist Knowledge Requirements | Financial Planning | | X | X | | X | X | X | X | X | X | X |
| | Securities | | X | X | X | X | X | X | X | X | X | X |
| | Derivatives | | X | X | X | | | | | X | | X |
| | Managed Investments | | X | | | | | | X | X | | X |
| | Superannuation | | | | | X | X | | X | | X | X |
| | Insurance – general, life and broking | | X | | | | X | | X | | X | X |
| | Deposit Products and non-cash payment products | | | X | | | | | | X | | X |
| | Foreign Exchange | | | | | | | | | X | | X |
| | Margin Lending Facilities | | | X | | | | | X | X | | X |
| Regulated Emissions Units | | | | | | | | | X | X | X | |
| RG146 Skill Requirements | Establish relationship with client | X | X | | | | | | | | | X |
| | Identify client objectives, needs and financial situation | X | X | | | | | | | | | X |
| | Analyse client objectives, needs and financial situation | | X | | | | | | | | | X |
| | Develop appropriate strategies and solutions | | X | | | | | | | | | X |
| | Present appropriate strategies and solutions to the client | | X | | | | | | | | | X |
| | Negotiate financial plan/policy/transaction | X | X | | | | | | | | | X |
| | Complete and maintain necessary documentation | X | X | | | | | | | | | X |
| Provide ongoing service (optional at discretion of client) | | X | | | | | | | | | X | |

*200829 and 200830 are capstone units therefore comprehensively assure learning in all aspects of the course

RG146 Contact: Derek Gleeson, derek.gleeson@westernsydney.edu.au



WESTERN SYDNEY UNIVERSITY: MASTER OF COMMERCE (FINANCIAL PLANNING)

This listing is for course code 2671. It was replaced by the Master of Financial Planning from 2015 (see prior entry).

| RG146 Requirements | | CO801A Principles of Financial Planning | CO802A Principles of Investment Planning | CO803A Planning for Retirement | CO804A Insurance & Risk Management | CO805A Estate Planning and Professional Responsibilities | CO806A Current Issues in Financial Planning | AC808A Taxation and Planning and Implications | LW805A Capital Gains Tax |
|--|--|---|--|--------------------------------|------------------------------------|--|---|---|--------------------------|
| | | Core | | | | | Alternate | | |
| RG146 Generic Knowledge Requirements | The Economic Environment | x | | | | | | | |
| | Operation of Financial Markets | x | x | | | | | | |
| | Financial Products | x | x | | | | | | |
| RG146 Specialist Knowledge Requirements | Financial Planning | x | x | x | x | x | x | x | x |
| | Securities | | x | | | | x | x | x |
| | Derivatives | | x | | | | x | | |
| | Managed Investments | | x | | | | x | | |
| | Superannuation | | | x | | | x | | |
| | Insurance – general, life and broking | | | | x | | x | | |
| | Deposit Products and non-cash payment products | | x | | | | x | | |
| | Foreign Exchange | | x | | | | x | | |
| | Margin Lending Facilities | | x | | | | x | | |
| Regulated Emissions Units | | x | | | | x | | | |
| RG146 Skill Requirements | Establish relationship with client | x | x | x | x | x | x | x | |
| | Identify client objectives, needs and financial situation | x | x | x | x | x | x | x | x |
| | Analyse client objectives, needs and financial situation | x | x | x | x | x | x | x | x |
| | Develop appropriate strategies and solutions | x | x | x | x | x | x | x | x |
| | Present appropriate strategies and solutions to the client | x | | | | | x | | |
| | Negotiate financial plan/policy/transaction | x | | | | | x | | |
| | Complete and maintain necessary documentation | x | | | | | x | | |
| Provide ongoing service (optional at discretion of client) | x | | | | | x | | | |

RG146 Contact: Derek Gleeson, derek.gleeson@westernsydney.edu.au



UNIVERSITY OF WOLLONGONG: BACHELOR OF COMMERCE (FINANCIAL PLANNING)

This degree is an FPEC-approved degree for students who commenced prior to 30 June 2014.

| ASIC Area | ACCY228: Tax Planning | FIN223: Investment Analysis | FIN252: Personal Finance | FIN320: Risk and Insurance | FIN323: Portfolio Analysis | FIN328: Retirement and Estate Planning | FIN329: Advanced Financial Planning | ECON101: Macroeconomic Essentials for Business OR ECON100: Economic Essentials for Business | LAW101: Law, Business and Society | MARK101: Marketing Principles | MGMT110/MGNT110: Introduction to Management |
|--|-----------------------|-----------------------------|--------------------------|----------------------------|----------------------------|--|-------------------------------------|---|-----------------------------------|-------------------------------|---|
| General Knowledge | | X | X | | | | X | X | X | | |
| Financial Planning | X | X | X | X | X | X | X | | X | | |
| Securities | X | X | X | | X | | X | | X | | |
| Derivatives | | X | X | | X | | X | | | | |
| Managed Investments | X | | X | X | | X | X | | | | |
| Superannuation | X | | X | X | | X | X | | | | |
| Insurance | X | | X | X | | | X | | X | | |
| Insurance (Specialist) | | | X | X | | | | | | | |
| Deposit Products and Non-Cash Payment Products | X | | X | | | X | X | | | | |
| Foreign Exchange | X | X | | | X | | | | X | | |
| Skills | X | | X | | | | X | | X | X | X |

Contact:

Karin Wells, Accreditation Manager, Faculty of Business

karin_wells@uow.edu.au