



Automatic Exemption List, 2010

This document provides a comprehensive list of pre-approved exemptions for Kaplan Vocational Education and Higher Education subjects.

To qualify for these exemptions you must provide a certified copy of your transcript, certificate or other credentials (e.g. evidence of successful completion of the ICAA CA program) to verify you have met the exemption requirements for the subject.

Read carefully the information in the Automatic Exemption Kit and Application Form.

Fees

Vocational Education – \$55 per subject.*

Higher Education – No fee

*There is no fee for Automatic Exemptions awarded for a Kaplan subject based on completion of a Finsia/Securities Institute of Australia (SIA), Tribeca/Integratec, Investment Training College or Paraplanning Professionals or other Kaplan subject.

Other methods of obtaining exemptions if the subject you have completed is not on this list

If a subject you have studied and successfully completed is not on this list you may obtain an exemption into a Kaplan award course via other methods.

- Vocational education subject exemptions may be achieved via Mutual Recognition or RPL.
- Higher education subject exemptions may be applied for by submitting an exemption application that requires you to demonstrate how you have met the subject requirements through previous study and/or work experience.

If you have a Statement of Attainment from a Registered Training Organisation you may qualify for an exemption under Mutual Recognition for which there is no fee (Vocational Education only). Please see the Mutual Recognition Kit and Application Form to determine if you qualify for this method of exemption.

If you are not able to apply via the above methods you may also be able to achieve the subject via Assessment Only or a Challenge Test. (Please note these options are not available for all subjects.)

Other documents related to this kit

1. Kaplan Recognition Policy
2. Automatic Exemptions Kit and Application Form
3. Mutual Recognition Kit and Application Form

All documents are available on the Kaplan website on the [‘Recognition & Exemptions’](#) page.

Automatic exemptions — Higher education subjects

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
Asian Securities Analysts Federation (ASAF)		
Certified International Investment Analyst (CIIA)	FIN113 Techniques in Financial Analysis	Graduate Certificate in Applied Finance Graduate Diploma of Financial Planning
	FIN113 Techniques in Financial Analysis + FIN226 Investment Management	Master of Applied Finance Graduate Diploma of Applied Finance
Association of Chartered Certified Accountants (ACCA)		
ACCA professional scheme (Part One and Part Two. Nine papers including 2.5 Financial Reporting International)	FIN113 Techniques in Financial Analysis	Master of Applied Finance and its nested qualifications Graduate Diploma of Financial Planning
CFA Institute (CFA)		
CFA Level I	FIN111 Financial Markets and Economic Principles + FIN113 Techniques in Financial Analysis	Master of Applied Finance and its nested qualifications Graduate Diploma of Financial Planning
CFA Level II	FIN111 Financial Markets and Economic Principles + FIN113 Techniques in Financial Analysis	Master of Applied Finance and its nested qualifications Graduate Diploma of Financial Planning
CFA Level III Charterholders	4 compulsory core subjects	Graduate Diploma of Financial Planning
	4 compulsory core subjects plus 12 credit points (2 general elective exemptions)	Master of Applied Finance
CPA Australia		
CPA Australia membership Requires completion of the CPA Program (or the CPA Australia conversion course) Documentation is required for both membership and program completion	FIN111 Financial Markets and Economic Principles + FIN112 Law, Regulation and Ethics + FIN113 Techniques in Financial Analysis + FIN114 Risk Management in Finance Sector Enterprises	Master of Applied Finance Graduate Diploma of Applied Finance Graduate Diploma of Financial Planning

Automatic exemptions — Higher education subjects (continued)

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
Financial Planning Association (FPA)		
CFP Certification Program	FIN211 Financial Planning Fundamentals + FIN212 Investment Products + FIN213 Superannuation and Retirement Planning + FIN214 Insurance, Succession and Estate Planning	Graduate Diploma of Financial Planning
Global Accounting Alliance (GAA)		
<p>Applicants must provide evidence of successful completion of a Chartered Accountant or Certified Public Accountant qualification awarded by one of the following GAA member organisations:</p> <p>The Institute of Chartered Accountants in England & Wales (ICAEW) The Institute of Chartered Accountants of Scotland (ICAS) The Institute of Chartered Accountants in Ireland (ICAI) The New Zealand Institute of Chartered Accountants (NZICA) Hong Kong Institute of Certified Public Accountants (HKICPA) Chartered Accountants of Canada (CICA) The South African Institute of Chartered Accountants (SAICA) The American Institute of Certified Public Accountants (AICPA) The Japanese Institute of Certified Public Accountants (JICPA)</p>	FIN111 Financial Markets and Economic Principles + FIN113 Techniques in Financial Analysis + FIN114 Risk Management in Finance Sector Enterprises	Master of Applied Finance Graduate Diploma of Applied Finance
Institute of Chartered Accountants Australia (ICAA)		
ICAA membership* (except for affiliate members) <small>*Requires completion of the Chartered Accountants Program (or the ICAA conversion course where applicable).</small> Documentation is required for both membership and program completion.	FIN111 Financial Markets and Economic Principles + FIN112 Law, Regulation and Ethics + FIN113 Techniques in Financial Analysis + FIN114 Risk Management in Finance Sector Enterprises	Master of Applied Finance Graduate Diploma of Applied Finance

Automatic exemptions — Vocational education subjects

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
AIFS		
Insurance Planning Principles and Applications	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
Investment Planning 1	Investment Planning 1 (IP1)	FNS50804 Diploma of Financial Services (Financial Planning)
Superannuation and Retirement Planning	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
Advanced Investment Planning	Investment Planning 2 (IP2)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
AMP		
Financial Services Competencies Program (Core General and Life Insurance)	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
Financial Services Competencies Program (Superannuation)	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
ASFA		
108 Retirement Principles + ASFA 100 Overview of theory and Practice	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
108 Retirement Principles + ASFA 200 Trusteeship	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
146 Fast Track Superannuation	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
AXA		
Estate Planning Course	Estate Planning (EP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
CPA		
Insurance and Risk Management in Financial Planning	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
Intensive Course in Financial Planning	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
110 Personal Financial Planning and Superannuation	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
Taxation 105	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)

Automatic exemptions — Vocational education subjects (continued)

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
Financial Planning Association (FPA)		
DFP2	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
DFP3	Investment Planning 1 (IP1)	FNS50804 Diploma of Financial Services (Financial Planning)
DFP4	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
DFP5	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
DFP6	Estate Planning (EP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
DFP7	Investment Products 2 (IP2)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
Finsia Education – see Securities Institute of Australia (SIA) below		
Kaplan Professional - No fee		
FIN226 Investment Management	921 Specialist Knowledge: Managed Investments	Tier 1 compliance subject
FIN229 Futures and Options Markets and Trading	922 Specialist Knowledge: Derivatives	Tier 1 compliance subject
FIN241 Foreign Exchange Markets	927 Specialist Knowledge: Foreign Exchange	Tier 1 compliance subject
Investment Training College - No fee		
Certificate Course in Risk Management Planning and Insurance Planning	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
Certificate 3 Course Investment and Personal Financial Planning	Investment Planning 1 (IP1)	FNS50804 Diploma of Financial Services (Financial Planning)
Certificate Course Principles of Investment Planning	Investment Planning 1 (IP1)	FNS50804 Diploma of Financial Services (Financial Planning)
Certificate 3 Course Investment and Personal Financial Planning	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
Macquarie University		
Taxation Planning	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
Estate Planning and Professional Responsibilities	Estate Planning (EP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)

Automatic exemptions — Vocational education subjects (continued)

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
Paraplanning Professionals - No fee		
Retirement Planning and Principles	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
RMIT		
PS146 Superannuation	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
Taxation Planning Fundamentals	Taxation Planning (TP)	FNS60404 Adv. Diploma of Financial Services (Financial Planning)
Securities Institute of Australia (SIA)/Finsia Education - No fee		
D502 Managing Risk	Risk Management (RM) + Skills Assessment	FNS50804 Diploma of Financial Services (Financial Planning)
D503 Financial Products I	Investment Planning 1 (IP1) + Skills Assessment	FNS50804 Diploma of Financial Services (Financial Planning)
D504 Superannuation and Planning	Superannuation & Retirement Planning (SRP) + Skills Assessment	FNS50804 Diploma of Financial Services (Financial Planning)
DL1 Introduction to the Lending Industry	D511 Introduction to the Lending Industry	FNS50107 Diploma of Financial Services – Lending Pathway
DL2 Evaluating Loans - Financial Reports	D512 Evaluating Loans - Financial Reports	FNS50107 Diploma of Financial Services – Lending Pathway
DL3 Finsia - Evaluating Loans - Risk Assessment	D513 Evaluating Loans - Risk Assessment	FNS50107 Diploma of Financial Services – Lending Pathway
DL4 Finsia - Loan Evaluation and Processing	D514 Loan Evaluation and Processing	FNS50107 Diploma of Financial Services – Lending Pathway
DFM1 The Finance and Investment Industry	D515 The Finance and Investment Industry	FNS50107 Diploma of Financial Services – Financial Markets Pathway
DFM2 The Finance and Investment Industry	D516 Financial Markets Economics	FNS50107 Diploma of Financial Services – Financial Markets Pathway
DFM3 Securities, Derivatives and Managed Investments + DFS10 Skills and OH&S Bridging Module	D517 Securities, Derivatives & Managed Investments	FNS50107 Diploma of Financial Services – Financial Markets Pathway
DFM4 Derivatives: Applying Theory to Practice	D518 Derivatives: Applying Theory to Practice	FNS50107 Diploma of Financial Services – Financial Markets Pathway
DFM5 Analysing Financial Statements	D519 Analysing Financial Statements	FNS50107 Diploma of Financial Services – Financial Markets Pathway
D503 Financial Products 1	D517 Securities, Derivatives & Managed Investments	FNS50107 Diploma of Financial Services – Financial Markets Pathway

Automatic exemptions — Vocational education subjects (continued)

Completed subject or course with other provider	Automatic subject or course exemption	Kaplan course
Securities Institute of Australia (SIA)/Finsia Education - No fee		
MB406 Mortgage Industry and Products + DL10 Introduction to the Lending Industry Upgrade	D511 Introduction to the Lending Industry	FNS50107 Diploma of Financial Services – Lending Pathway
TAFE Certificate III in Mortgage Lending + DL10 Introduction to the Lending Industry Upgrade	D511 Introduction to the Lending Industry	FNS50107 Diploma of Financial Services – Lending Pathway
505 Risk Management and Insurance Products	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
E153 Risk Management and Estate Planning	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
C4 Financial Planning Essentials	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
511 Superannuation Advice and Regulation	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
E152 Superannuation and Retirement Planning	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
E151 Taxation and Strategies for Financial Planning	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
C1 Financial Markets and Economics	910 Generic Knowledge	Tier 1 compliance subject
C1 Financial Markets and Economics	D516 Financial Markets Economics	FNS50107 Diploma of Financial Services
C2 Financial Analysis and Valuation	D519 Analysing Financial Statements	FNS50107 Diploma of Financial Services
157 Financial Planning Skills	Skills Assessment	FNS50804 Diploma of Financial Services (Financial Planning)
E153 Risk Management & Estate Planning	Risk Management (RM)	FNS50804 Diploma of Financial Services (Financial Planning)
E152 Superannuation and Retirement Planning	Superannuation & Retirement Planning (SRP)	FNS50804 Diploma of Financial Services (Financial Planning)
E151 Taxation and Strategies for Financial Planning	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
E153 Risk Management & Estate Planning	Estate Planning (EP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
E122 Applied Portfolio Management	Investment Planning 2 (IP2)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)
University of Newcastle		
Taxation in Australia ACFI 3170	Taxation Planning (TP)	FNS60404 Advanced Diploma of Financial Services (Financial Planning)