

TIER 1 COMPLIANCE SOLUTION

KAPLAN
PROFESSIONAL

Kaplan Professional is part of Kaplan, Inc., the world's largest diversified education company and a subsidiary of The Washington Post Company (NYSE:WPO).

We've brought together Australia's foremost education companies to become one of the country's largest and most experienced providers of professional education for the financial services, tax and accounting and real estate sectors.

ACCREDITED PRACTICAL RELEVANT

Kaplan Professional offers a range of solutions to help you meet your ASIC Regulatory Guide 146 (RG 146) compliance requirements — from our Tier 1 Compliance Solution and RG 146 Assessment and Gap Training Program to the Diploma of Financial Services (Financial Planning) and Graduate Diploma of Applied Finance. Our programs cater for advice providers of all types and at every level, from people new to the industry to responsible officers.

Tier 1 compliance

Under ASIC Regulatory Guideline 146, any adviser who provides advice on Tier 1 products must meet the Tier 1 training standards outlined by ASIC. Kaplan Professional's Tier 1 Compliance Solution is a flexible, cost-effective way to ensure your financial advisers and planners meet their Tier 1 requirements.

Program structure

Kaplan Professional's Tier 1 Compliance Solution is made up of the following components:

- Generic Knowledge
- Specialist Knowledge
 - Derivatives (FNSASIC503VB)
 - Securities (FNSASIC503WB)
 - Managed Investments (FNSASIC503TB)
 - Superannuation (FNSASIC503UB)
 - Life Insurance (FNSASIC503XB)
 - Foreign Exchange (FNSASIC503SB)
 - Financial Planning (FNSASIC503ZB)
- Adviser Skills

To provide personal advice on specific financial products, advisers must complete the Generic Knowledge component, the Specialist Knowledge component(s) relevant to the product(s) they advise on and the Adviser Skills component.

To provide general advice on specific financial products, advisers must only complete the Generic Knowledge component and the Specialist Knowledge component(s) relevant to the product(s) they advise on. They are not required to complete the Adviser Skills component.

TIER 1 COMPLIANCE SOLUTION

A FLEXIBLE WAY TO ENSURE YOUR FINANCIAL ADVISERS
MEET THEIR TIER 1 REQUIREMENTS 

FLEXIBLE
CONVENIENT
COST-EFFECTIVE

Flexible delivery

Our Tier 1 Compliance Solution is offered via self-study. It can also be delivered via in-house workshops. Either way, advisers will receive comprehensive study notes and online learning resources. In addition, the solution can be customised to be integrated with your own organisation's induction program.

Convenient assessment

Each knowledge component is assessed by an online open-book multiple-choice exam. These exams are offered every two weeks so compliance can be fast-tracked. For the Adviser Skills component, advisers complete one written case study only.

Recognition of prior learning and experience

Advisers who are employed in the industry and have professional experience consistent with ASIC RG 146 requirements may be able to fast-track their compliance through an assessment-only alternative.

Statement of Attainment awarded

Upon successful completion of the Tier 1 Compliance Solution, each adviser will receive a nationally recognised Statement of Attainment listing the relevant competencies achieved.

Future pathways

The competencies attained may be credited towards Kaplan Professional's Diploma of Financial Services (Financial Planning) FNS50804.

Accredited and recognised

Kaplan Professional is a Registered Training Organisation. Our Tier 1 Compliance Solution is listed on the ASIC training register.

Find out more

To find out more about our Tier 1 Compliance Solution call **1300 662 203** or send an email to **corporatesolutions@kaplan.edu.au**.

**KAPLAN PROFESSIONAL'S
COMPLIANCE OFFERINGS**

TIER 1 COMPLIANCE SOLUTION

TIER 2 COMPLIANCE SOLUTION

**RG 146 ASSESSMENT &
GAP TRAINING PROGRAM**

RG 146 NEEDS ANALYSIS

**RG 146 WORKPLACE
SKILLS ASSESSMENTS**

**GRADUATE DIPLOMA OF
APPLIED FINANCE**

**DIPLOMA OF
FINANCIAL SERVICES
(FINANCIAL PLANNING)**

START TODAY

1300 662 203

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