



Subject Outline

DFSE204 Investment fundamentals



Section 1 — General information

1.1 Administrative details

Duration	Credit points	Level
One study period (12 weeks)	3	AQF5

1.2 Core or elective subject

This is an elective subject for the Diploma of Financial Services (DFS).

1.3 Delivery mode

This subject is delivered online.

1.4 Assumed knowledge

Whilst there are no prerequisites for this subject, Kaplan assumes students have previously acquired knowledge of relevance in accordance with the entry requirements, specifically via a prior qualification and/or equivalent work experience.

1.5 Course transition subject equivalence

Students may not be required to complete this subject if they have transitioned from a SIA/Finsia/Kaplan course and have completed the following subjects:

- Tier 1: Securities and Managed Investments – General Advice

1.6 Work integrated learning

There are no placements, internships or work experience requirements associated with undertaking this subject.

1.7 Other resource requirements

Students do not require access to specialist facilities and/or equipment to undertake this subject.



Section 2 — Academic details

2.1 Subject overview

This subject introduces students to the concepts of securities and managed investments as they apply to retail clients.

Students will examine the purpose of investing: the return and risk undertaken in making investments as well as the relationship between the two concepts. Principles of portfolio construction will be examined by analysing the characteristics of different types of direct equities and managed investments. This examination of portfolio construction will include consideration of the role of diversification in managing risk, regulation of investments, key disclosure documentation, and the impact of taxation on investing.

This subject meets the specialist knowledge of securities and managed investments component under ASIC's Regulatory Guide 146 Licensing: Training of financial product advisers for general advice.

2.2 Subject learning outcomes

On successful completion of this subject, students should be able to:

1. Identify the regulatory framework, obligations and taxation treatment for investments.
2. Discuss the characteristics and risks of securities and managed investments.
3. Describe the principles and concepts of risk management and diversification involved in portfolio construction.
4. Explain the role of portfolio construction in managing risk and return for investors.

2.3 Topic learning outcomes

Topic 1: Overview of Investing

On successful completion of this topic, students should be able to:

- Discuss the characteristics and risks of securities and managed investments.
- Describe the principles and concepts of risk management and diversification involved in portfolio construction.
- Explain the role of portfolio construction in managing risk and return for investors.

Topic 2: Investment regulation, documentation and taxation

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.



Topic 3: Debt securities

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.

Topic 4: Equity securities

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.

Topic 5: Evaluating and trading securities

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.
- Explain the role of portfolio construction in managing risk and return for investors.

Topic 6: Managed Investments

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.
- Describe the principles and concepts of risk management and diversification involved in portfolio construction.

Topic 7: Portfolio construction and risk management

On successful completion of this topic, students should be able to:

- Identify the regulatory framework, obligations and taxation treatment for investments.
- Discuss the characteristics and risks of securities and managed investments.
- Describe the principles and concepts of risk management and diversification involved in portfolio construction.
- Explain the role of portfolio construction in managing risk and return for investors.



2.4 Assessment schedule

Assessment	Description	Week	Topics	Weighting	Subject learning outcomes assessed
Quiz 1	The online quiz consists of 20 multiple-choice questions.	4	1 - 4	20%	LO1, LO2
Task (Research report)	Source and then compare at least three alternative publicly available investment funds.	10	3 - 6	30%	LO2, LO3
Assignment (Case Study)	Evaluate information provided in a case study to develop appropriate portfolio recommendations.	12	1 - 7	50%	LO1, LO2, LO3, LO4

Please refer to our website <www.kaplanprofessional.edu.au> to review student policies relating to your assessment, including the *Kaplan Assessment Policy* and *Academic Integrity and Conduct Policy*.

2.5 Prescribed text

There is no prescribed text for this subject. Refer to the required readings and recommended resources in the 'Learning' tab of this subject room.

2.6 Study plan

Week	Topic	Hours
1	Topic 1: Overview of investing	10
2	Topic 2: Investment regulation, documentation and taxation	10
3	Topic 3: Debt securities	10
4	Topic 4: Equity securities	10
	Complete Quiz (20% weighting)	
5	Topic 5: Evaluating and trading securities	10
6	Topic 6: Managed investments	10
7	Topic 7: Portfolio construction and risk management	10
8	Work on Task	10
9	Work on Task	10
10	Work on Assignment	10
	Submit Task (30% weighting)	
11	Work on Assignment	10
12	Submit Assignment (50% weighting)	10
Total hours		120

Additional study hours (if required), dependent on knowledge and personal commitments	30 hours
Total study load, including additional study hours	150 hours