FNS50315
Diploma in Finance and Mortgage Broking Management — Diploma Upgrade Module
Course outline — The ‘Diploma Upgrade Module’

(FNS50315) Diploma in Finance and Mortgage Broking Management — Diploma Upgrade Module

Course overview

The (FNS50315) Diploma in Finance and Mortgage Broking Management — ‘Upgrade Module’ provides students with the opportunity to build on their prior learning and complete a qualification that will provide them with an excellent understanding of critical aspects of the finance mortgage broking industry, enabling the delivery of sound advice to clients. It meets the licensing requirements for mortgage brokers specified by ASIC Regulatory Guide (RG206).

This qualification reflects management job roles in finance broking (including mortgaging broking), including roles that are independent, undertaken through an aggregator, or involve managing a workplace team.

Only students who have recently completed a (FNS40815) Certificate IV in Finance and Mortgage Broking qualification, or equivalent, are eligible for entry into this course.

Learning outcomes

Upon successful completion of this qualification, students should be able to:

1. Accurately and efficiently evaluate and process credit applications.
2. Identify and meet the needs of clients with specialised and complex financing needs, including commercial, business, property and leasing finance.
3. Analyse financial statements and the application of financial ratios in assessing the viability of proposals.
4. Demonstrate self-management skills in building and maintaining a client base in the finance and mortgage broking industry.

Course topics

Topic 1-1: Identifying and developing complex broking options
Topic 1-2: Presenting and implementing complex broking options
Topic 2-1: Business Growth and Marketing
Topic 2-2: Business Operations
Topic 2-3: People Management
Units of competency for Diploma in Finance and Mortgage Broking Management — Diploma Upgrade Module

<table>
<thead>
<tr>
<th>Unit code</th>
<th>Unit title</th>
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<tbody>
<tr>
<td>FNSFMB401</td>
<td>Prepare loan application on behalf of finance or mortgage broking clients</td>
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<tr>
<td>FNSFMB402</td>
<td>Identify client needs for broking services</td>
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<tr>
<td>FNSFMB403</td>
<td>Present broking options to client</td>
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<tr>
<td>FNSFMB505</td>
<td>Comply with financial services legislation and industry codes of practice</td>
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<tr>
<td>FNSINC401</td>
<td>Apply principles of professional practice to work in the financial services industry</td>
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<tr>
<td>FNSFMB502</td>
<td>Identify and develop broking options for clients with complex needs</td>
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<tr>
<td>FNSFMB503</td>
<td>Present broking options to clients with complex needs</td>
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<tr>
<td>FNSFMB504</td>
<td>Implement complex loan structures</td>
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<tr>
<td>FNSRSK502</td>
<td>Assess risks</td>
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<tr>
<td>FNSCUS501</td>
<td>Develop and nurture relationships with clients, other professionals and third party referrers</td>
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<tr>
<td>BSBRSK401</td>
<td>Identify risk and apply risk management processes</td>
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<tr>
<td>FNSPRM603</td>
<td>Grow the practice</td>
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<tr>
<td>FNSPRM602</td>
<td>Improve the practice</td>
</tr>
<tr>
<td>BSBMGT502</td>
<td>Manage people performance</td>
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<tr>
<td>BSBMGT401</td>
<td>Show leadership in the workplace</td>
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Course duration and work load

Students have an enrolment period of 12 weeks to complete the assessment requirements for the (FNS50315) Diploma of Finance and Mortgage Broking Management Upgrade Module.

Depending on level of experience, students should expect to spend up to 10 hours a week reading their notes, completing the learning activities, preparing for the exams and doing their assignments.

Additional time is available if students are required to re-submit an assignment and/or resit an examination.

Course delivery mode

This course is delivered in online in KapLearn. Students are provided with learning materials and assessment tasks via KapLearn. Interaction with a subject tutor occurs online via Ask Your Tutor. Students are also provided with hard copy subject notes for their reference.
Course pre-requisites

Applicants must have a (FNS40815) Certificate IV in Finance and Mortgage Broking qualification, or equivalent to be eligible for entry into The Diploma Upgrade Module.

Assessment tasks

There are two assessment tasks in this course:

A supervised online open book examination

An assignment

Students may attempt their exam and/or submit their assignment at any time before the conclusion of a subject if they think they are adequately prepared. Students will receive personal reminder emails as they approach their assessment deadlines. The first sit of an exam and the first submission of an assignment must be completed before the end of the 12 week enrolment period.

Fees

An updated schedule of fees is available at the Kaplan Professional website: <www.kaplanprofessional.edu.au>.

Course/subject exemptions

Students may be able to obtain an exemption for a Kaplan award course/subject based on their previous study or work experience. To do this they must submit evidence that demonstrates they have already met the requirements of the course/subject through these other means.

Evidence can take many forms, including other accredited training and/or education, continuing professional development and workplace experience.

Kaplan’s exemption policy and the request pro forma are available at: <www.kaplanprofessional.edu.au> → RPL & Exemptions

Only applicants who have a (FNS40815) Certificate IV in Finance and Mortgage Broking, or equivalent, are eligible to enrol in the (FNS50315) Diploma of Finance and Mortgage Broking Management – ‘Diploma Upgrade Module’.

Education policies

Students who enrol in a Kaplan course are bound by our published Educational Policies, including the policy that sets out our rules for assessment. They can review these policies before they enrol by going to the Kaplan website: <http://www.kaplanprofessional.edu.au/Study_Information/Policies>.

The policies also assist students when their study program does not go as planned and they need extra support.