



**Recognition of Prior Learning Application
(existing financial adviser)**

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PART 1: RECOGNITION OF PRIOR LEARNING INFORMATION

What is Recognition of Prior Learning?

At Kaplan Professional, we recognise that you may be eligible for Recognition of Prior Learning as a result of your prior studies and industry experience. When you apply for Recognition of Prior Learning, we will assess your prior studies and experience, and you may be awarded advanced standing (also known as “credit”) for a portion of the course in which you are currently studying. Recognition of Prior Learning may result in a reduction of the amount of study required to achieve your qualification.

Recognition of Prior Learning for existing financial advisers

This Recognition of Prior Learning application form is for existing financial advisers seeking credit as part of their Financial Adviser Standards and Ethics Authority (FASEA) education pathway.

A person will demonstrate that they are an existing adviser if they:

- were listed on the financial advisers register as being authorised to provide personal advice at any time between 1 January 2016 and 1 January 2019 (either under the heading of ‘Current appointment(s)’ or ‘Previous appointment(s)’).
- were not banned, disqualified or subject to an enforceable undertaking (where they undertook to not provide financial product advice or financial services in any capacity) on 1 January 2019.

FASEA’s [FPS001 Education Pathways Policy](#) provides the collective rules and expectations of FASEA in relation to ensuring existing advisers complete the appropriate education. This includes four education pathways (applicable to existing advisers only):

1. the approved degree pathway
2. the relevant degree pathway
3. the non-relevant/other degree pathway
4. the no degree pathway.

In terms of Recognition of Prior Learning provided under FASEA’s [FPS001 Education Pathways Policy](#), Existing Advisers are eligible, dependent on the pathway, for credits via Recognition of Prior Learning.

This application form is to be used by existing advisers seeking Recognition of Prior Learning in accordance with these FASEA requirements.

How to complete your application

Applicants must fully complete this application form and submit the completed application to rpl@kaplan.edu.au ensuring they have:

- completed the application form and signed the declaration;
- supplied the required supporting evidence.

Note: Your application for Recognition of Prior Learning will not be reviewed until the completed application, signed declaration and required evidence has been provided.

Advanced Standing guidelines

Advanced Standing is awarded in accordance with Kaplan Professional's [Recognition of Prior Learning Policy](#) and [FASEA Transition Policy](#).

Important to note:

- Advanced Standing in accordance with FASEA's requirements will be assessed and awarded towards Kaplan's Graduate Diploma of Financial Planning qualification or Master of Financial Planning qualification only.
- Students may obtain Advanced Standing up to a maximum of 50% of the total number of subjects in a specified course.
- Kaplan Professional will not grant Advanced Standing for any subjects if the subject has been awarded Advanced Standing or credit previously at either Kaplan or another provider.

How long will the assessment of my application take?

Kaplan Professional will respond to your application within 10 working days. If insufficient supporting evidence is provided, your application may be delayed or declined.

How will my application be assessed?

Kaplan Professional will undertake an academic review of your application based on your supporting evidence. Kaplan Professional may contact you if further details are required to review your application, which may result in a delay in the assessment of your application.

If your application is approved, Advanced Standing may be granted for the relevant subjects. If your application for Recognition of Prior Learning is declined, you will need to enrol into and complete the relevant subjects in order to complete your qualification.

Can I appeal the outcome of any decision related to my application?

You may appeal the outcome of Kaplan Professional decision in accordance with the [Complaints and Appeals policy](#) located on our website.

PART 2: RECOGNITION OF PRIOR LEARNING APPLICATION FORM

REQUIRED PERSONAL DETAILS					
Title:	<input type="checkbox"/> Mr <input type="checkbox"/> Ms <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Dr			AR number*:	
Student ID: (existing students)				Preferred customer code: (if applicable)	
First name:				Middle names(s)	
Last name(s):				Preferred name:	
Gender:	<input type="checkbox"/> Male <input type="checkbox"/> Female			Date of birth:	
Contact details					
Work:		Home:		Mobile:	
Email:					
Permanent residential address (Compulsory)					
Street address					
Suburb:		State:		Country:	
				Postcode:	
Business details					
Business name:					
Street address or PO Box:					
Suburb:		State:		Country:	
				Postcode:	
Preferred mailing address: (please indicate)					
Residential <input type="checkbox"/> Business <input type="checkbox"/>					

* Financial Adviser/Authorised Representative Number (given by ASIC — Australian Advisers only)

Course and subject:

Please indicate the postgraduate course into which you are seeking Recognition of Prior Learning:

- Graduate Diploma of Financial Planning
 Master of Financial Planning

Are you currently enrolled in the course/s for which you are seeking Recognition of Prior Learning?

- Yes No

Recognition of Prior Learning options

Option 1: Recognition of Prior Learning based on an Advanced Diploma (or equivalent)

Submit an application via this option if you have completed one of the following qualifications:

- Advanced Diploma of Financial Planning
- Advanced Diploma of Financial Services (Financial Planning)
- Diploma of Financial Planning (DFP 1–8) — awarded by the Financial Planning Association (FPA)
- Diploma of Financial Advising (8 subjects) — awarded by Securities Institute
- Diploma of Financial Markets (8 subjects) — awarded by Securities Institute

To apply for Recognition of Prior Learning on this basis, ensure you complete Option 1 on page 7

Option 2: Recognition of Prior Learning based on a FASEA approved professional designation

Submit an application via this option if you have completed coursework in the process of attaining a FASEA approved Professional Designation located on FASEA's website (<https://www.fasea.gov.au/education-requirements/>)

To apply for Recognition of Prior Learning on this basis, ensure you complete Option 2 on page 8

Option 3: Recognition of Prior Learning based on prior study completed at AQF-level 7, 8 or 9

Submit an application via this option if you have completed study at AQF-level 7, 8 or 9.

To apply for Recognition of Prior Learning on this basis, ensure you complete Option 3 on page 9

Option 1: Recognition of Prior Learning based on an Advanced Diploma (or equivalent)

Evidence requirements

- Certified copy of qualification and academic transcript. Refer to [Provision Entry Requirement](#) for guidance as to who can certify your documents.

Note: Your application will not be assessed if the required evidence has not been included. If your prior study was completed with Kaplan, FINSIA or Securities Institute, you do not need to provide your academic records.

Complete the below table to confirm your Recognition of Prior Learning request:

Advanced Diploma Recognition of Prior Learning requirements	Institution	Year Completed
<input type="checkbox"/> Advanced Diploma of Financial Planning*		
<input type="checkbox"/> Advanced Diploma of Financial Services (Financial Planning)*		
<input type="checkbox"/> Diploma of Financial Planning (DFP1–DFP8) issued by the FPA		
<input type="checkbox"/> Diploma of Financial Markets (DFM)		
<input type="checkbox"/> Diploma of Financial Advising (DFA)		

*a diploma awarded by a Registered Training Organisation (RTO) that satisfies the AQF criteria for AQF level 6 or higher and includes 8 units of study that are specific to financial planning or financial advice.

Option 2: Recognition of Prior Learning based on a FASEA approved professional designation

Evidence requirements

- Certified copy of qualification and academic transcript. Refer to [Provision Entry Requirement](#) for guidance as to who can certify your documents.

Note: Your application will not be assessed if the required evidence has not been included.

Complete the below table to confirm your Recognition of Prior Learning request:

Course	Professional Association	Year Completed

Option 3: Recognition of Prior Learning based on prior study completed at AQF-level 7, 8 or 9

Evidence requirements for Australian Degrees

- Certified copy of qualification and academic transcript. Refer to [Provision Entry Requirement](#) for guidance as to who can certify your documents.
- CV/resume, or other applicable documentation, highlighting advising experience and the particular areas of advice.
- Adviser Profile (which shows current scope of advice), or FSG including Adviser Profile
- Employer letter (verifying scope of advice provided and areas).

Evidence requirements for Foreign Qualifications (For students who wish to include a qualification completed overseas as part of their application)

- FASEA issued Foreign Qualifications Assessment – Existing Adviser (further details available here: <https://www.fasea.gov.au/foreign-qualifications/>)
- DET Foreign Qualification Assessment
- Foreign qualification (Testamur and transcript page)
- Completion records of any other study completed in Australia
- CV/resume, or other applicable documentation, highlighting advising experience and the particular areas of advice
- Adviser profile (which shows current scope of advice), or FSG including Adviser Profile
- CPD records (for the last 3 years)
- Employer letter (verifying scope of advice provided and areas).

Note: Your application will not be assessed if the required evidence has not been included. Additional evidence demonstrating your professional experience may be requested.

Complete the below table to confirm your Recognition of Prior Learning request:

#	Qualification awarded	Institution	Date completed
1			
2			
3			
4			
5			

Student declaration

I hereby declare:

- I am an existing financial adviser as defined in the Corporations Act (s 1546a)
- I have accurately and truthfully represented my study and work experience in this application
- I hold a copy of this application in its entirety, including supporting documentation
- I have read the instructions provided on this document and supplied all information required
- I have not sent any original documentation, but I have sent certified copies of originals
- I understand the documentation provided by me will not be returned

Privacy notice

By submitting your application for Recognition of Prior Learning, you consent to Kaplan Professional collecting your personal information (including your name, address, date of birth and other identifying information) for the purpose of administering your enrolment in your chosen course of study. Your enrolment may not be processed or continued if you do not provide all of the information requested. We may disclose personal information about you in accordance with our privacy policy, including to third parties seeking to verify the qualification(s) attained through your course(s) of study. Our privacy policy contains detailed information about how we handle your personal information, how you can access and correct the personal information we hold about you, or make a privacy complaint. You may contact the Privacy Officer (privacy@kaplan.edu.au) for more information.

Please visit our website for a copy of our privacy policy (available at <http://www.kaplanprofessional.edu.au>).

Signature:

Date:

Our privacy policy provides information about how you can access and correct the personal information we hold about you or make a privacy complaint. A copy of our privacy policy is available at <http://www.kaplanprofessional.edu.au/privacy-policy>.