



# Tier 1 Securities — General Advice

# Subject outline

## Subject overview

Tier 1 Securities introduces students to the concepts of securities as they apply to retail clients. The principles underpinning the foundations, regulation and risks associated with the securities industry are also covered. Students will learn how to analyse and trade securities, and will gain an understanding of the documentation and tax requirements when dealing with retail client portfolios.

Upon successful completion, students will meet the education requirements of ASIC Regulatory Guide 146 (RG146) for providing general advice in securities to retail clients.

## Learning outcomes

Upon successful completion of *Tier 1 Securities — General Advice*, students should be able to:

- Outline the characteristics and risks associated with securities.
- Demonstrate their knowledge of the regulation governing the product(s) and the taxation treatment of securities.
- Analyse and evaluate products in relation to different client scenarios.
- Demonstrate technical compliance with RG 146 in securities.
- Provide general retail financial advice in securities and meet all compliance obligations for the provision of that advice.

## Topics

Topic 1: Portfolio construction

Topic 2: Assessing financial risk for client portfolios

Topic 3: Foundations of securities

Topic 4: Equity securities

Topic 5: Debt securities

Topic 6: Evaluating and trading securities

Topic 7: Regulation, documentation and tax.

## Units of competency

There are no units of competency awarded for *Tier 1 Securities — General Advice*.

## Subject entry requirements

The prerequisite for this subject is Tier 1 Generic Knowledge.



## Subject duration

Students have a total of 12 weeks to complete the learning and assessment requirements for *Tier 1 Securities – General Advice* from their initial enrolment date.

The subject does not include hard copy notes and is delivered online.

An additional four weeks (4) per subject is available if required to resit an exam.

## Delivery mode

This subject is delivered online.

Kaplan Professional's online learning portal KapLearn enables the provision of innovative, interactive learning resources and support. KapLearn can be accessed anywhere at any time using a computer or mobile device that has internet access.

KapLearn is the access point for subject notes, supplementary learning material, practice activities and exam. KapLearn is also the access point for ongoing support. The 'Ask your tutor' forum provides continuous technical support from subject matter experts.

## Assessment tasks

The assessment task for the subject is listed below:

Topic	Assessment	Assessment detail
Topics 1–7	1 Exam	Supervised, open book multiple choice examination, four (4) sittings.

Students may attempt the exam at any time if they believe they are adequately prepared. Students will receive personal reminder emails as they approach their assessment deadlines.

Students who complete the subject will receive a certificate of completion.

## Fees

An updated schedule of fees is available at the Kaplan Professional website: <[www.kaplanprofessional.edu.au](http://www.kaplanprofessional.edu.au)>.

## Student policies

Students who enrol in a Kaplan subject are bound by our published policies, including the policy that sets out our rules for assessment. Students can review these policies before they enrol by going to the Kaplan website: <[www.kaplanprofessional.edu.au](http://www.kaplanprofessional.edu.au)>. The policies also assist students when their study program does not go as planned and they need extra support.