



**SGSM**  
SYDNEY GRADUATE SCHOOL  
OF MANAGEMENT



**Stockbrokers  
And Financial Advisers  
Association Limited**



# Stockbroking and Financial Advising







## Bridging Units Non-award

The Financial Adviser Standards and Ethics Authority (FASEA) has determined bridging courses that are a legitimate part of the Education standard for compliance with s1546B(1)(b) of the Corporations Act 2001 (Cth) which requires an existing adviser to have “completed one or more courses determined by the standards body”. They are:

201041	Financial Advice Regulatory and Legal Obligations (Corporations Act, Anti-Money Laundering, Privacy and Tax Practitioners Board)
2010337	Ethics for Professional Advisers (including the FASEA Code of Ethics and Code Monitoring Bodies)
201038	Behavioural Finance: Client and Consumer Behaviour, Engagement and Decision Making

Depending on the pathway, new or existing financial advisers will be required to undertake one or all of the above-named courses. The courses will be at an AQF8 at a Post Graduate level standard and offered standalone during the transition period and will be embedded into relevant programs in the future by higher education providers.

Further details of these bridging courses are set out in the FASEA FPS002 – Program and Provider Accreditation Policy. Go to: [fasea.gov.au/standards/](https://fasea.gov.au/standards/)

Note: Students who complete the three bridge units and the additional FASEA capstone unit, 200960-Statement of Financial Advice Research Project, will be eligible for a Graduate Certificate in Financial Advising.

### HOW TO APPLY

All Australian citizens, New Zealand citizens and permanent residents can apply by contacting the Customer Liaison Officer on  
Ph: **02 9685 9400** or email:  
[financialplanning@westernsydney.edu.au](mailto:financialplanning@westernsydney.edu.au)

# Graduate Certificate of Stockbroking and Financial Planning

<b>Apply Direct Code</b>	2809
<b>UAC Code</b>	950109
<b>Study Mode</b>	0.5F/IP
<b>Location</b>	Online

Developed jointly by the Stockbrokers And Financial Advisers Association (SAFAA) and Western Sydney University's highly regarded Sydney Graduate School of Management (SGSM), the Master of Stockbroking and Financial Advising is set to become the benchmark qualification that employers, regulators, and clients expect from practitioners who work in the stockbroking and financial advisory industry.

Along with membership of SAFAA, a Graduate Certificate, Graduate Diploma or Master of Stockbroking and Financial Advising will be the imprimatur that provides clients with the highest degree of confidence about their stockbroker or financial adviser.

Our graduates have a broad understanding of the finance and investment sector and the rules, regulations and products that are integral to the stockbroking and financial advisory industry.

This qualification also provides new entrants with the foundational tools necessary for competent and ethical entry-level performance in the industry.

## ADMISSION

Applicants must have:

Successfully completed an undergraduate degree, or higher qualification, in business; **OR**

Have a minimum of 3 years full time equivalent managerial/professional work experience in the stockbroking/financial advising industry.

## COURSE STRUCTURE

Qualification for this award requires the successful completion of 40 credit points.

### FULL-TIME

#### YEAR 1

##### QUARTER 1 SESSION

200987	Financial Adviser Communication Skills
200869	Principle of Taxation

##### QUARTER 2 SESSION

200986	Financial Products and Markets
200432	Commercial Law

### PART-TIME

#### YEAR 1

##### QUARTER 1 SESSION

200987	Financial Adviser Communication Skills
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##### QUARTER 2 SESSION

200986	Financial Products and Markets
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##### QUARTER 3 SESSION

200869	Principle of Taxation
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##### QUARTER 4 SESSION

200432	Commercial Law
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## ADVANCED STANDING

In the Graduate Certificate you can gain credit for up to two units from the FASEA approved professional designation program for 200987 – Financial Adviser Communication Skills or 200986 – Financial Products and Markets.

## THE CHALLENGE ASSESSMENT

Advisers with existing knowledge and experience can fast-track their path to full qualifications without doing the coursework of the unit. Challenge Assessments are available for the following six units: Financial Adviser Communication Skills, Financial Products and Markets, Superannuation, Planning for Retirement, Derivatives and Funds Management and Portfolio Selection.

For more information about our course, visit: [westernsydney.edu.au/future/study/courses/postgraduate/graduate-certificate-in-stockbroking-and-financial-advising.html](http://westernsydney.edu.au/future/study/courses/postgraduate/graduate-certificate-in-stockbroking-and-financial-advising.html)

# Graduate Diploma of Stockbroking and Financial Advising

<b>Apply Direct Code</b>	2808
<b>UAC Code</b>	950108
<b>Study Mode</b>	1F/2P
<b>Location</b>	Online

## ADMISSION

Applicants must have:

Successfully completed an undergraduate degree, or higher, in any discipline; **OR**

Successfully completed an advanced diploma, or higher, in a business discipline and have a minimum of three (3) years full-time equivalent managerial/professional work experience in a stockbroking/financial advising field.

## COURSE STRUCTURE

Qualification for this award requires the successful completion of 80 credit points.

### FULL-TIME

#### YEAR 1

##### QUARTER 1 SESSION

200987	Financial Adviser Communication Skills
200869	Principle of Taxation

##### QUARTER 2 SESSION

200986	Financial Products and Markets
200432	Commercial Law

##### QUARTER 3 SESSION

200870	Insurance and Risk Management
200871	Planning for Retirement

##### QUARTER 4 SESSION

201038	Behavioural Finance
200867	Superannuation

## PART TIME

### YEAR 1

#### QUARTER 1 SESSION

200987	Financial Adviser Communication Skills
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#### QUARTER 2 SESSION

200986	Financial Products and Markets
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#### QUARTER 3 SESSION

200869	Principle of Taxation
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#### QUARTER 4 SESSION

200432	Commercial Law
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### YEAR 2

#### QUARTER 1 SESSION

200870	Insurance and Risk Management
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#### QUARTER 2 SESSION

201038	Behavioural Finance
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#### QUARTER 3 SESSION

200871	Planning for Retirement
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#### QUARTER 4 SESSION

200867	Superannuation
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## ADVANCED STANDING

In the Graduate Certificate you can gain credit for up to two units from the FASEA approved professional designation program for 200987 – Financial Adviser Communication Skills or 200986 – Financial Products and Markets.

## THE CHALLENGE ASSESSMENT

Advisers with existing knowledge and experience can fast-track their path to full qualifications without doing the coursework of the unit. Challenge Assessments are available for the following six units: Financial Adviser Communication Skills, Financial Products and Markets, Superannuation, Planning for Retirement, Derivatives and Funds Management and Portfolio Selection.

For more information about our course, visit: [westernsydney.edu.au/future/study/courses/postgraduate/graduate-diploma-in-stockbroking-and-financial-advising.html](http://westernsydney.edu.au/future/study/courses/postgraduate/graduate-diploma-in-stockbroking-and-financial-advising.html)

# Master of Stockbroking and Financial Advising

<b>Apply Direct Code</b>	2807
<b>UAC Code</b>	950107
<b>Study Mode</b>	1.5F/3P
<b>Location</b>	Online

## ADMISSION

Applicants must have:

Successfully completed an undergraduate degree, or higher qualification, in business; **OR**

Successfully completed a Graduate Certificate, or higher qualification in any discipline.

## SAFAA ACCELERATOR PROGRAM

Western Sydney University is offering experienced advisers the opportunity to absent themselves from the unit course work and only undertake the assessment to demonstrate mastery of content in six of the program units (1. Financial Adviser Communication Skills; 2. Financial Products and Markets; 3. Superannuation; 4. Planning for Retirement; 5. Funds Management and Portfolio Selection; 6. Derivatives).

The SAFAA Accelerator Program involves the candidates sitting a "Challenge Exam". Interested candidates attend a two (2) hour information session on what is involved in sitting the Challenge Exam. Challenge Exams are typically three (3) hours in duration and will be held on published day/times in approved venues.

Candidates must seek permission to enrol in the Challenge Exams from a nominated Academic Adviser (at Western Sydney University). Upon successful completion of the assessment the candidate will receive a grade in the unit.

## THE CHALLENGE ASSESSMENT

Advisers with existing knowledge and experience can fast-track their path to full qualifications without doing the coursework of the unit. Challenge Assessments are available for the following six units: Financial Adviser Communication Skills, Financial Products and Markets, Superannuation, Planning for Retirement, Derivatives and Funds Management and Portfolio Selection.

For more information about our course, visit: [westernsydney.edu.au/future/study/courses/postgraduate/master-of-stockbroking-and-financial-advising.html](http://westernsydney.edu.au/future/study/courses/postgraduate/master-of-stockbroking-and-financial-advising.html)

## COURSE STRUCTURE

Qualification for the Master award requires the successful completion of 120 credit points.

### FULL-TIME

#### YEAR 1

##### QUARTER 1 SESSION

200987 Financial Adviser Communication Skills

200869 Principle of Taxation

##### QUARTER 2 SESSION

200986 Financial Products and Markets

200432 Commercial Law

##### QUARTER 3 SESSION

200870 Insurance and Risk Management

200871 Planning for Retirement

##### QUARTER 4 SESSION

201038 Behavioural Finance

200867 Superannuation

#### YEAR 2

##### QUARTER 1 SESSION

51168 Funds Management and Portfolio Theory

51169 Derivatives

##### QUARTER 2 SESSION

200872 Contemporary Issues of Taxation

200960 Statement of Advice Research Project

### PART TIME

#### YEAR 1

##### QUARTER 1 SESSION

200987 Financial Adviser Communication Skills

##### QUARTER 2 SESSION

200986 Financial Products and Markets

##### QUARTER 3 SESSION

200869 Principle of Taxation

##### QUARTER 4 SESSION

200432 Commercial Law

#### YEAR 2

##### QUARTER 1 SESSION

200870 Insurance and Risk Management

##### QUARTER 2 SESSION

201038 Behavioural Finance

##### QUARTER 3 SESSION

200871 Planning for Retirement

##### QUARTER 4 SESSION

200867 Superannuation

#### YEAR 3

##### QUARTER 1 SESSION

51168 Funds Management and Portfolio Theory

##### QUARTER 2 SESSION

200872 Contemporary Issues of Taxation

##### QUARTER 3 SESSION

51169 Derivatives

##### QUARTER 4 SESSION

200960 Statement of Advice Research Project

## ADVANCED STANDING

In the Graduate Certificate you can gain credit for up to two units from the FASEA approved professional designation program for 200987 – Financial Adviser Communication Skills or 200986 – Financial Products and Markets.



### **MORE INFORMATION**

To find out more information about the Master of Stockbroking and Financial Advising visit Western Sydney University at [westernsydney.edu.au/future/study/courses/postgraduate/master-of-stockbroking-and-financial-advising.html](https://westernsydney.edu.au/future/study/courses/postgraduate/master-of-stockbroking-and-financial-advising.html)

OR

Contact the Stockbrokers And Financial Advising Association in the first instance on **02 8080 3200** or email [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au)

### **LOCAL STUDENTS**

All Australian citizens, New Zealand citizens and permanent residents can apply through the Universities Admissions Centre (UAC). Apply online at [uac.edu.au](https://uac.edu.au) or direct to Western Sydney via <https://westernsydney.uac.edu.au/ws>

Direct applications do not have an application fee.

**CONTACT US**

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Penrith NSW 2751 Australia

CRICOS Provider Code: 00917K  
080719



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