

Profile information current as at 20/04/2024 04:44 am

All details in this unit profile for FINC20029 have been officially approved by CQUniversity and represent a learning partnership between the University and you (our student). The information will not be changed unless absolutely necessary and any change will be clearly indicated by an approved correction included in the profile.

General Information

Overview

In this unit you will further your awareness of commercial law and the reforms intended to ensure access to quality financial advice in Australia. You will identify and research the significant elements of Corporations Law within the context of commercial law related to the licensing requirements of financial planners and the provision of financial planning advice. You will review and debate the outcomes from a range of cases. Comparisons will be made between the past and how the revisions to legislation impact on the future delivery of financial planning advice.

Details

Career Level: Postgraduate

Unit Level: Level 9
Credit Points: 6

Student Contribution Band: 10

Fraction of Full-Time Student Load: 0.125

Pre-requisites or Co-requisites

There are no requisites for this unit.

Important note: Students enrolled in a subsequent unit who failed their pre-requisite unit, should drop the subsequent unit before the census date or within 10 working days of Fail grade notification. Students who do not drop the unit in this timeframe cannot later drop the unit without academic and financial liability. See details in the Assessment Policy and Procedure (Higher Education Coursework).

Offerings For Term 1 - 2020

Online

Attendance Requirements

All on-campus students are expected to attend scheduled classes – in some units, these classes are identified as a mandatory (pass/fail) component and attendance is compulsory. International students, on a student visa, must maintain a full time study load and meet both attendance and academic progress requirements in each study period (satisfactory attendance for International students is defined as maintaining at least an 80% attendance record).

Website

This unit has a website, within the Moodle system, which is available two weeks before the start of term. It is important that you visit your Moodle site throughout the term. Please visit Moodle for more information.

Class and Assessment Overview

Recommended Student Time Commitment

Each 6-credit Postgraduate unit at CQUniversity requires an overall time commitment of an average of 12.5 hours of study per week, making a total of 150 hours for the unit.

Class Timetable

Regional Campuses

Bundaberg, Cairns, Emerald, Gladstone, Mackay, Rockhampton, Townsville

Metropolitan Campuses

Adelaide, Brisbane, Melbourne, Perth, Sydney

Assessment Overview

1. Literature Review or Systematic Review

Weighting: 30% 2. **Report** Weighting: 40%

3. Practical Assessment

Weighting: 30%

Assessment Grading

This is a graded unit: your overall grade will be calculated from the marks or grades for each assessment task, based on the relative weightings shown in the table above. You must obtain an overall mark for the unit of at least 50%, or an overall grade of 'pass' in order to pass the unit. If any 'pass/fail' tasks are shown in the table above they must also be completed successfully ('pass' grade). You must also meet any minimum mark requirements specified for a particular assessment task, as detailed in the 'assessment task' section (note that in some instances, the minimum mark for a task may be greater than 50%). Consult the <u>University's Grades and Results Policy</u> for more details of interim results and final grades.

CQUniversity Policies

All University policies are available on the CQUniversity Policy site.

You may wish to view these policies:

- Grades and Results Policy
- Assessment Policy and Procedure (Higher Education Coursework)
- Review of Grade Procedure
- Student Academic Integrity Policy and Procedure
- Monitoring Academic Progress (MAP) Policy and Procedure Domestic Students
- Monitoring Academic Progress (MAP) Policy and Procedure International Students
- Student Refund and Credit Balance Policy and Procedure
- Student Feedback Compliments and Complaints Policy and Procedure
- Information and Communications Technology Acceptable Use Policy and Procedure

This list is not an exhaustive list of all University policies. The full list of University policies are available on the <u>CQUniversity Policy site</u>.

Unit Learning Outcomes

On successful completion of this unit, you will be able to:

- 1. Critically articulate the academic and professional literature covering the evolution of the Corporations Act (2001) within the context of commercial law as it applies to licensed financial planners
- 2. Critically evaluate the intention of the law underpinning the provision of financial planning advice in Australia, particularly in terms of practical professional situations
- 3. Communicate orally and in writing, advanced knowledge of the regulations pertinent to a range of client scenarios
- 4. Communicate orally and in writing, persuasive arguments defending recommendations and approaches to financial planning advice based on advanced understanding of the intentions of the Corporations Act (2001) and amendments within the context of commercial law.

This unit has been designed to conform to the requirements of the Financial Planning Education Council, the guidelines formulated by FASEA Standards Authority and the mandated higher education standards stated in the Corporations Amendment (Professional Standards of Financial Advisers) Act.

Alignment of Learning Outcomes, Assessment and Graduate Attributes Introductory Intermediate Graduate Professional Advanced Level Level Level Level Level Level Alignment of Assessment Tasks to Learning Outcomes **Assessment Tasks Learning Outcomes** 1 2 3 4 1 - Literature Review or Systematic Review - 30% 2 - Report - 40% 3 - Practical Assessment - 30% Alignment of Graduate Attributes to Learning Outcomes **Graduate Attributes Learning Outcomes** 1 2 3 4 1 - Knowledge 2 - Communication 3 - Cognitive, technical and creative skills 4 - Research 5 - Self-management 6 - Ethical and Professional Responsibility 7 - Leadership

Graduate Attributes		Learning Outcomes						
			1	2		3		4
8 - Aboriginal and Torres Strait Islander Cultures								
Alignment of Assessment Tasks to Graduate	e Attribut	es						
Assessment Tasks	Gra	duate	Attrik	outes				
Assessment Tasks	Gra 1		Attrik 3		5	6	7	8
1 - Literature Review or Systematic Review - 30%					5	6	7	8
	1						7	8

Textbooks and Resources

Textbooks

FINC20029

Supplementary

Australian Commercial Law

Edition: 32nd (2019)

Authors: Clive Turner and John Trone

Thomson Reuters

Pyrmont , NSW , Australia ISBN: 9780455241395 Binding: Paperback

FINC20029

Supplementary

The Regulation of Financial Planning in Australia: Current Practice, Issues and Empirical Analysis

Edition: 1st edn (2019)

Authors: Angelique Nadia Sweetman McInnes

Routledge

Abingdon Oxon, Oxfordshire and New York, United Kingdom and United States

ISBN: 9780367149970 Binding: Hardcover

Additional Textbook Information

The supplementary textbooks are available online from several online bookshops offering different pricing options..

Some of the textbooks are available as an eBook or to rent at a lower cost than outright purchase.

For instance, The Regulation of Financial Planning: Current Practice, Issues and Empirical Analysis is available for rent for 6 months at \$32.50. Refer

to https://www.routledge.com/The-Regulation-of-Financial-Planning-in-Australia-Current-Practice-Issues/McInnes/p/book/9780367149970 for further details.

Therefore, it pays to Google to find the best options (rent or buy or neither).

IT Resources

You will need access to the following IT resources:

- CQUniversity Student Email
- Internet
- Unit Website (Moodle)

Referencing Style

All submissions for this unit must use the referencing style: <u>American Psychological Association 6th Edition (APA 6th edition)</u>

For further information, see the Assessment Tasks.

Teaching Contacts

Angelique McInnes Unit Coordinator

a.mcinnes@cqu.edu.au

Schedule

Week 1 - 09 Mar 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Introduction to the Australian Legal System	Chapter 1 (Turner & Trone, 2019).	 Please refer to the study guide for details of the unit. Complete self-study questions. For the assessment download and read the requirements for the Exploratory Literature Review of Quality Financial Advice Investigations, Case Law and Judgements Assessment (in the course profile/Moodle).
Week 2 - 16 Mar 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Different forms of business organisations	Chapter 26, 27 and 30 (Turner & Trone, 2019).	 Please refer to the study guide for details of the unit. Complete self-study questions. For the assessment start searching for relevant information. When searching for information, be sure that you collect the appropriate kind of sources. In some cases, you will be restricted to using only academic journal articles, while in others, you may have to use a combination of academic, practitioner, empirical and theoretical articles. Always check your course profile. If you need help in finding articles through the databases, you are recommended to make an appointment with the library staff.
Week 3 - 23 Mar 2020		
Module/Topic	Chapter	Events and Submissions/Topic

Corporate Constitution and Internal Governance	Chapter 1, 2, 27 and 28 (Turner & Trone, 2019).	1. Please refer to the study guide for details of the unit. 2. Complete self-study questions. 3. For the assessment skim-read texts. Read the abstract, introduction, findings and conclusion. Evaluate the source for relevancy – author's credentials, date of publication, type of publication and bibliography. Make notes of any common themes/issues/ideas that present themselves. This will be useful later when you come to note taking. Second read for detail and make summary notes. The next step is to start making notes of key ideas from each source for analysis and evaluation.
Week 4 - 30 Mar 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Introduction to the Regulatory Environment and Evolution of Financial Advice	Helping you understand the FASEA CODE OF ETHICS (FPA, 2019).	1. Please refer to the study guide for details of the unit. 2. Complete self-study questions. 3. For the assessment develop a set of guide questions/general points that need to be considered in relation to your topic. These may come directly from your course profile, or they may be a more specific set of key issues/questions/points based on your first reading of the materials. You may have a set of key questions about the topic already in mind, but you may wish to add common ideas/discussion points you have noticed from your reading. Once you have completed the note-taking process you then need to evaluate the information.
Week 5 - 06 Apr 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Corporations Law & Financial Advice & Application Part 1	Australian Securities and Investments Commission. (2017). Regulatory guide 175 Licensing: Financial product advisers-Conduct and disclosure. Nethercoate, Tim, 21 October 2009, The basis of research – Basis capital FOS decision unpacked. Gilligan, G. (2018). The Hayne Royal Commission and trust issues in the regulation of the Australian financial sector. Law and Financial Markets Review, 12(4), 175-185. Hanrahan, P. (2018). Background Paper 7: Legal framework for the provision of financial advice and sale of financial products to Australian households.	 Please refer to the study guide for details of the unit. Complete self-study questions. For the assessment plan the structure of your Literature Review. Collate and develop the essay/paper. Once you have collected, compared and evaluated your information, then you are in a position to start organising ideas and begin writing the Literature Review.
Vacation Week - 13 Apr 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Catchup and assessment completion week		 Catch up on weekly readings, audio lectures and self-study questions. Continue to work on your Literature Review.

Week 6 - 20 Apr 2020		
-	Chapter	Events and Submissions/Topic
Corporations Law & Financial Advice & Application Part 2	Chapter Parliament of Australia. (2019). Chapter 3 Best interests duty. Australian Securities and Investments Commission. (2017). Report 515: Financial advice: Review of how large institutions oversee their advisers. Australian Securities and Investments Commission. (2017). Report 562: Financial advice: Vertically integrated institutions and conflicts of interest. FPA. (2018). Managing conflicts of interest. Paper presented at the FPA Professional Congress, Sydney 21 to 23 November 2018. Hanrahan, P. (2018). Background paper 7: Legal framework for the provision of financial advice and sale of financial products to Australian households. Commonwealth of Australia. (2019, February 1). Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry. Commonwealth of Australia. (2019) Royal Commission Final Report Recommendations - Volume 1 and Case Studies - Volume 2.	1. Please refer to the study guide for details of the unit. 2. Complete self-study questions. 3. For the assessment you should be spending this week editing and proof-reading your paper of 2,000 to 3,000 words as you polish for final submission. Case Study Literature Review Due: Week 6 Friday (24 Apr 2020) 11:45 pm AEST
Week 7 - 27 Apr 2020		
Modulo/Tonic		
Module/Topic	Chapter	Events and Submissions/Topic
Corporate Law Applications Part 3	Anti- Money Laundering and Counter- Terrorism Financing Act 2006. AUSTRAC Compliance guide - Chapter 6 - AML/CTF Programs. AUSTRAC Compliance Guide - Chapter 7 - AML/CTF reporting obligations. AUSTRAC Compliance Guide - Chapter 8 - AML/CTF record-keeping obligations. AUSTRAC Compliance Guide - Chapter 9 - Exemptions from obligations under the AML/CTF Act. Anti-Money Laundering and Counter- Terrorism Financing Rules Instrument 2007 (No. 1).	1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment study the instructions and task requirements to start completing your Report. Use the secondary data collected during the Literature Review you submitted last week to aid you with the content and references for your Report.
Corporate Law Applications Part	Anti- Money Laundering and Counter-Terrorism Financing Act 2006. AUSTRAC Compliance guide - Chapter 6 - AML/CTF Programs. AUSTRAC Compliance Guide - Chapter 7 - AML/CTF reporting obligations. AUSTRAC Compliance Guide - Chapter 8 - AML/CTF record-keeping obligations. AUSTRAC Compliance Guide - Chapter 9 - Exemptions from obligations under the AML/CTF Act. Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1).	1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment study the instructions and task requirements to start completing your Report. Use the secondary data collected during the Literature Review you submitted last week to aid you with the content and references for your Report.
Corporate Law Applications Part 3	Anti- Money Laundering and Counter- Terrorism Financing Act 2006. AUSTRAC Compliance guide - Chapter 6 - AML/CTF Programs. AUSTRAC Compliance Guide - Chapter 7 - AML/CTF reporting obligations. AUSTRAC Compliance Guide - Chapter 8 - AML/CTF record-keeping obligations. AUSTRAC Compliance Guide - Chapter 9 - Exemptions from obligations under the AML/CTF Act. Anti-Money Laundering and Counter- Terrorism Financing Rules Instrument	1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment study the instructions and task requirements to start completing your Report. Use the secondary data collected during the Literature Review you submitted last week to aid you with the content and
Corporate Law Applications Part 3 Week 8 - 04 May 2020	Anti- Money Laundering and Counter-Terrorism Financing Act 2006. AUSTRAC Compliance guide - Chapter 6 - AML/CTF Programs. AUSTRAC Compliance Guide - Chapter 7 - AML/CTF reporting obligations. AUSTRAC Compliance Guide - Chapter 8 - AML/CTF record-keeping obligations. AUSTRAC Compliance Guide - Chapter 9 - Exemptions from obligations under the AML/CTF Act. Anti-Money Laundering and Counter-Terrorism Financing Rules Instrument 2007 (No. 1).	1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment study the instructions and task requirements to start completing your Report. Use the secondary data collected during the Literature Review you submitted last week to aid you with the content and references for your Report.
Corporate Law Applications Part Week 8 - 04 May 2020 Module/Topic Corporate Law Applications Part	Anti- Money Laundering and Counter- Terrorism Financing Act 2006. AUSTRAC Compliance guide - Chapter 6 - AML/CTF Programs. AUSTRAC Compliance Guide - Chapter 7 - AML/CTF reporting obligations. AUSTRAC Compliance Guide - Chapter 8 - AML/CTF record-keeping obligations. AUSTRAC Compliance Guide - Chapter 9 - Exemptions from obligations under the AML/CTF Act. Anti-Money Laundering and Counter- Terrorism Financing Rules Instrument 2007 (No. 1). Chapter Commonwealth Privacy Act 1988. Australian Government. (2019). Australian Privacy Principles Guidelines: Privacy Act 1988, July. Office of the information	1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment study the instructions and task requirements to start completing your Report. Use the secondary data collected during the Literature Review you submitted last week to aid you with the content and references for your Report. Events and Submissions/Topic 1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. 2. Complete self-study questions. 3. For the assessment continue working on your report using the SBL

Corporate Law Applications Part 5	Tax Agent Services Regulations 2009. Tax Practitioners Board (TPB) Information Sheet - What is a tax (financial) advice service? TPB Code of Professional Conduct - Code of Professional Conduct for Tax (financial) advisers. TPB(I) 27/2016 Code of Professional Conduct - Acting lawfully in the best interests of clients for tax (financial) advisers. TPB(I) 28/2016 Code of Professional Conduct - Reasonable care to ascertain a client's state of affairs for tax (financial) advisers. TPB(I) 29/2016 Code of Professional Conduct - Reasonable care to ensure taxation laws are applied correctly for tax (financial) advisers. TPB(I) 30/2016 Code of Professional Conduct - Having adequate arrangements for managing conflicts of interest for tax (financial) advisers. TPB(I) 32/2017 Code of Professional Conduct - Confidentiality of client information for tax (financial) advisers.	 Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. Complete self-study questions. Your assessment is due this week. Case study Report Due: Week 9 Friday (15 May 2020) 11:45 pm AEST
Week 10 - 18 May 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Contemporary Issues and Case studies	Commonwealth of Australia. (2019, 1 February 2019). Royal Commission into Misconduct in the Banking, Superannuation and Financial Services Industry. Commonwealth of Australia. (2019). Royal Commission Final Report Recommendations - Volume 1 and Case Studies - Volume 2.	 Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. Complete self-study questions. Start planning your recorded presentation reporting a summary of your report you submitted last week.
Week 11 - 25 May 2020		
Module/Topic	Chapter	Events and Submissions/Topic
Contemporary Issues and Case studies	Khan, F. (2019). The Rise of RegTech 2.0 - Moving to a new era of regulatory compliance [Press release]. KPMG. (2018). There's a revolution coming: Embracing the challenge of Regtech 3.0 [Press release]. TAS. (2019). Tas Insurance industry report 2018-2019: Adapting to digital disruption. TAS. (2018). Compliance Index 2018: The rise of regulation, risk and RegTechs.	 Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text. Complete self-study questions Continue finishing off your recorded presentation assessment Complete the student evaluation

Chapter

Events and Submissions/Topic

Week 12 - 01 Jun 2020

Module/Topic

Contemporary Issues, Case studies, Revision & Have Your Say survey

Financial Services Council. (2019). State of the industry.

- 1. Please refer to the study guide for details of the unit and the page numbers of the chapters for your prescribed text.
- 2. Complete self-study questions
- 3. Submit your recorded presentation assessment today
- 4. Complete the student evaluation

Case Study Presentation Due: Week 12 Friday (5 June 2020) 11:45 pm AEST

Review/Exam Week - 08 Jun 2020

Module/Topic

Chapter

Events and Submissions/Topic

All the best.

Exam Week - 15 Jun 2020

Module/Topic

Chapter

Events and Submissions/Topic

Assessment Tasks

1 Case Study Literature Review

Assessment Type

Literature Review or Systematic Review

Task Description

This is an **individual** assessment.

Important detailed information for your assessment is on the Moodle site.

Before you begin please read the instructions for completing and submitting your assessment.

Task requirements:

Write a literature review that covers topics from week four of your unit.

We provide:

- 1. Instructions document to complete the assessment
- 2. Detailed grading rubrics to guide how your work will be assessed

From the above task, it is clear this is a written assessment dealing with deficiencies and concerns, the resolutions, case law and legislation aimed at improving the access of professional and quality financial advice for Australians. Please start this assessment as soon as possible, because it is due in Week 6. Your unit coordinator is available via Moodle discussion forum and Q&A forum, as well as Zoom drop-in sessions.

Please refer to Moodle and download the single file detailing the Assessment requirements. Please read this document carefully.

Email your unit coordinator directly to address any personal matters, concerns or difficulties during the term is encouraged.

Assessment Due Date

Week 6 Friday (24 Apr 2020) 11:45 pm AEST Submission via Moodle

Return Date to Students

Week 7 Friday (1 May 2020) Feedback via Moodle

Weighting

30%

Assessment Criteria

Marks are awarded for:

- (1) demonstrating research skills to search and locate literature (e.g. Journal articles) using library and internet resources
- (2) analyzing information found in journal articles
- (3) synthesizing new knowledge into a written literature review.

The rubric describes how the marks are allocated for your literature review.

Referencing Style

American Psychological Association 6th Edition (APA 6th edition)

Submission

Online

Submission Instructions

Your assessment 1 comprise a single Microsoft -word files as per the Assessment Criteria List above that is to be uploaded and submitted via Moodle

Learning Outcomes Assessed

• Critically articulate the academic and professional literature covering the evolution of the Corporations Act (2001) within the context of commercial law as it applies to licensed financial planners

Graduate Attributes

- Knowledge
- Self-management
- Ethical and Professional Responsibility

2 Case study Report

Assessment Type

Report

Task Description

This is an **individual** assessment.

Important detailed information for your assessment is on the Moodle site.

Before you begin please read the instructions for completing and submitting your report.

Task requirements:

Write report that covers topics from week four of your unit and uses the information you included in your Literature Review Assessment and submitted in Week 6.

We provide:

- 1. Instructions document to complete the assessment
- 2. Detailed grading rubrics to guide how your work will be assessed

From the above task, it is clear this is a written assessment dealing with deficiencies and concerns, the resolutions, case law and legislation aimed at improving the access of professional and quality financial advice for Australians. Please start this assessment as soon as possible, because it is due in Week 9. Your unit coordinator is available via Moodle discussion forum and Q&A forum, as well as Zoom drop-in sessions.

Please refer to Moodle and download the single file detailing the Assessment requirements. Please read this document carefully.

Email your unit coordinator directly to address any personal matters, concerns or difficulties during the term is encouraged.

Assessment Due Date

Week 9 Friday (15 May 2020) 11:45 pm AEST Submission via Moodle

Return Date to Students

Week 10 Friday (22 May 2020) Feedback via Moodle

Weighting

40%

Assessment Criteria

Marks are award for completing the report:

- · using Microsoft Word
- \cdot by ensuring you present a cohesive persuasive argument to address the **intention of the legislation underpinning** financial advice to a specific situational problem.

The rubric describes how the marks are allocated for your Report.

Referencing Style

American Psychological Association 6th Edition (APA 6th edition)

Submission

Online

Submission Instructions

Your assessment 2 comprise a single Microsoft-word file as per the Assessment Criteria List above that is to be uploaded and submitted via Moodle

Learning Outcomes Assessed

- Critically evaluate the intention of the law underpinning the provision of financial planning advice in Australia, particularly in terms of practical professional situations
- Communicate orally and in writing, advanced knowledge of the regulations pertinent to a range of client scenarios
- Communicate orally and in writing, persuasive arguments defending recommendations and approaches to financial planning advice based on advanced understanding of the intentions of the Corporations Act (2001) and amendments within the context of commercial law.

Graduate Attributes

- Knowledge
- Communication
- Cognitive, technical and creative skills
- Research

3 Case Study Presentation

Assessment Type

Practical Assessment

Task Description

This is an **individual** assessment.

Important detailed information for your assessment is on the Moodle site.

Before you begin please read the instructions for completing and submitting your presentation.

Task requirements:

Prepare a video presentation that covers topics from week four of your unit and is based on the report you complete for Assessment 2 and submitted in week 9.

We provide:

- 1. Instructions document to complete the assessment
- 2. Detailed grading rubrics to guide how your work will be assessed

From the above task, it is clear this is a video presentation assessment dealing with deficiencies and concerns, the resolutions, case law and legislation aimed at improving the access of professional and quality financial advice for Australians. Please start this assessment as soon as possible, because it is due in Week 12. Your unit coordinator is available via Moodle discussion forum and Q&A forum, as well as Zoom drop-in sessions.

Please refer to Moodle and download the single file detailing the Assessment requirements. Please read this document carefully.

Email your unit coordinator directly to address any personal matters, concerns or difficulties during the term is encouraged.

Assessment Due Date

Week 12 Friday (5 June 2020) 11:45 pm AEST

Return Date to Students

Review/Exam Week Friday (12 June 2020)

Weighting

30%

Assessment Criteria

Marks are award for completing the presentation:

- · using Microsoft PowerPoint
- \cdot by ensuring you present a cohesive persuasive argument to address the **intention of the legislation underpinning** financial advice to a specific situational problem.

The rubric describes how the marks are allocated for your presentation.

Referencing Style

• American Psychological Association 6th Edition (APA 6th edition)

Submission

Online

Learning Outcomes Assessed

- Critically articulate the academic and professional literature covering the evolution of the Corporations Act (2001) within the context of commercial law as it applies to licensed financial planners
- Critically evaluate the intention of the law underpinning the provision of financial planning advice in Australia, particularly in terms of practical professional situations
- Communicate orally and in writing, advanced knowledge of the regulations pertinent to a range of client scenarios
- Communicate orally and in writing, persuasive arguments defending recommendations and approaches to financial planning advice based on advanced understanding of the intentions of the Corporations Act (2001) and amendments within the context of commercial law.

Graduate Attributes

- Knowledge
- Communication

Academic Integrity Statement

As a CQUniversity student you are expected to act honestly in all aspects of your academic work.

Any assessable work undertaken or submitted for review or assessment must be your own work. Assessable work is any type of work you do to meet the assessment requirements in the unit, including draft work submitted for review and feedback and final work to be assessed.

When you use the ideas, words or data of others in your assessment, you must thoroughly and clearly acknowledge the source of this information by using the correct referencing style for your unit. Using others' work without proper acknowledgement may be considered a form of intellectual dishonesty.

Participating honestly, respectfully, responsibly, and fairly in your university study ensures the CQUniversity qualification you earn will be valued as a true indication of your individual academic achievement and will continue to receive the respect and recognition it deserves.

As a student, you are responsible for reading and following CQUniversity's policies, including the **Student Academic Integrity Policy and Procedure**. This policy sets out CQUniversity's expectations of you to act with integrity, examples of academic integrity breaches to avoid, the processes used to address alleged breaches of academic integrity, and potential penalties.

What is a breach of academic integrity?

A breach of academic integrity includes but is not limited to plagiarism, self-plagiarism, collusion, cheating, contract cheating, and academic misconduct. The Student Academic Integrity Policy and Procedure defines what these terms mean and gives examples.

Why is academic integrity important?

A breach of academic integrity may result in one or more penalties, including suspension or even expulsion from the University. It can also have negative implications for student visas and future enrolment at CQUniversity or elsewhere. Students who engage in contract cheating also risk being blackmailed by contract cheating services.

Where can I get assistance?

For academic advice and guidance, the <u>Academic Learning Centre (ALC)</u> can support you in becoming confident in completing assessments with integrity and of high standard.

What can you do to act with integrity?



Be Honest

If your assessment task is done by someone else, it would be dishonest of you to claim it as your own



Seek Help

If you are not sure about how to cite or reference in essays, reports etc, then seek help from your lecturer, the library or the Academic Learning Centre (ALC)



Produce Original Work

Originality comes from your ability to read widely, think critically, and apply your gained knowledge to address a question or problem