



**Australian Government**

# **FNS51022 Diploma of Financial Markets**

**Release 1**

# FNS51022 Diploma of Financial Markets

## Modification History

Release	Comments
Release 1	This version first released with the FNS Financial Services Training Package Version 8.0.  Supersedes and is equivalent to FNS51020 Diploma of Financial Markets.

## Qualification Description

This qualification reflects roles in financial markets involving duties in the areas of client advising, operations and trading. Individuals in these roles have autonomy in performing technical operations; apply solutions to a range of often complex problems; and research, analyse and evaluate information from a variety of sources. They apply initiative to plan, coordinate and evaluate their own work and provide guidance to others.

### Licensing, legislative, regulatory or certification considerations

No licensing, legislative or certification requirements apply to this qualification at the time of publication.

## Entry Requirements

Nil

## Packaging Rules

**Total number of units = 11**

**6 core units** plus

**5 elective units**, of which:

- at least 3 must be from the elective units listed below
- up to 2 may be from the remaining listed elective units or from any currently endorsed Certificate IV or above training package qualification or accredited course.

Elective units must be relevant to the work environment and the qualification, maintain the overall integrity of the AQF alignment, not duplicate the outcome of another unit chosen for the qualification, and contribute to a valid industry-supported vocational outcome.

### Core units

FNSFMK416 Conduct work within financial markets compliance framework

FNSFMK521 Analyse financial markets and information  
 FNSFMK522 Apply financial product knowledge in the context of the deal transaction cycle  
 FNSFMK524 Conduct work within financial markets organisational risk management framework  
 FNSINC513 Identify and apply complex ethical decision making to workplace situations  
 FNSINC514 Apply ethical frameworks and principles to make and act upon decisions

### **Elective units**

#### **Client advisory roles**

FNSASICS513 Provide wholesale advice in foreign exchange\*  
 FNSASICT513 Provide wholesale advice in managed investments\*  
 FNSASICV513 Provide wholesale advice in derivatives\*  
 FNSASICW513 Provide wholesale advice in securities\*  
 FNSCUS504 Manage premium customer relationships  
 FNSCUS515 Determine client financial requirements and expectations  
 FNSCUS516 Record and implement client instructions  
 FNSFMK502 Analyse financial market products for client  
 FNSFMK512 Apply knowledge of emissions markets  
 FNSFMK525 Analyse clients' financial risk  
 FNSIAD511 Provide appropriate services, general advice and products to clients  
 FNSIAD512 Develop financial investment options and strategies for clients  
 FNSINC511 Conduct financial product research to support product recommendations

#### **Operational roles**

FNSFMK411 Perform reconciliations  
 FNSFMK514 Complete confirmation and settlement processes  
 FNSFMK517 Analyse risk mitigation in the operations process  
 FNSFMK518 Monitor and process collateral

#### **Trading and sales roles**

FNSFMK513 Undertake assessment of product and advice suitability for non-retail clients  
 FNSFMK520 Develop and monitor risk management strategies for client  
 FNSFMK611 Price financial transactions  
 FNSFMK612 Manage trading exposures

\*Note the following prerequisite unit requirements.

<b>UNIT IN THIS QUALIFICATION</b>	<b>PREREQUISITE UNITS</b>
FNSASICS513 Provide wholesale advice in foreign exchange	<ul style="list-style-type: none"> <li>• FNSIAD511 Provide appropriate services, general advice and products to clients</li> <li>• FNSINC511 Conduct financial product</li> </ul>

UNIT IN THIS QUALIFICATION	PREREQUISITE UNITS
	research to support product recommendations
FNSASICT513 Provide wholesale advice in managed investments	<ul style="list-style-type: none"> <li>• FNSIAD511 Provide appropriate services, general advice and products to clients</li> <li>• FNSINC511 Conduct financial product research to support product recommendations</li> </ul>
FNSASICV513 Provide wholesale advice in derivatives	<ul style="list-style-type: none"> <li>• FNSFMK502 Analyse financial market products for client</li> <li>• FNSFMK525 Analyse clients' financial risk</li> </ul>
FNSASICW513 Provide wholesale advice in securities	<ul style="list-style-type: none"> <li>• FNSFMK502 Analyse financial market products for client</li> <li>• FNSFMK525 Analyse clients' financial risk</li> </ul>

## Qualification Mapping Information

Supersedes and is equivalent to FNS51020 Diploma of Financial Markets.

## Links

Companion Volume Implementation Guide is found on VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=c7200cc8-0566-4f04-b76f-e89fd6f102fe>