Financial adviser exam: Remote proctoring information and step-by-step guide

Version 4.0 | January 2025

About this guide

This guide is designed to assist you to book and sit the financial adviser exam using remote proctoring.

Document history

Version	Comments	Release date
1.0 to 1.4	A publication of the Australian Council for Educational Research (ACER)	Final version 1.4 released in February 2021
2.0	Rebranded as an ASIC/ACER document and published on the ASIC website	December 2021 (effective 1 January 2022)
2.1	Updated ProctorU	January 2023
2.2	Updated ProctorU	April 2023
2.3	Minor update to add link for ProctorU's equipment requirements on p. 5 and amend Windows and Mac details on p. 12	June 2023
3.0	Updated with legislated changes to exam format	January 2024
4.0	Updated ProctorU figures in Step 4 and minor revisions to the technical readiness section	January 2025

Contents

Purpose of this guide

This guide is designed to assist you to book and sit the financial adviser exam (exam) using remote proctoring. **It is important that you read this guide in its entirety and understand fully the processes involved with remote proctoring.** You must also ensure that you read and understand the *Financial adviser exam: Candidate information booklet* on the financial adviser exam resources page on the ASIC website.

What is remote proctoring?

Remote proctoring involves sitting the exam under live supervision using your own computer in a suitable location with internet connectivity. An invigilator (proctor) will supervise you via webcam while you sit the exam. Please watch this short video to understand how remote proctoring works.

Remote proctoring for the exam is provided by ProctorU, which is based in the United States. By nominating to sit the exam by remote proctoring you will be required to provide personal information to an overseas entity. For further information about how your personal information will be collected, stored and used by ProctorU, please review the Financial adviser exam privacy statement (PDF 163 KB). See also ASIC's privacy policy.

Making sure you are ready to sit the exam

This section will guide you through the steps you will need to complete in order to sit the exam via remote proctoring. There are nine exam preparation tasks in total and completing each one is essential to a successful exam day experience. Please use the checklist in Table 1 to ensure that you have completed all steps before your scheduled exam date. If you are unsure whether your computer will meet ProctorU's equipment requirements, complete Step 5 before booking for the exam.

Table 1: Remote proctoring checklist

Steps	Exam preparation tasks	Completed
Step 1	Book via your ACER candidate registration account and pay for the exam	Yes / No
Step 2	Create a ProctorU account	Yes / No
Step 3	Download the Guardian Browser	Yes / No
Step 4	Schedule your exam session with ProctorU	Yes / No
Step 5	Complete the technical readiness steps with ProctorU	Yes / No
Step 6	Download and check the ACER online exam application	Yes / No
Step 7	Download your admission ticket from ACER	Yes / No
Step 8	Receive and read ACER's *Exam day information guide*	Yes / No
Step 9	Sit your scheduled exam session	Yes / No

To sit an exam session with ProctorU, please ensure you have the following:

› a private room with an internet connected desktop computer or laptop (with power cord)

› a webcam, either built into your device or externally connected

› a copy of your admission ticket (available to download from your candidate registration account in the week before your exam session)

› an appropriate photo-bearing identification document

› a mirror or similar reflective device to show your proctor what is around your monitor, and

› a blank sheet of paper and pen/pencil.

Please see Equipment requirements on the ProctorU website.

Step 1: Book via your ACER candidate registration account and pay for the exam

When the booking period for the relevant exam cycle is open, you can book and pay for the exam through your ACER candidate registration account.
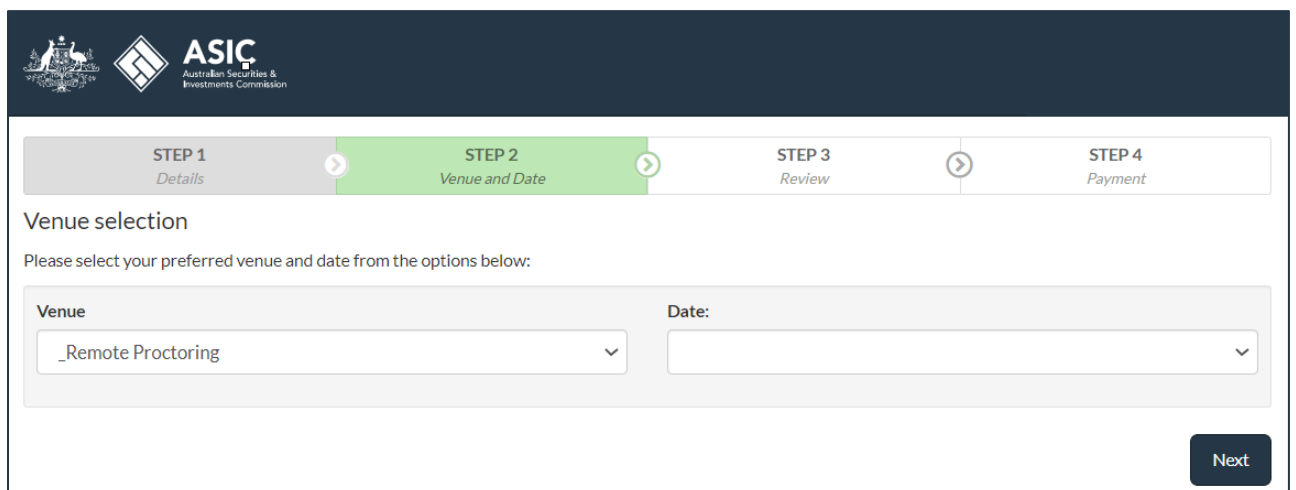
Creating an ACER candidate registration account for the first time

If you are booking for the exam for the first time and do not have an ACER account, please create an account by navigating to faexamreg.acer.org and clicking 'Register' under 'New users'. If you already have an account but have forgotten your password, you can use the 'Forgot Password' link on the website.

Follow the prompts to activate your account and enter your personal details. You will be issued with an application ID, which is a unique username needed to log in to your candidate registration account. The application ID starts with FA and is then followed by numbers (e.g. FA123456). Please keep a record of your application ID.

On the page 'Step 2 Venue and Date', select '_Remote Proctoring' as your venue from the drop-down list (Figure 1).

Figure 1: ACER account venue selection page

Then select the exam period from the date drop-down list. Finally, review your booking and complete your payment.

Your exam registration with ACER is only complete when you book the exam, pay your exam fee(s), and schedule your exam session with ProctorU (see Step 4).

Step 2: Create a ProctorU account

Go to the [create a ProcturU account page](#) of the ProctorU website (Figure 2).

Please note that this is a separate account from your ACER candidate registration account.

When you create your account with ProctorU, you **must** use the same email address that you used to book the exam with ACER. This will ensure that your exam booking and identity can be verified when you sit the exam by remote proctoring.

> If you have an existing ProctorU account and previously selected an institution other than ACER (e.g. Kaplan), you can log in to your account, navigate to the account settings page, and add 'Financial Adviser Exam – ACER' under the 'Enrollments' section.

Figure 2: ProctorU 'Create an Account' page

When entering your details to set up your account:

› ensure that 'Financial Adviser Exam – ACER' has been selected as your institution under 'Enrollments'

› enter the same email address that you used with your ACER candidate registration account, and

› select the correct time zone for your location.

Note: When you sit the exam via remote proctoring, you will need to acknowledge that any personal information that you provide to ProctorU, as well as video recordings and still images captured during your exam session, will be stored in a server located outside of Australia. Please see the Financial adviser exam privacy statement (PDF 163 KB) for more information. See also ASIC's privacy policy.

Step 3: Download the Guardian Browser

Download the Guardian Browser for your operating system.

You can also download the Guardian Browser through your ProctorU account (Figure 3).

Figure 3: ProctorU account – Download Guardian Browser
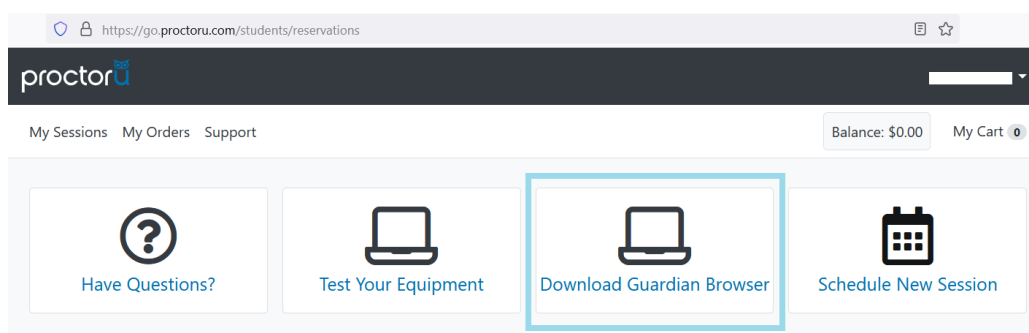

Step 4: Schedule your exam session with ProctorU

To sit the exam via remote proctoring you must schedule an exam session with ProctorU. **Exam scheduling closes 72 hours before the start of the exam date.** Last minute exam scheduling will incur a fee from ProctorU. **Exam sessions are available on a first-come, first-served basis.** It is therefore recommended that you complete this step as early as possible. Scheduling for each exam cycle on ProctorU will open after the completion of the previous cycle – for example, sessions for November will become available after the August cycle is complete.

> The session time you schedule with ProctorU is not the time your exam will begin. Once your session starts you will be connected to an exam proctor and required to go through pre-exam administrative and technical checks, which typically take at least 30 minutes to complete. Your 3.5 hours of exam time will not start until you begin viewing exam questions. The entire exam process will take between 4 and 5 hours, and this should be considered when selecting a suitable exam session time.
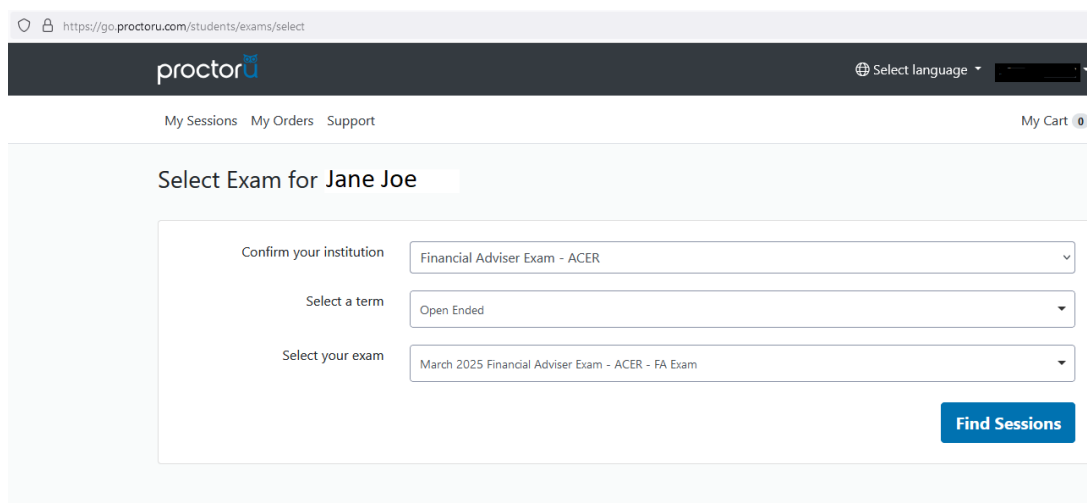
While you are logged in to your ProctorU account, select 'Schedule New Session' on the ProctorU home page (Figure 4).

Figure 4: ProctorU account – Schedule New Session
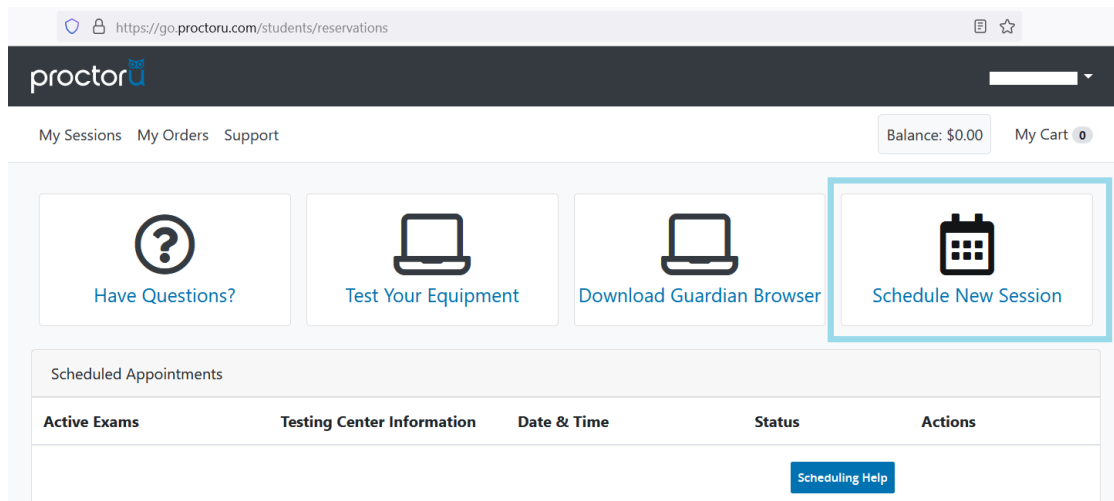
Then make selections in each of the three drop-down boxes (Figure 5) and select 'Find Sessions'.

Figure 5: ProctorU 'Schedule New Session' page

On the 'Schedule Session' page, enter a preferred time on the left-hand side, and then select 'Submit Search' (Figure 6).

Note the following:

› The calendar will only allow you to select dates within the relevant exam cycle.

› Exam sessions are available from 9 am to 6 pm AEST.

› The time search will default to am. Please toggle this to pm if you wish to book an afternoon session.

Figure 6: ProctorU 'Schedule Session' page

The available session times closest to your preferred time will be shown. To search additional times, change the selections on the left-hand side panel and select 'Submit Search' again. Click 'Select' on your preferred time slot from the available times.

Double check the time and date (including the am/pm selection) and then select 'Schedule' to confirm the booking (Figure 7).

Figure 7: ProctorU confirm booking
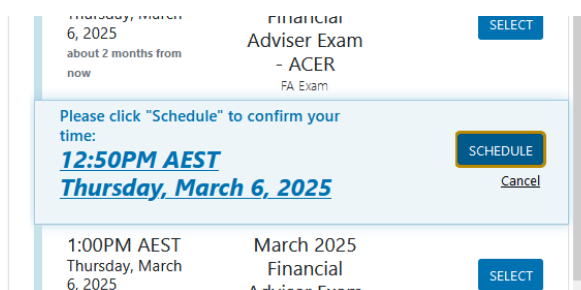
ProctorU will send you an automated email with details of your booking. Once you have scheduled your session with ProctorU, you can change your session day or time if required. **Exam sessions can be rescheduled up to 72 hours before your existing booking.**

Step 5: Complete the technical readiness steps with ProctorU

To ensure that your computer is ready technically to run the proctoring application, please complete the technical readiness steps.

Note: You can create a ProctorU account and complete the technical readiness steps without scheduling an exam.

Technical readiness steps

›   Log in to your ProctorU account and on the home screen select 'Test your Equipment'. Follow the prompts to allow access to your microphone and camera. **It is important that you complete the equipment test using the computer you plan to sit the exam with at the location where you will sit the exam.** Your results will display once the system has finished checking your computer.

›   If any of your equipment does not pass the automatic test, you can find assistance on the ProctorU help page or by connecting to a live technician. To connect to a live technician, click the ProctorU Support Chat icon in the bottom-right corner. Fill out your name and exam details, and in the final question select 'Testing your Equipment' from the drop-down menu.

Important
Sophisticated network firewalls at public locations, such as office buildings, universities and libraries, may prevent access to ProctorU on the day of your exam. The automatic equipment test may not detect these firewalls, so it is advised that you avoid these locations when selecting a location to sit your exam.
Work computers or laptops may also prevent software needed for remote proctoring from installing or running if they have been issued to you by a company that maintains administration rights to the device settings.
If you have any concerns regarding your network firewalls or security, then it is advised that you sit the exam using a personal computer connected to your home network.

Programs such as remote controlling software (e.g. TeamViewer, Remote Desktop) are not permitted and will be detected by the ACER online exam application. You will not be able to continue the exam if such programs are detected during your exam session. Please ensure that

any such programs have been disabled or uninstalled on your computer before you sit the exam. **The ProctorU equipment checks will not identify these programs.** Contact faexam@acer.org if you have any concerns about applications installed on your computer.

> TeamViewer allows remote control of your computer and will be detected by the ACER online exam application.
>
> **You will not be able to sit the exam if it is running in the background of your computer**.

A desktop device with a webcam is usually a better option than a laptop. If you decide to use a laptop, a 15-inch laptop is recommended.

When using a laptop, please ensure it is plugged in to a power source or you risk the battery running low during your exam. It is the responsibility of the candidate to ensure they have a continuous power source. **No special consideration will be given to candidates who are disconnected during the exam because of laptop battery failure**.

It is important that you complete the equipment test using the computer with which you plan to sit the exam **and** at the location where you will sit the exam.

For Mac users, if your computer's RAM usage does not meet ProctorU's requirements, we recommend restarting your computer and following instructions by Macworld on how to free up memory on a Mac to reduce your computer's RAM usage just before you sit the test.

If your equipment **does not pass** the technical readiness checks and the issues cannot be resolved by ProctorU's live technicians, you have two options:

›   You can source another exam location and/or equipment and complete the technical readiness checks again. If you can meet the technical requirements, you may proceed to sit the exam by remote proctoring.

›   Otherwise, you can defer your exam to a later exam sitting if bookings have closed.

Step 6: Download and check the ACER online exam application

To sit the exam by remote proctoring, you must download and install the ACER online exam application. This is the application you will use on the day to access the exam. You will find Windows and Mac versions of the application by following the below links:

›   ACER online exam application for Windows 10 or higher

›   ACER online exam application for Mac OS X 10.13 or higher with Intel chip (most common), or

›   ACER online exam application for Mac OS X 10.13 or higher with Apple chip.

If you have previously downloaded the application, please ensure that you have the latest version. You must install the application on the computer that you intend to sit the exam with. It is important that you download and install the application before your exam session, as you will not be able to sit the exam without having the application ready to use on your exam day.

To check that the installation was successful, launch the application.

Note: Mac users may receive the message in Figure 8 when opening the application.

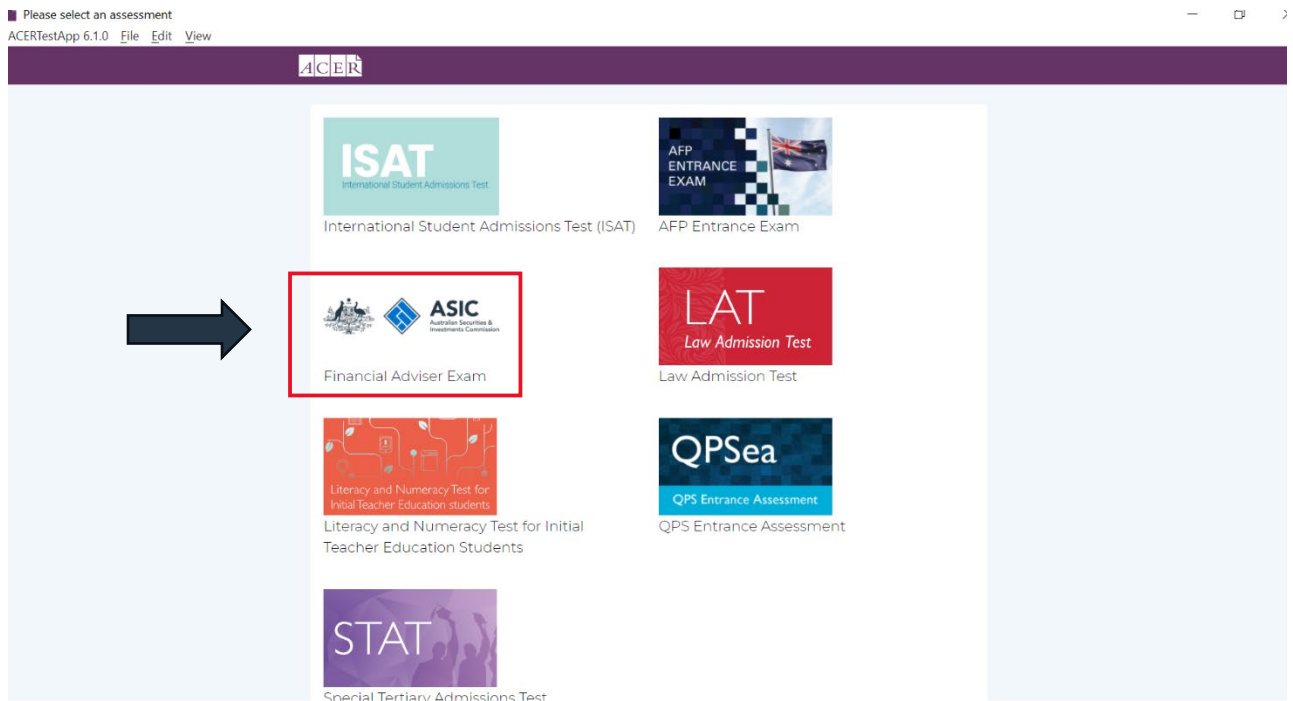**Figure 8: Mac error upon opening application**
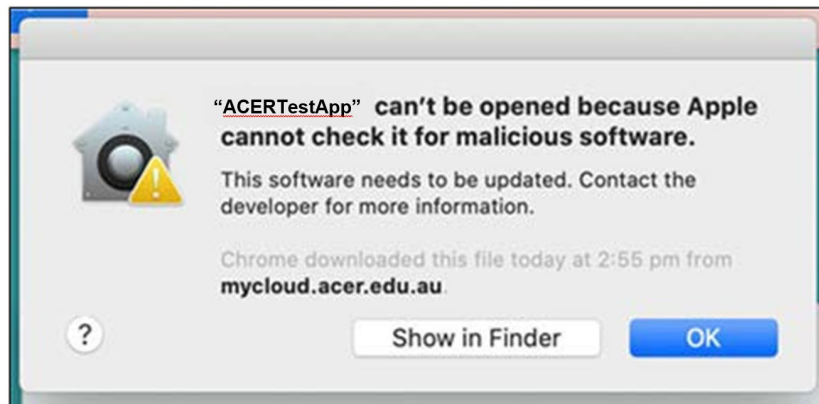
If this occurs, please follow the [Apple Support instructions](#) to open the application.

Once the application has opened, you will see the ACER assessments home page (Figure 9).

Figure 9: ACER assessments home page

Click the 'Financial Adviser Exam' button with the ASIC logo. You will then see the ACER candidate registration account page (Figure 10).

Figure 10: Financial adviser exam login page

To test that you can view the open-book resources, select 'Open-book resources' (Figure 11).

Figure 11: Exam 'Open-book resources' menu
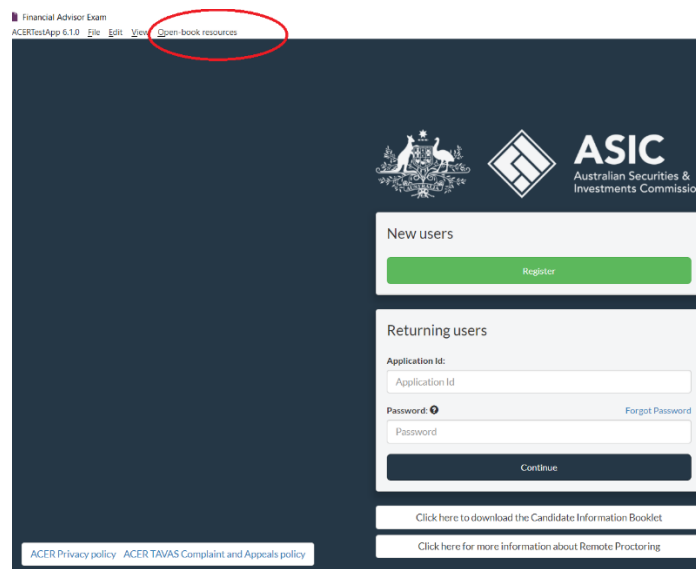
The list of 'Open-book resources' is subject to change and, as such, the list shown in Figure 12 may look different to the list on your screen.

Note: **If you are using a Mac, the 'Open-book resources' tab will appear in your top toolbar and will only be visible when the app is active.**

Figure 12: List of 'Open-book resources'
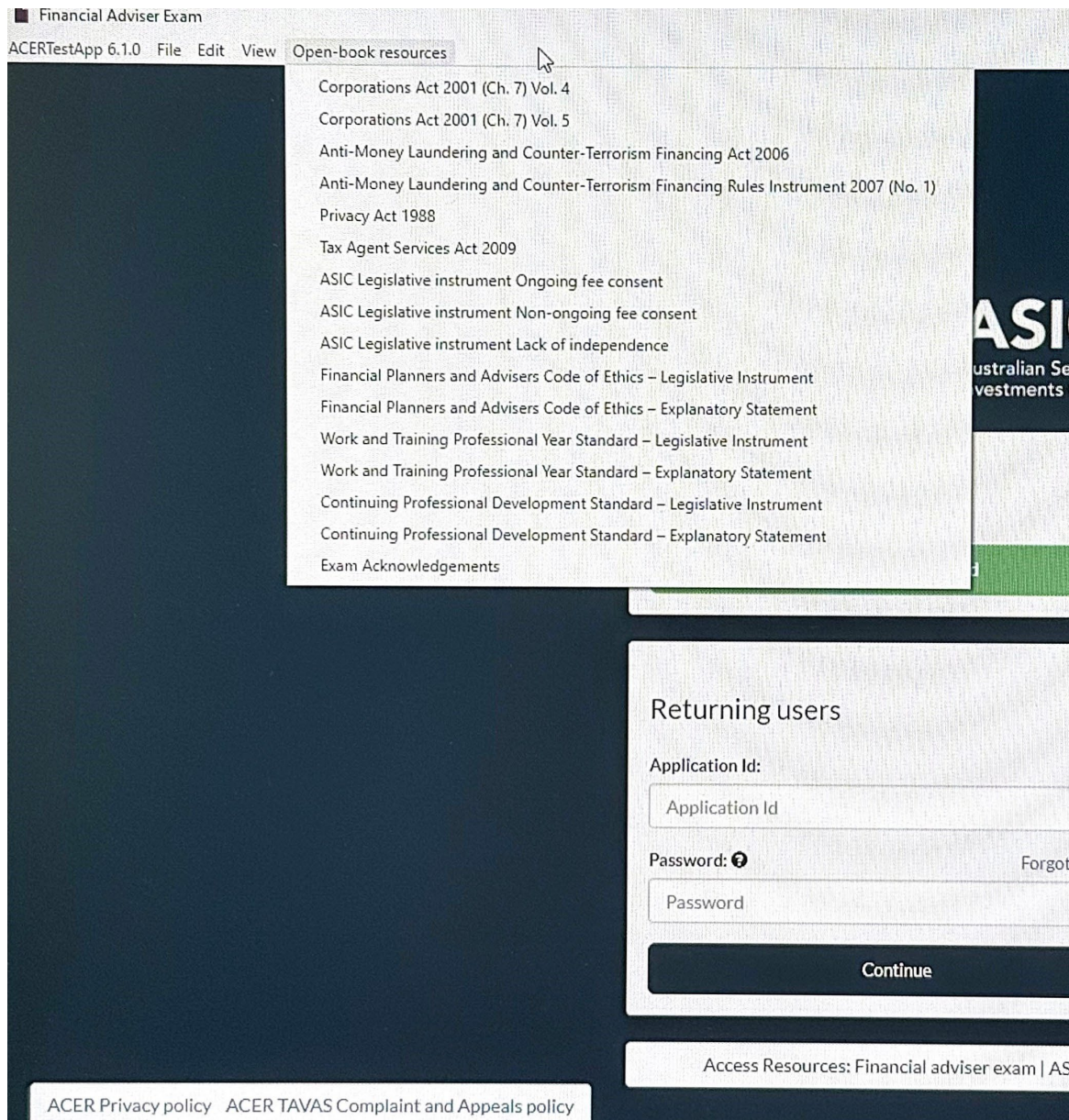
Click on one of the resources to open the file. After a few moments, a second window will open and display the selected resource (Figure 13). Complete this check for each resource on the list to make sure you will be able to access them during your exam.

Figure 13: Open-book resource in new window
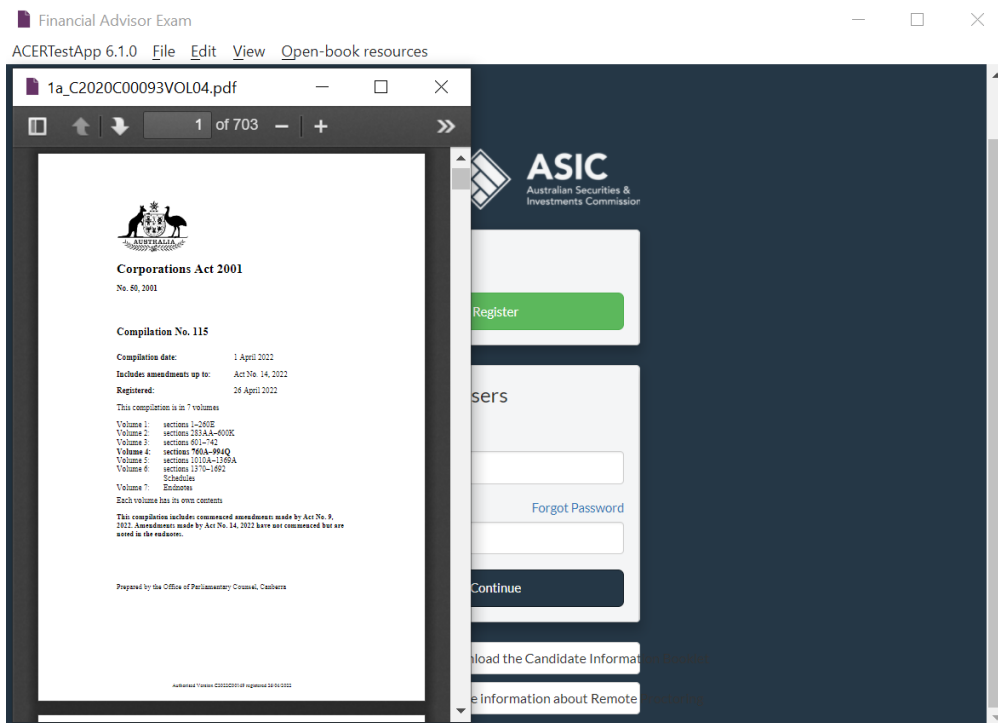
You should then close the ACER online exam application and all open-book resources, and access them only during your scheduled exam session.

> Please note that you are neither required nor able to log in to the ACER online exam application until your scheduled exam session. Your username to enter the exam will be your application ID. The exam proctor will have the password.

If you are unable to install the application on your computer, you will not be able to sit the exam via remote proctoring.

Step 7: Download your admission ticket from ACER

You will receive an email at least 5 business days before the date of your exam confirming that your admission ticket is available to download from your candidate registration account.

This admission ticket must be presented to your exam proctor at the beginning of your exam session. This admission ticket can be shown as either a physical printout or a digital copy. If you do not present a copy of the admission ticket, you will not be able to commence the exam.

Your admission ticket contains your application ID, which is also the username you are required to enter to log in to your exam.

If you are unable to download your admission ticket, it is your responsibility to advise the financial adviser exam team at faexam@acer.org.

Step 8: Receive and read ACER's *Exam day information guide*

In the week leading up to your exam you will receive an email containing the *Exam day information guide*. Please read and familiarise yourself with this document as it details the procedures that will take place during your ProctorU sitting of the exam.

Step 9: Sit your scheduled exam session

On your exam day, please log in to your [ProctorU account](#) and be ready to start at least 5 minutes before your scheduled exam session.

You must have:

› a copy of your admission ticket (downloadable from your candidate registration account)

› an appropriate photo-bearing identification document:

– a current Australian driver's licence (digital is acceptable)

– a current passport

– a current Australian proof of age card, or

– a current Keypass ID (available from Australia Post)

› a mirror or similar reflective device to show your proctor what is around your monitor, and

› a blank sheet of paper and pen/pencil.

At your scheduled session time, a button to start your session will appear on the home page. The countdown timer for the scheduled exam session will reach zero (Figure 14).

Figure 14: ProctorU 'Start Session' button

Click the button to 'Start Session'.

If you do not see a browser pop-up window, click 'Download Guardian Browser' (Figure 15).

Figure 15: ProctorU 'Download Guardian Browser' button
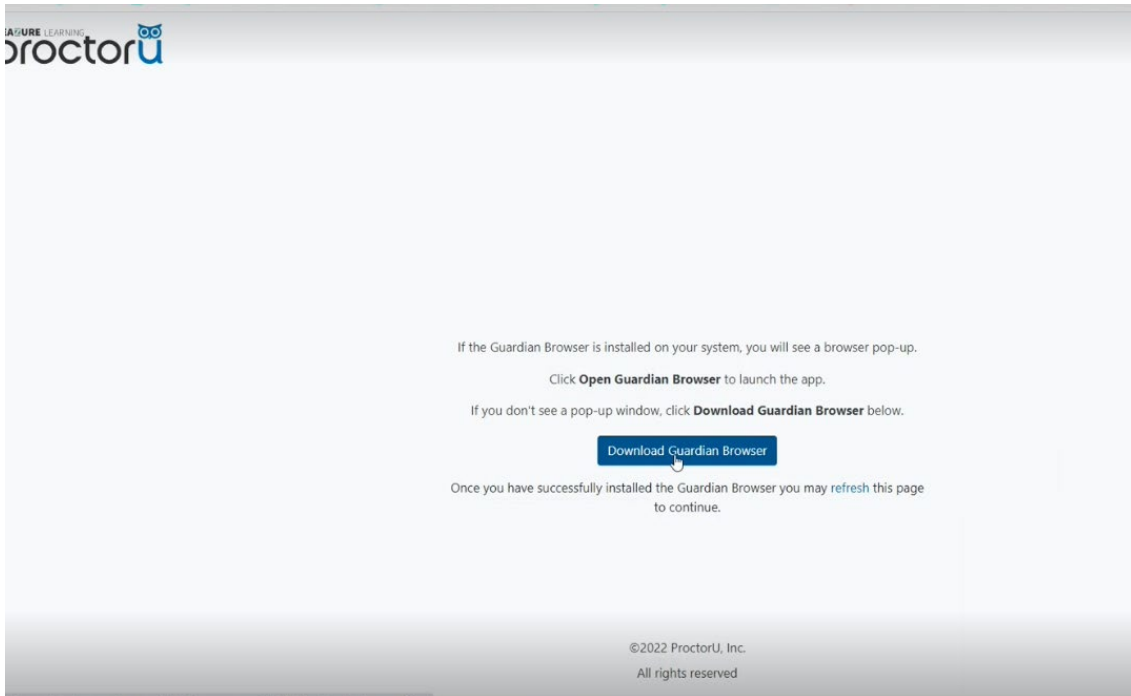
If the Guardian Browser is already installed on your computer, you will see a browser pop-up. Click 'Open Guardian Browser' to launch app and to commence exam pre-checks (Figure 16).

Figure 16: ProctorU 'Open Guardian Browser' button
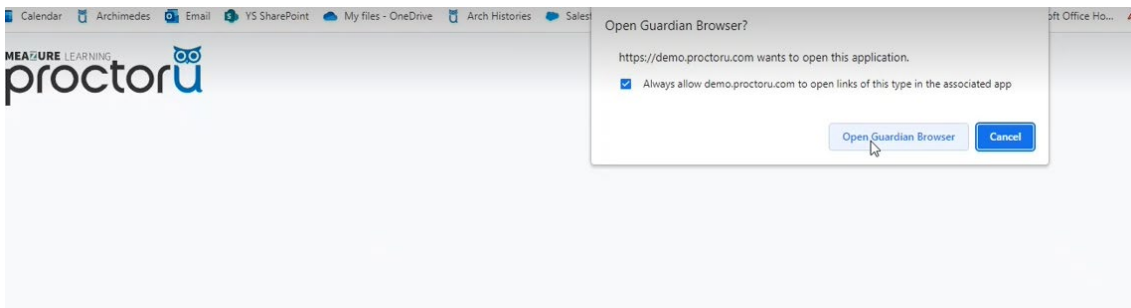
When you open the Guardian Browser, you should see a window like that shown in Figure 17. Please click 'Download the ProctorU Chat Application'.

Figure 17: ProctorU 'Download ProctorU Chat Application' button
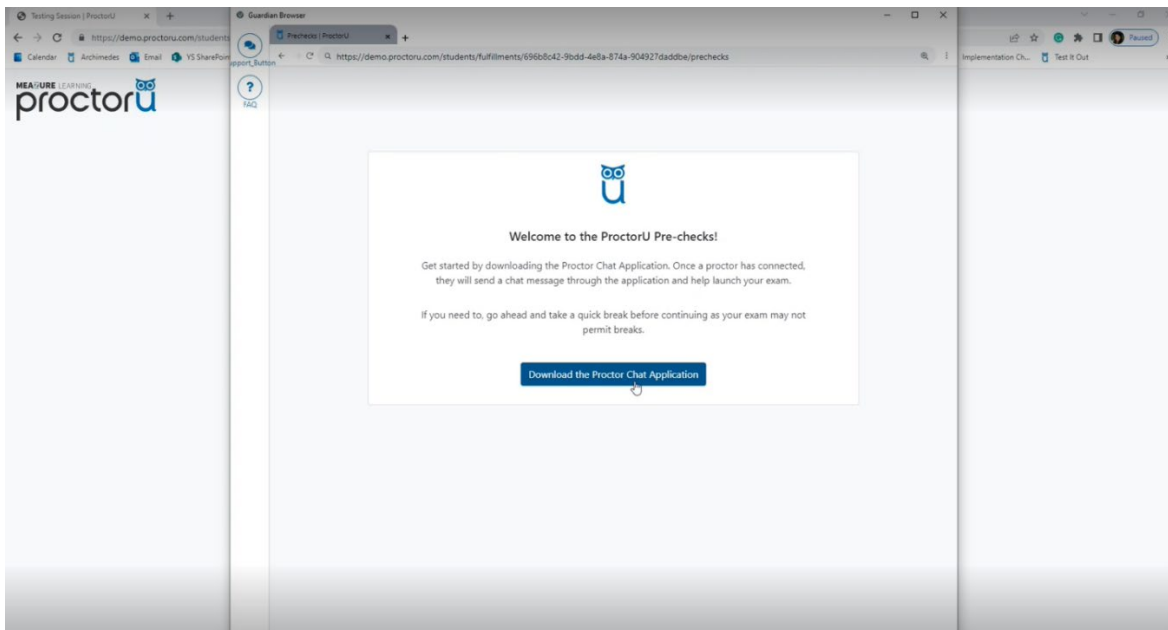
After you click the download button, you will be prompted to install and run the ProctorU Chat Application (Figure 18).

Figure 18: Install and run the ProctorU Chat Application
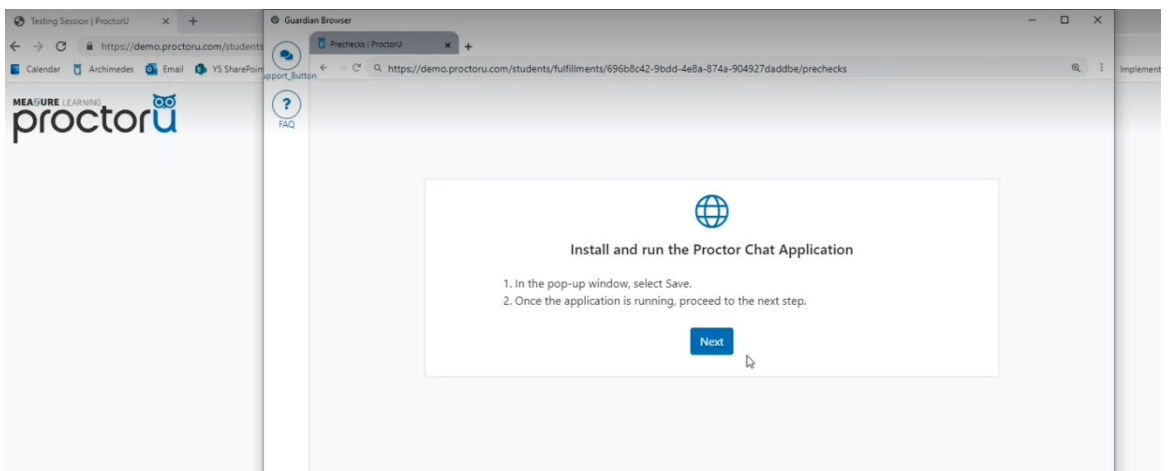
To install the Proctor Chat Application, please save the file named **Support-LogMeInRescue** in the pop-up window (Figure 19).

Figure 19: Save ProctorU Chat Application (file name Support-LogMeInRescue)

Once saved or downloaded, please run or open the Proctor Chat Application (**Support-LogMeInRescue**). The file is saved in your 'Downloads' folder or default download location. **If you receive a pop-up alert on your computer, prompting you to allow access to LogMeIn Rescue, you must select 'Allow'.** You will then be connected to an exam proctor who will assist you with the pre-exam administrative and technical checks.
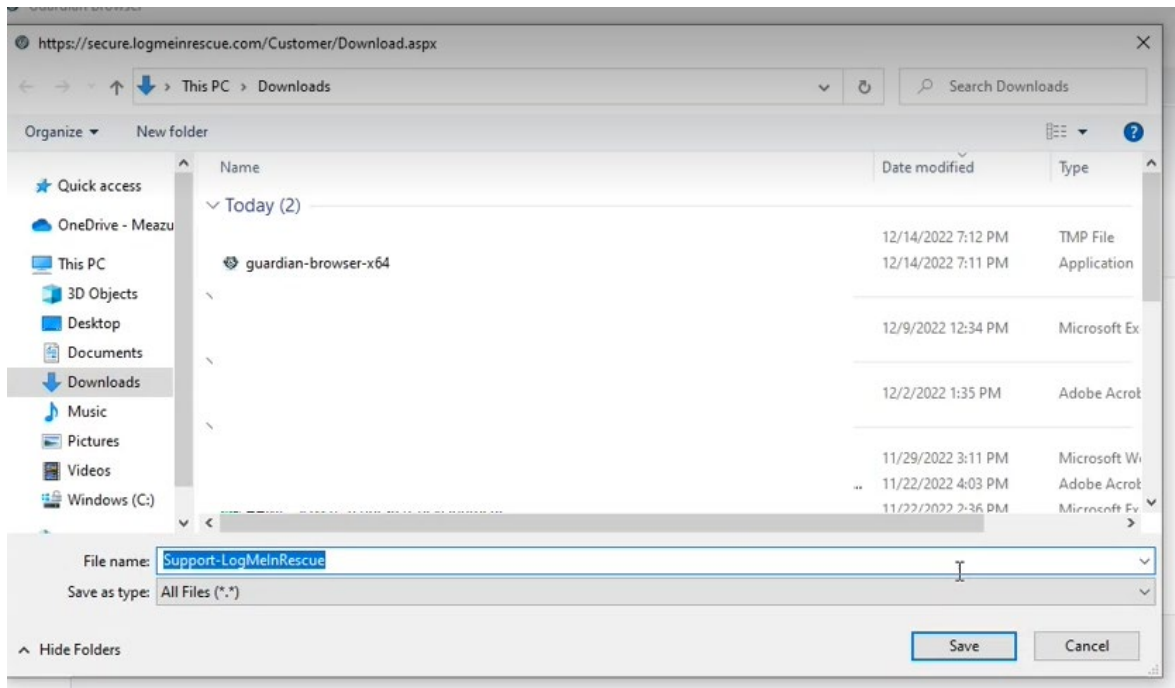
The Proctor Chat Application (or LogMeInRescue application) window will appear on your screen (Figure 20)**. Do not close the chat window and do not download the application multiple times**. It may take a few minutes for you to connect to your proctor. The Proctor Chat Application will allow you to chat with your proctor.

Figure 20: ProctorU Chat Application window
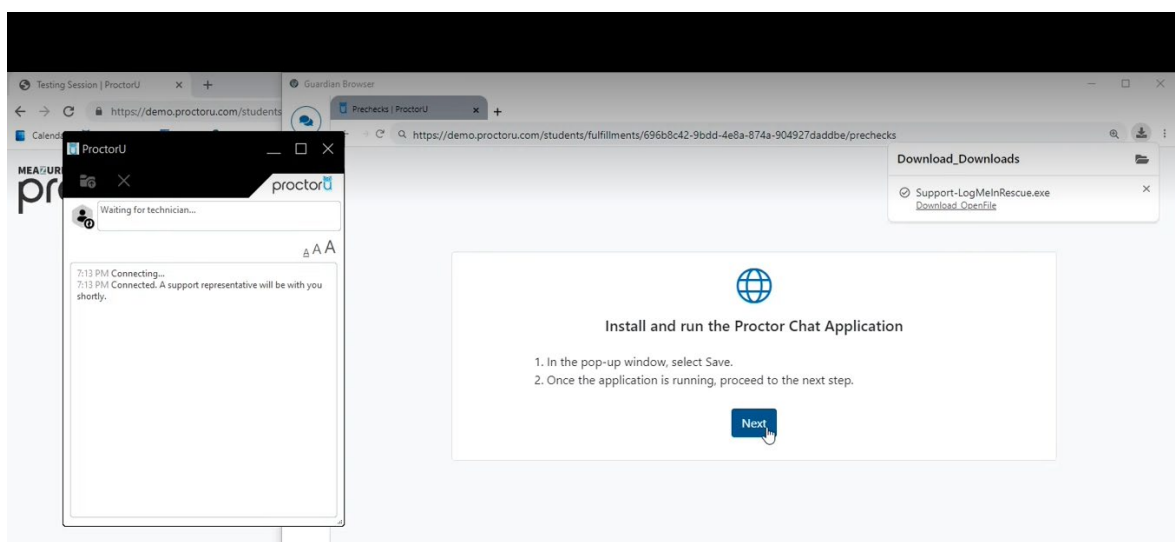
While you wait for your proctor to connect, click 'Next' to continue through pre-exam checks on your screen (Figure 21).

Figure 21: ProctorU exam pre-checks
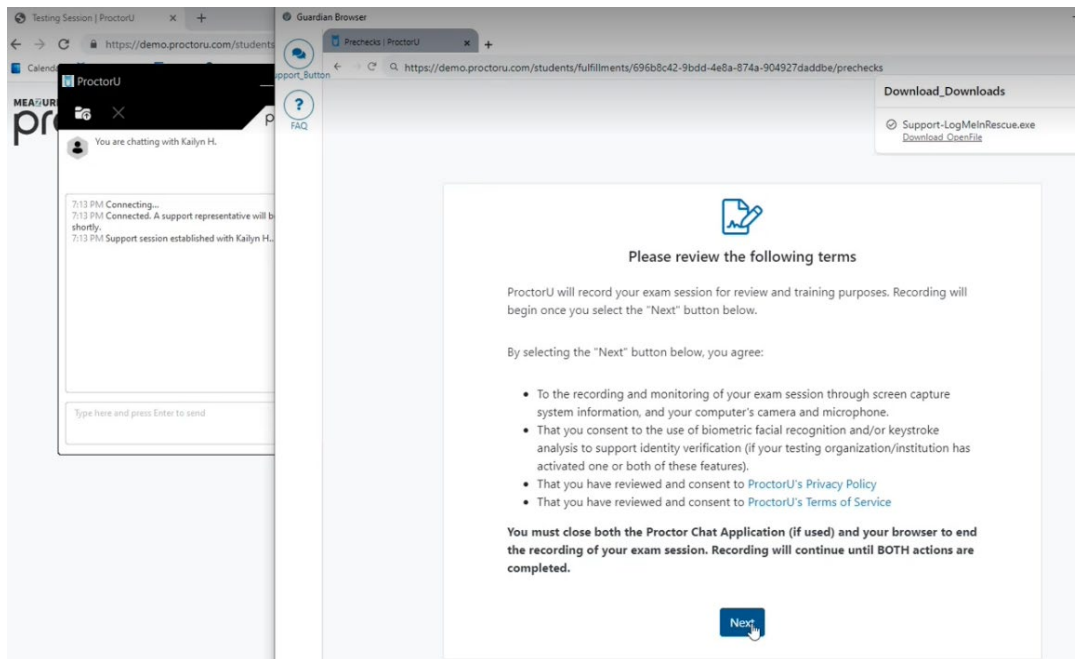
During busy periods, you may experience a wait before connecting to a proctor. The exam setup and checks can take at least 30 minutes to complete depending on your computer settings, and you may get connected to multiple proctors during this time. There may be times, lasting a few minutes, when the proctors are 'working in the background' and nothing appears to be occurring on your screen. This is expected and we ask that you please do not disconnect from your session during this time.

> If you experience significant technical issues during this time (before reading time has commenced) that cannot be resolved after 30 minutes, you may elect to inform the proctor that you do not wish to continue and would like to reschedule your exam session to another time within the current remote proctoring exam window. You must also inform the financial adviser exam team at faexam@acer.org that you have elected to reschedule immediately after your current session. Alternatively, you may allow the proctor to continue working on fixing the issues. Please note that this setup time is not part of your allotted exam time.

After the proctor has finished verifying your identity and checking your setup, they will ask you to run the ACER exam application (Figure 22). The process for downloading and testing this as part of the exam preparation tasks is in Step 6. After you or your proctor clicks the 'ASIC Financial Adviser Exam' button, you will then see the ACER candidate registration account page.

Figure 22: Financial adviser exam login page within ACER exam application
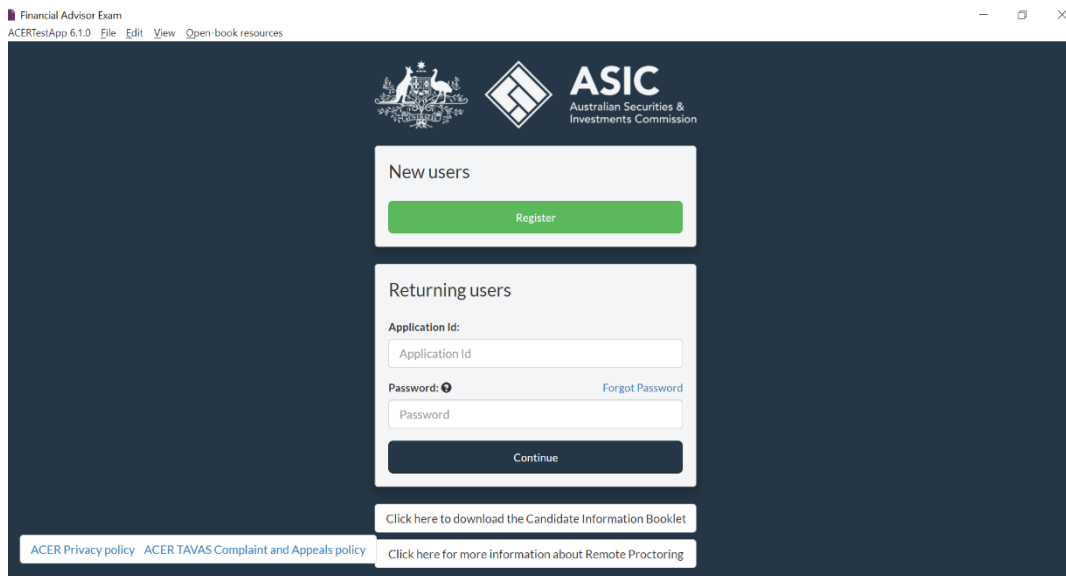
Your username for the exam is your application ID. Your password is the same password that you use to log in to your ACER candidate account.

After you enter your application ID and password, please open the authenticator app on your mobile and enter the six-digit verification code and click validate (Figure 23).

Figure 23: Two-factor authentication page
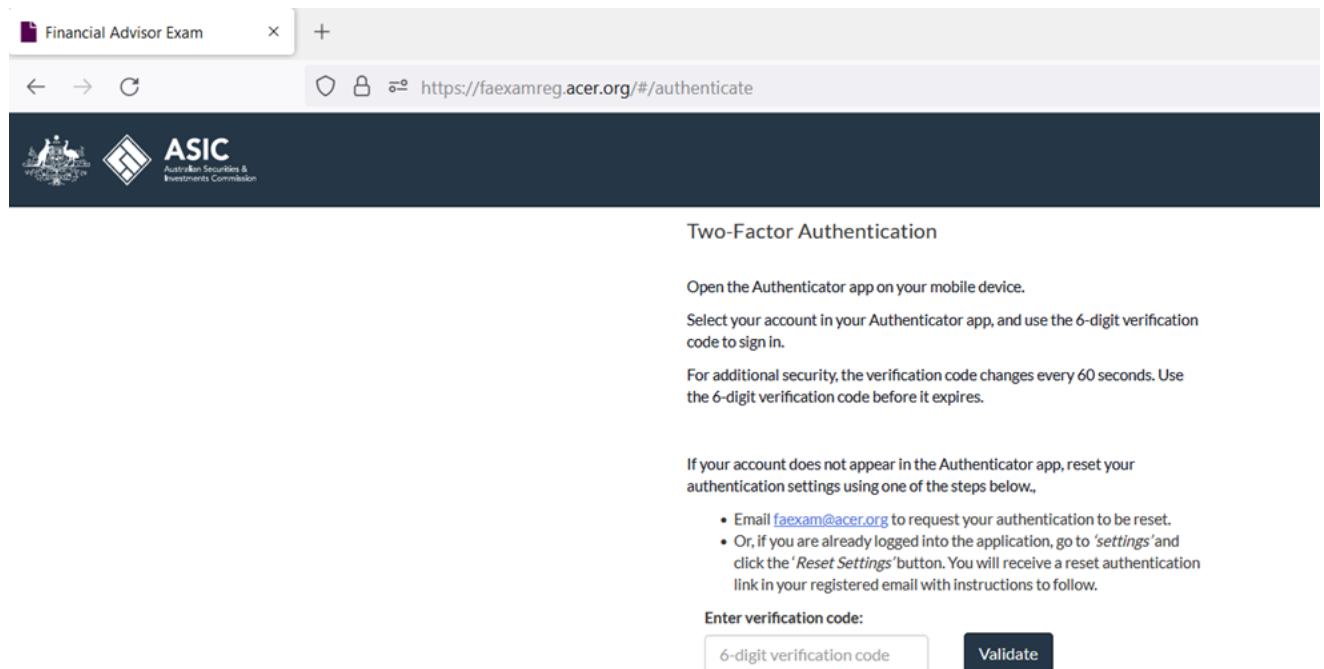
On the homepage of your account you will see a blue 'Open Sitting' button (Figure 24).

Figure 24: 'Open Sitting' button

Once you are connected to your proctor and you have logged in as above, click on the 'Open Sitting' button.

You will not be able to unlock the exam until the proctor is connected.

> The open-book resources included in the ACER online exam application are the **only** materials you are allowed access to during the ex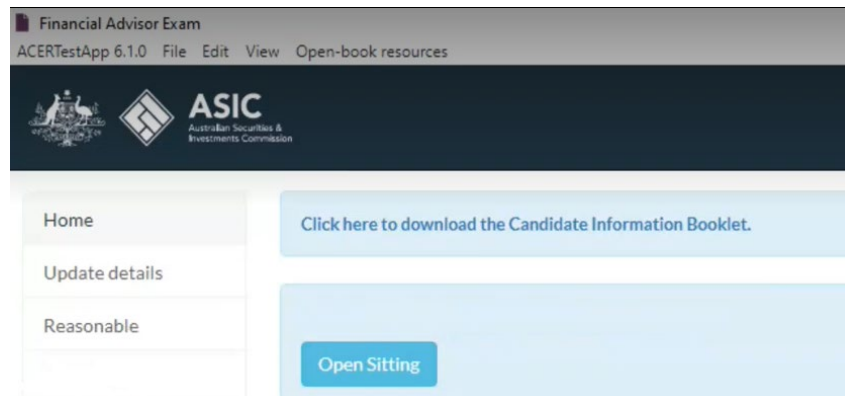am. You are **not** permitted to open an internet browser and navigate to or search for any other information. Your exam session is recorded and you are monitored by a proctor at all times. Any acts of misconduct will be reported to ACER through an incident report and may be subject to the consequences listed in the misconduct policy in the *Financial adviser exam: Candidate information booklet* on the financial adviser exam resources page on the ASIC website.

If you experience any technical issues or have any questions, you can communicate with your proctor during the exam by using the chat box function. If necessary, the proctor may also contact you during the exam through the chat box. **If you lose any time during the exam and you are not satisfied that your issue was resolved by your proctor, contact the financial adviser exam team immediately after finishing your exam at** faexam@acer.org.

When you have completed the exam, please notify the proctor. The proctor will ask you to tear up any notes you have taken and then exit all programs.

If you have any further questions about remote proctoring, please contact the financial adviser exam team at faexam@acer.org.

Frequently asked questions

Why must a driver licence or photo ID be provided as part of the identification process when sitting the exam?

The identification process is important to ensure that the right person is sitting the exam. ProctorU uses facial recognition software to match the ID to your face to ensure a match. The photo ID is stored for 7 days only for potential review if there are any mismatches and then deleted.

Can the proctor take over my machine and access client data or other sensitive data on my computer?

No. The proctors cannot link to your computer without your knowledge. Everything they do will be shown on your screen and they cannot perform 'hidden' actions. Access is only granted with your explicit permission and after you have clicked a button to confirm.

By granting permission, the proctor can view your screen and, during set up of the exam, use your mouse and keyboard as if they were sitting next to you. Once the exam starts, the proctor will monitor the computer screen, but can no longer use the mouse and keyboard.

During the entire process, a chat box is running on your computer and you can see what permissions the proctor has at any time. The chat session log is saved, including a permanent record of what actions the proctor took while accessing your computer.

Why does a proctor need to take control of my computer?

Before the exam starts, a technician proctor will undertake a technology check to ensure that you are appropriately set up to commence the exam. The proctor will use the chat box to communicate if you require help to finalise the technical setup. The proctor will ask for your permission before they take over the mouse or keyboard.

What technology is used by the proctor to access my computer?

The proctor uses the ProctorU Chat Application to access your computer. All communication is through the ProctorU Chat Application chat box.

Once the ProctorU Chat Application chat box is closed, ProctorU no longer has remote access to your computer, and the download will remove itself automatically.

The candidate can check this by viewing their 'Downloads' folder. Each live proctoring session requires a new ProctorU Chat Application download file. In order to live proctor another exam, the candidate will need to download the ProctorU Chat Application again.

What happens with all that data once an exam ends?

ProctorU only uses the data captured during exam sessions to conduct online proctoring. ProctorU does not use any candidate's personal information for any purpose other than facilitating the proctoring of online exams. The screen recordings and webcam audio and video are automatically deleted after one year.

Candidate details captured when the candidate registers to use remote proctoring are retained in case the candidate wishes to undertake further testing using ProctorU.