



**MEMBERSHIP APPLICATION – PRINCIPAL MEMBER**

\* In accordance with Section 11, Stockbrokers And Financial Advisers Association Limited (SAFAA) constitution

**1. ORGANISATION NAME**

Legal Name of Applicant \_\_\_\_\_

Known As/Corporate Group Name (if applicable) \_\_\_\_\_

**2. CORPORATE GROUP** (as defined in Section 2.1.12, Stockbrokers And Financial Advisers Association Limited Constitution)

Please list all related bodies that form part of the Corporate Group including the applicant. The member will formally represent the other Licensees that are Associated Companies (in accordance with Corporation Act 1989):

Company Name	Licence Type	Total Capitalisation (incl. ASD) (\$)	Representatives (as defined in S.910A, Corporation Law)	Share of ASX Market \$ Turnover (Annual %)
	<input type="checkbox"/> Dealer <input type="checkbox"/> Advisor <input type="checkbox"/> Market Maker			
	<input type="checkbox"/> Dealer <input type="checkbox"/> Advisor <input type="checkbox"/> Market Maker			
	<input type="checkbox"/> Dealer <input type="checkbox"/> Advisor <input type="checkbox"/> Market Maker			
<b>Corporate Group Total</b>				

Note: If more than three (3) Associated FSR licenses please append information in writing.

AFSL License No. (please attach copy with this application) \_\_\_\_\_

List of Substantial Shareholders (i.e with a shareholding of more than 5%). Please provide complete details:

1. \_\_\_\_\_ 2. \_\_\_\_\_ 3. \_\_\_\_\_



**3. ANNUAL AND JOINING FEES**

Please note the annual and joining fees for membership **October – September** have been confirmed by the Board of the Stockbrokers And Financial Advisers Association as: *(Please tick the **highest membership category** applicable out of your group’s ‘Total Capitalisation’, ‘Number of Representatives’ or ‘Share of Market Turnover’ – any one choice puts your membership in the highest category).*

Total Australian Capitalisation (incl ASD) (AUD\$)	Tick one	Representatives (as defined in S.910A, Corporation Law)	Tick one	Share of ASX Market \$ Turnover (Annual %)	Tick one	Membership Category	Annual Fee (incl GST)	Joining Fee (incl GST)	Total	Votes
Up to 6 million		Up to 40		Up to 0.3%		Small	\$6,050	\$3,025	\$9,075	15
6 million to 40 million		40 to 150		0.3% to 2%		Medium	\$12,100	\$6,050	\$18,150	30
Greater than 40 million		Greater than 150		Greater than 2%		Large	\$24,200	\$12,100	\$36,300	60

**4. ‘INSTITUTIONAL’ OR ‘RETAIL’**

In accordance with sections 2.1.17 ‘Institutional Broker’; 2.1.29 ‘Retail Broker’; and sections 9 & 10 ‘Members’ of the Stockbrokers And Financial Advisers Association Constitution, please select how your organisation seeks to be registered:

Either  Institutional Broker or  Retail Broker

**5. ORGANISATION’S ADDRESSES**

Street Address: \_\_\_\_\_

\_\_\_\_\_ State: \_\_\_\_\_ Postcode \_\_\_\_\_

Telephone No \_\_\_\_\_

Postal Address \_\_\_\_\_

\_\_\_\_\_ State: \_\_\_\_\_ Postcode \_\_\_\_\_



**6. REPRESENTATIVE / ALTERNATIVE REPRESENTATIVE** (as defined in Section 2.1.28, Stockbrokers And Financial Advisers Association Constitution)

We the undersigned hereby duly appoint

Name of **Representative** \_\_\_\_\_ Position Title \_\_\_\_\_

Street and Postal Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Direct Telephone ( ) \_\_\_\_\_ Direct Fax ( ) \_\_\_\_\_

Email Address \_\_\_\_\_

Name of **Alternative Representative** \_\_\_\_\_ Position Title \_\_\_\_\_

Street and Postal Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Direct Telephone ( ) \_\_\_\_\_ Direct Fax ( ) \_\_\_\_\_

Email Address \_\_\_\_\_

to act as our **Representative and Alternative Representative** in the Stockbrokers And Financial Advisers Association Limited ACN 089 767 706, in accordance with its Constitution.

**7. TERMS AND EXECUTION**

The applicant hereby undertakes and agrees to provide the Board with any industry-based business and statistical information requested from the applicant by the Board. The applicant (and all Associated Members) agrees to read and be bound by the terms and conditions of the Stockbrokers And Financial Advisers Association Constitution and Rules (as amended from time to time).

The applicant agrees to nominate the email address (overleaf) for Stockbrokers And Financial Advisers Association notices pursuant to Corporations Act section 314 'Annual Financial reporting to members' and section 249J 'Notice of meetings of members, to members and directors'.



Signed for, and on behalf of the applicant by its duly authorised officer/s:

Signed \_\_\_\_\_ Signed \_\_\_\_\_

Name \_\_\_\_\_ Name \_\_\_\_\_

Position Title \_\_\_\_\_ Position Title \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

**8. PAYMENT DETAILS**

Cheque enclosed for \$ \_\_\_\_\_ (*payable to Stockbrokers And Financial Advisers Association Limited*)

Please forward an invoice to my employer

Please charge the following credit card\*:  Amex  Visa  Mastercard  Diners

Name on card: \_\_\_\_\_ Signature of cardholder: .....

Card No \_\_\_\_\_ Expiry \_\_\_\_\_ Amex ID Code \_ \_ \_ \_

*\*merchant fees now apply to credit card payments. Amex 3.025%, Visa 1.5%, Mastercard 1.5% and Diners 4.09%. Membership is not pro-rated.*

NOTE: Please be aware that the Stockbrokers And Financial Advisers Association (SAFAA) reserves the right to request further information if deemed necessary.

**All enquiries & applications should be directed to:**

Stockbrokers And Financial Advisers Association (ACN 089 767 706)  
Level 6, 56 Pitt Street, Sydney NSW 2000  
Telephone: (02) 8080 3200  
Facsimile: (02) 8080 3299  
Email: [membership@stockbrokers.org.au](mailto:membership@stockbrokers.org.au)  
Website: [www.stockbrokers.org.au](http://www.stockbrokers.org.au)

*\*Membership approval is at the discretion of the Stockbrokers And Financial Advisers Association Board of Directors*