

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	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			
Corporate Group Total				

If more than three AFSL's are held, please supply information in an attachment.

AFSL 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. Please complete the table below. Your membership category will be determined by the larger of capitalisation, representatives or share of ASX Market turnover.

Total Australian Capitalisation	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 (if different from above) _____

_____ State: _____ Postcode _____

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

We the undersigned appoint

Name of **Representative** _____ Position Title _____

Street and Postal Address _____

_____ State _____ Postcode _____

Direct Telephone () _____ Mobile () _____

Email Address _____

Name of **Alternative Representative** _____ Position Title _____

Street and Postal Address _____

_____ State _____ Postcode _____

Direct Telephone () _____ Mobile () _____

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 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 and Code of Conduct.

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

Name on card: _____ Signature of cardholder:

Card No _____ Expiry _____ Amex ID Code _____

**merchant fees apply to credit card payments. Amex 3.025%, Visa 1.4% and Mastercard 1.4%.*

NOTE: 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
Website: www.stockbrokers.org.au

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