

WORKSHOP CALENDAR: Oct, Nov & Dec 2015

RESPONSIBLE EXECUTIVE (RE) SERIES WORKSHOPS	DETAILS
<p>RE REFRESHER: This workshop provides a refresher on the requirements applicable to REs and reviews some of the main topics in The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive Examination. Intended as a refresher course for existing REs who have already passed the Exam(s), this workshop could also be of interest to potential REs. Topics include RE Management & Supervision Requirements (& ASIC RM comparisons); Capital Adequacy, Records, Trust; Dealing & Client relations rules; Disciplinary Processes; Corporations Act requirements.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Wed 28 Oct 9:30am – 1:30pm SYD: Fri 4 Dec 9am – 1pm</p>
<p>RE EXAM PREPARATION COURSE: This 2 x 3-hour intensive workshop (conducted over 2 days) covers The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive exam syllabuses in detail, ensuring that candidates are well prepared for the exam(s) and know what to expect on the day, with sample questions and a practice exam.</p> <p style="text-align: right;">CPD HOURS: 10 Compliance</p>	<p>MELB: Mon 23 & Tues 24 Nov 9:30am – 12:30pm</p>
<p>RE EXAM PREPARATION 'SHORT COURSE': This 4-hour intensive workshop is a condensed version of the Stockbrokers Association 2-day RE Exam Preparation Workshop. It covers The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive exam syllabuses in detail, with 7 subject areas and 2 assessments during class time.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Tues 13 Oct 9:30am – 1:30pm SYD: Thurs 3 Dec 9am – 1pm</p>
PROFESSIONAL DEVELOPMENT WORKSHOPS	DETAILS
<p>MARKET MANIPULATION & OTHER PROHIBITED CONDUCT: This workshop covers an in-depth examination of what constitutes market manipulation and other prohibited conduct. Involving a mix of presentation and scenario-based discussion, it is designed to suit market professionals, both front and back office, including: Sales staff/client representatives; Proprietary Traders; DTRs; Investment banking; Settlement staff; and Compliance & legal.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>SYD: Tues 27 Oct 9am – 12pm MELB: Thurs 10 Dec 1:30pm – 4:30pm</p>
<p>INSIDER TRADING: This workshop provides a thorough analysis of Insider Trading. Topics include: elements of insider trading; statutory defences; insider trading and continuous disclosure; front running; dealing with rumours; management of confidential information; how to protect yourself, including Chinese walls, internal processes; and consequences of insider trading breaches. The Workshop is designed for sales staff/client representatives; proprietary traders; research analysts; investment banking; compliance and legal; and regulatory staff.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Thurs 12 Nov 1:30pm – 4:30pm SYD: Tues 1 Dec 9am – 12pm</p>
<p>A DAY IN THE LIFE OF A TRADE: This 2.5 hour short 'course in operations' focuses on the evolution of share and derivative trades from order placement through to execution to settlement (and later exercise/expiry where relevant) and reporting requirements. Designed for new or unfamiliar starters in the Industry or Markets, this workshop provides a comprehensive overview of the market and operational process. It provides an excellent foundation for retail desk assistants and would suit as a refresher for experienced staff as well as those staff in auxiliary and rotating roles: legal, IT, HR and other supporting roles associated with stockbroking. There is no assumed knowledge for participants of this workshop.</p> <p style="text-align: right;">CPD HOURS: 2 Compliance</p>	<p>SYD: Tues 10 Nov 9am – 11:30am MELB: Tues 17 Nov 2pm – 4:30pm</p>
<p>BIG DATA FOR STOCKBROKERS: This 1 hour seminar focuses on how BIG Data and BIG Data technologies could be used to provide better insight into clients and the market. Being able to collect data from multiple sources, internal and external to organizations (e.g. CRM systems, social media), different types of data (log files, phone calls, emails, transactional data, market research, websites/blogs) and being able to analyse the data fast opens up a lot of opportunities for firms. The power of BIG Data is being able to not only analyse traditional datasets, but import data from other sources and analyse your existing data in new and different ways to provide targeted or enriched answers to questions.</p> <p style="text-align: right;">CPD HOURS: 1</p>	<p>SYD: Tues 24 Nov 12:30pm – 1:30pm MELB: Wed 25 Nov 12:30pm – 1:30pm</p>
<p>UNBUNDLING OF RESEARCH AND EXECUTION: This 1 hour workshop will focus on the impact of technology in the execution process and the potential impacts to revenue from the growing push for the unbundling of research and execution. Stuart Knowling and Matthew Moore will lead an interactive discussion of their own experiences and those of other global brokers looking to reduce costs and improve profitability.</p> <p style="text-align: right;">CPD HOURS: 1</p>	<p>MELB: Tues 10 Nov 12:30pm – 1:30pm SYD: Thurs 12 Nov 12:30pm – 1:30pm</p>

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INTRODUCTORY SERIES WORKSHOPS	DETAILS
<p>UNDERSTANDING DERIVATIVES: OPTIONS AND WARRANTS: Derivatives are an established and essential component of global financial markets. Focusing on options and warrants, this workshop discusses how and why derivatives are used for leverage and/or manage risk. Key concepts are explained through worked examples, under the guidance of an experienced practitioner. This half day workshop is also ideal preparation for Accredited Derivatives Adviser Level 1 - ADA1 candidates.</p> <p style="text-align: right;">CPD HOURS: 4</p>	<p>SYD: Thurs 8 Oct 9am – 1:30pm MELB: Tues 1 Dec 9am – 1:30pm</p>
<p>THE BUSINESS OF STOCKBROKING IN AUSTRALIA: This workshop provides an overview of Australia’s financial markets and the critical role that stockbrokers play in both retail and institutional markets. A short history of broking in Australia sets the scene for explanation of the current market structure, operations and regulation.</p> <p style="text-align: right;">CPD HOURS: 2.5</p>	<p>SYD: Thurs 15 Oct 9am – 12pm MELB: Thurs 19 Nov 9:30am – 12:30pm</p>
<p>UNDERSTANDING OPTIONS: FEATURES, BENEFITS AND RISKS: This workshop focuses on equity options traded on the Australian Securities Exchange (ASX). Equity options offer investors an efficient means of managing the risks of adverse price movements in the share market. In addition, they give traders a vehicle by which to gain leveraged exposure to individual shares and selected indices. This workshop covers options pricing, basic strategies and the mechanics of trading options on the ASX.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>MELB: Thurs 22 Oct 9:30am – 11:30am SYD: Thurs 5 Nov 9am – 11am</p>
<p>UNDERSTANDING WARRANTS: TYPES, DIFFERENCES AND RISKS: This 2 hour workshop covers the main types of warrants traded on the ASX with a particular focus on equity trading warrants and instalments. Basic warrant pricing will be discussed, and the role of the warrant issuer will be explained. Ideal for those who wish to acquire fundamental knowledge about the Australian warrants market.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>MELB: Wed 7 Oct 9am – 11am SYD: Fri 20 Nov 9am – 11am</p>
<p>INTRODUCTION TO CONTRACTS FOR DIFFERENCE: This workshop focuses on the class of derivatives known as Contracts for Difference (CFDs). This workshop covers the different types of CFDs, their uses, risks and potential rewards.</p> <p style="text-align: right;">CPD HOURS: 3</p>	<p>MELB: Tues 27 Oct 9am – 12pm SYD: Tues 8 Dec 9am – 12pm</p>
PROFESSIONAL STOCKBROKERS PROGRAM - PREPARATORY WORKSHOPS	DETAILS
<p>CORE 1 (RG146) PREPARATORY WORKSHOP: Are you undertaking the Professional Stockbrokers Program Core 1 (RG146) Securities & Managed Investments Accreditation Assessment? Then this half-day workshop is ideal for you. Learn the syllabus in detail and key areas to focus on for your studies. Industry expert presenters and small class size for personal tuition. The Professional Stockbrokers Program Core 1 (RG146) Securities & Managed Investments Accreditation meets ASIC RG146 requirements in generic and specialist knowledge and skills in Securities and Managed Investments.</p> <p style="text-align: right;">CPD HOURS: 3 Compliance</p>	<p>SYD: Tues 13 Oct 9:30am – 1pm MELB: Wed 14 Oct 9:30am – 1pm</p>