

PROFESSIONAL STOCKBROKERS PROGRAM™ – ADVANCED STANDING KIT

(October 2014)

WHAT IS ADVANCED STANDING?

Advanced Standing is the process for being granted exemptions for the Professional Stockbrokers Program™ and its accreditations, based on successful completion of prior study and/or work experience. Exemptions are granted at the time of enrolment in the Professional Stockbrokers Program™.

EXEMPTION OPTIONS

Standard Exemptions: If you have completed the former SDIA Accreditation Program you may apply for a standard exemption in the Professional Stockbrokers Program™. There are no fees for standard exemptions.

Non-Standard Exemptions: You may also apply for non-standard exemptions on the basis of prior study with another institution and/or work experience. The Professional Stockbrokers Program Advanced Standing Committee will assess your application.

Note: Candidates cannot apply for Advanced Standing for both components of the Stockbrokers And Financial Advisers Association Limited Professional Diploma in Stockbroking™.

HOW DO I APPLY FOR ADVANCED STANDING?

Complete Application Form: If you are applying for a **standard exemption** based on completion of the former SDIA Accreditation Program please contact our office as we will have a copy of your records. If you are applying for a **non-standard exemption** based on completion or prior study with another institution and/or work experience or completion of an ASIC approved compliance course you must attach the following supporting documentation to the Advanced Standing Application Form:

- A current resume
- Documentary evidence of previous educational qualifications and professional development
- Documentary evidence of membership of relevant professional organizations
- A mapping document outlining previous study
- Subject outlines
- A supporting statement

Submit your application to Stockbrokers And Financial Advisers Association Limited: Submit your completed Application Form and full fee payment (if applicable) to: Professional Stockbrokers Program, PO Box R1461, Royal Exchange NSW 1225

FEES

Advanced standing fees only apply to non-standard exemptions. There are no application fees for standard exemptions.

APPLICATION DATES

Applications must be submitted to Stockbrokers And Financial Advisers Association Limited and can be lodged at any time.



HOW ARE APPLICATIONS ASSESSED?

Applications for standard exemptions will be assessed by the Stockbrokers And Financial Advisers Association Limited and DeakinPrime. Applications for non-standard exemptions will be forwarded to the Stockbrokers & Financial Advisers Association Limited Advanced Standing Committee, comprising senior academics and industry practitioners for review.

HOW WILL I BE NOTIFIED OF THE OUTCOME OF MY APPLICATION?

Provided that all documentation is complete, the Stockbrokers And Financial Advisers Association Limited will notify applicants in writing of the outcomes for:

- Standard exemptions within ten working days of receipt of the application
- Non-standard exemptions approximately four weeks after receipt of the application.

HOW ARE EXEMPTIONS RECORDED?

Exemptions will be recorded on your transcript as 'Exempt'.

WHO DO I CONTACT FOR HELP?

If at any time you are unsure about Advanced Standing or the application process please contact:

Stockbrokers And Financial Advisers Association Limited

Telephone: +61 2 8080 3200

Email: education@stockbrokers.org.au

Stockbrokers And Financial Advisers Association Limited/DeakinPrime Customer Service
Helpdesk

DeakinPrime

Telephone: +613 9918 9119

Fax: +613 9918 9119

Email: saa@deakinprime.com

Professional Stockbrokers Program™ - Advanced Standing Application Form

STANDARD AND NON-STANDARD EXEMPTIONS

Personal Details:

Candidate ID: _____

Title (Mr, Mrs, Ms, Miss, Other): _____

Given name/s: _____

Surname: _____

Postal Address: _____

City: _____

State: _____

P/code: _____

Telephone No (bus): _____

Mobile No: _____

Telephone No (home): _____

Fax: _____

Email: _____

Standard Exemptions:

If you are applying for a **standard exemption** please indicate the program you have completed below:

the (former) SDIA Accreditation Program

Non-Standard Exemptions:

If you are applying for a **non-standard exemption** please indicate the accreditation for which you seek exemption:

Core 1: Securities & Managed Investments Accreditation

OR

Elective: _____

Checklist of required attachments for non-standard exemptions:

A current resume – this must outline employment history including company name, duration of employment and position details.

Documentary evidence of previous educational qualifications and professional development – acceptable documentary evidence of your qualification includes:

— Appropriate subject outlines from your previous study

— A supporting statement

Documentary evidence of membership of relevant professional organizations – official membership certificates

A mapping document outlining the details of your previous study to the accreditation from which you are seeking exemption.

Appropriate subject outlines – attach the subject outline for each accreditation you refer to in your mapping document, your application cannot be considered without this documentation. The subject outline must be for the year in which you passed the subject and describe in detail the content of the subject. This information is generally available from the Faculty office of your previous education institution.



**Stockbrokers
And Financial Advisers
Association Limited**

Supporting statement – you are required to provide details of any supporting evidence, such as duties of current job, reasons for application and any additional information that may support your application. If you refer to work experience, a letter from your employer must also be provided to support your application.

*Please DO NOT attach original documents – attach CERTIFIED copies.

**Candidates cannot apply for Advanced Standing for both components (eg. Core 1 and 1 x Elective) of the Stockbrokers And Financial Advisers Association Limited's Professional Diploma in Stockbroking™.



SUPPORTING STATEMENT

Payment

The fee is \$590 (incl GST) per accreditation. The fee of \$790 (incl GST) is applicable per Core 1 – Securities and Managed Investment Accreditation only.

Fees must be paid at the time you lodge your application. Fees are not required for standard exemption applications. This fee is not refundable if your application is unsuccessful.

Cash/EFTPOS \$ _____

Cheque payable to Stockbrokers And Financial Advisers Association Limited for \$ _____

Credit card payment \$ _____ MasterCard Diners Visa AMEX

Card Number: _____ Expiry Date: _____

Cardholder Name: _____

Cardholder Signature: _____

† merchant fees now apply to credit card payments.

Amex 3.025%, Visa 1.5%, Mastercard 1.5%, Diners 4.09%

Please ensure that your application is complete and that you have attached all supporting documentary evidence, we are unable to process incomplete applications.

Application Signature: _____ Date: _____

Please return completed forms, supporting documentation and fee to:

Professional Stockbrokers Program

C/O: Stockbrokers And Financial Advisers Association Limited

Level 6, 56 Pitt Street

Sydney NSW 2000

Fax: (02) 8080 3299