



RESPONSIBLE EXECUTIVE EXAMINATION ENROLMENT FORM

Use BLOCK letters when completing this form and please retain a copy for your records.

1. PERSONAL INFORMATION AND CONTACT DETAILS:

Candidate ID *:	<input type="checkbox"/> Male	<input type="checkbox"/> Female			
Practitioner Member:	<input type="checkbox"/> Yes	<input type="checkbox"/> No <i>(if no, please refer to Section 6 of this enrolment form)</i>			
Post Nominal <i>(for existing members only)</i> :	<input type="checkbox"/> ASAA	<input type="checkbox"/> MESAA	<input type="checkbox"/> MSAA	<input type="checkbox"/> AFSAA	
Title <i>(Mr, Mrs, Ms, Miss, Other)</i> :	First Name:				
Middle Name:	Surname:				
Date of Birth <i>(optional)</i> :					
Home Address:					
				State:	Postcode:
Home Telephone No:		Mobile† No:			

EMPLOYMENT DETAILS:

Position Title:		
Organisation Name:		
Organisation Street Address:		
	State:	Postcode:
Organisation Postal Address#:		
	State:	Postcode:
Organisation Switchboard No:	Organisation Direct No:	
Organisation Fax no:		
Email Address:		

* To be used by candidates for re-enrolment purposes.

† SMS results may be sent to this number. See Section 5 of this application.

Please be aware that your study materials and certification will be sent to the **Organisation Postal Address** listed here.



**Stockbrokers
And Financial Advisers**

Association Limited

2. RESPONSIBLE EXECUTIVE EXAMINATION SELECTION & FEES

(All fees are quoted in Australian Dollars and are GST Free except for the External Exam Venue Fee. Prices are effective as at 21 October 2010.)

Subject Enrolment	Individual Member	Member Firm	Non-Member
Markets, Clearing & Settlement RE Exam: ASIC Market Integrity Rules (ASX Markets) 2010 & ASX Clear Operating Rules (Clearing & Settlement) RE Exam	<input type="checkbox"/> \$600.00	<input type="checkbox"/> \$600.00	<input type="checkbox"/> \$600.00
Markets RE Exam: ASIC Market Integrity Rules (ASX Markets) 2010 RE Exam	<input type="checkbox"/> \$350.00	<input type="checkbox"/> \$350.00	<input type="checkbox"/> \$350.00
Clearing & Settlement Exam: ASX Clear Operating Rules (Clearing & Settlement) RE Exam	<input type="checkbox"/> \$350.00	<input type="checkbox"/> \$350.00	<input type="checkbox"/> \$350.00
External Exam Venue (per exam; per person.)	<input type="checkbox"/> \$275.00	<input type="checkbox"/> \$275.00	<input type="checkbox"/> \$275.00
TOTAL:	\$	\$	\$

Resit or Remark (\$250.00 per Assignment or Exam)

- Markets, Clearing & Settlement RE Exam
 Markets RE Exam
 Clearing & Settlement RE Exam

3. COMPULSORY APPOINTMENT OF AN INDEPENDENT SUPERVISOR

All online examinations require a supervisor to be appointed at the time of enrolment. Please refer to the Supervisor Guidelines on our website. It is **compulsory that the Supervisor's Business Address and Telephone Number** be provided. Please note that the independent supervisor nominated by the candidate to supervise an online examination must be:

- A suitable person at a government recognised tertiary institution or school, (e.g. Teacher, Senior Administrator, Librarian)
- A suitable person at the Australian Consulate, (e.g. a Training or Education Officer) a Minister of Religion, Justice of the Peace
- Doctor, Lawyer, Accountant, Police Officer, Human Resources Manager
- A Compliance Officer
- The HR Manager or Training Manager at the candidate's place of work

Supervisor's Title (<i>Mr, Mrs, Ms, Miss, Other</i>):	
Supervisor's First Name:	Supervisor's Surname:
Supervisor's Position Title:	
Supervisor's Organisation:	
Supervisor's Business Address (Compulsory):	
State:	Postcode:
Supervisor's Email:	
Supervisor's Telephone No (Compulsory):	
Supervisor's Mobile No:	



4. APPLY FOR STOCKBROKERS & FINANCIAL ADVISERS ASSOCIATION PRACTITIONER (INDIVIDUAL) MEMBERSHIP

To coincide with the launch of the Professional Stockbrokers Program™, individuals may elect to apply for Practitioner (Individual) Membership so they may enrol at a discounted individual member price. Membership payment must be received together with the completed Membership Application form. Approval of membership is at the discretion of the Stockbrokers And Financial Advisers Association Limited Profession Committee. Please tick the appropriate box below. *Please refer to the membership section on website for form and application detail.*

- Yes, I would like to apply for Associate (ASAA) or Member (MESAA) – Stockbroking membership \$275.00*
- Yes, I would like to apply for Master (MSAA) – Stockbroking membership \$412.50*
- Yes, I would like to apply for Affiliate (AFSAA) – Stockbroking membership \$275.00*

TOTAL: \$ _____
*All prices are inclusive of GST

5. PAYMENT DETAILS

All fees must be paid at the time of enrolment.

<input type="checkbox"/> Cheque Enclosed (<i>payable to Stockbrokers And Financial Advisers Association</i>)				
<input type="checkbox"/> Credit Card† (<i>details below</i>)				
Charge†:	<input type="checkbox"/> Amex	<input type="checkbox"/> Visa	<input type="checkbox"/> Mastercard	<input type="checkbox"/> Diners
Amount Payable: \$				
Name of Cardholder:				
Account Number:				
Signature:		Expiry Date:		Amex ID:

† merchant fees now apply to credit card payments.
Amex 3.025%, Visa 1.5%, Mastercard 1.5%, Diners 4.09% This registration form will serve as a Tax Invoice for GST purposes when you make payment

ALL ENQUIRIES & APPLICATIONS SHOULD BE DIRECTED IN THE FIRST INSTANCE TO:

Stockbrokers And Financial Advisers Association (ACN 089 767 706)
Level 6, 56 Pitt Street, Sydney NSW 2000
Telephone: (02) 8080 3200 | Fax: (02) 8080 3299
Email: education@stockbrokers.org.au
Website: www.stockbrokers.org.au

STOCKBROKERS AND FINANCIAL ADVISERS ASSOCIATION CANCELLATION/REFUND POLICY

Fees will not be refunded if a candidate withdraws after study notes have been dispatched or student access to Subject Rooms has been activated, except under the following circumstances:

- Where the candidate’s application for enrolment is declined by Stockbrokers And Financial Advisers Association.
- Whereby reason or reasons beyond the candidate’s control, including acts of government authorities, civil strikes and riots, the student is prevented from studying an accreditation.
- Where Stockbrokers And Financial Advisers Association cancels an accreditation in which the candidate has enrolled or where the commencement of the accreditation is postponed for more than four weeks.

Fees will be refunded only when an enrolled candidate withdraws before dispatch of study materials. An administration fee of \$110 will apply in this instance. Substitutes will be allowed provided that the enrolment period is valid. Organisations/candidates are to apply in writing to the Stockbrokers And Financial Advisers Association.

RESIT OR REMARK OF AN ASSESSMENT: Candidates may request in writing a remark of an assessment. The fee for re-sits and remarks is \$250 per accreditation examination and/or assignment.

****NEW APPLICANTS:** Please note that enrolments by non-members at Practitioner Membership rates are subject to Stockbrokers And Financial Advisers Association approval. Should your membership application be unsuccessful, non member prices will be charged.

Stockbrokers And Financial Advisers Association Limited ABN 91 089 767 706
(address) Level 6, 56 Pitt Street, Sydney NSW 2000 (tel) +61 2 8080 3200 (fax) +61 2 8080 3299