



## PROFESSIONAL STOCKBROKERS PROGRAM 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"/> MeSAFAA	<input type="checkbox"/> MSAFAA	<input type="checkbox"/> AfSAFAA
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.



## 2. EXEMPTIONS

Exemptions will be granted upon evidence of successful prior study in *(please tick boxes below)*:

- The SDIA Accreditation Program
- The ASX ADA 1 (successfully completed before 1<sup>st</sup> August 2010)

Please attach certified copies of certificates of completed courses and qualifications to this enrolment form. No fees are applicable for these exemptions.

## OTHER EXEMPTIONS – ADVANCED STANDING

If candidates have undertaken other study that they think will exempt them from certain accreditations, they may apply for Advanced Standing. Please refer to the Advanced Standing Kit at [www.stockbrokers.org.au](http://www.stockbrokers.org.au) or contact Stockbrokers And Financial Advisers Education via email [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au).

## 3. PROFESSIONAL STOCKBROKERS PROGRAM SELECTION & FEES

*(All fees are quoted in Australian Dollars and are GST Free except for the External Exam Venue Fee. Please check [www.stockbrokers.org.au](http://www.stockbrokers.org.au) for accreditation preparation workshop. Prices are effective as at March 2013.)*

Subject Enrolment	Individual Member	Member Firm	Non-Member
<b>Core 1 (RG146):</b> Securities & Managed Investments Accreditation	<input type="checkbox"/> \$790.00	<input type="checkbox"/> \$790.00	<input type="checkbox"/> \$990.00
<b>Elective:</b> Accredited Derivatives Adviser Level 1 (ADA1)	<input type="checkbox"/> \$370.00	<input type="checkbox"/> \$380.00	<input type="checkbox"/> \$390.00
<b>Elective:</b> Accredited Derivatives Adviser Level 2 (ADA2)	<input type="checkbox"/> \$320.00	<input type="checkbox"/> \$330.00	<input type="checkbox"/> \$340.00
<b>Elective:</b> Accredited Derivatives Adviser Level 1 & 2 (ADA 1 & ADA 2) <i>Note: Candidates have twelve (12) months to complete ADA 1 and ADA 2 when enrolling at the same time (not three (3) months as per single accreditation enrolments)</i>	<input type="checkbox"/> \$690.00	<input type="checkbox"/> \$710.00	<input type="checkbox"/> \$730.00
<b>Elective:</b> Margin Lending Accreditation	<input type="checkbox"/> \$280.00	<input type="checkbox"/> \$280.00	<input type="checkbox"/> \$280.00
<b>Elective:</b> Margin Lending Accreditation + Skills	<input type="checkbox"/> \$370.00	<input type="checkbox"/> \$380.00	<input type="checkbox"/> \$390.00
<b>Elective:</b> Superannuation Accreditation	<input type="checkbox"/> \$470.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$520.00
<b>Elective:</b> Foreign Exchange	<input type="checkbox"/> \$470.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$520.00
<b>Re-sit: Exam</b> <input type="checkbox"/> Core 1 <input type="checkbox"/> Elective: ADA 1 <input type="checkbox"/> Elective: ADA 2 <input type="checkbox"/> Elective: Margin Lending <input type="checkbox"/> Elective: Superannuation <input type="checkbox"/> Elective: Foreign Exchange <input type="checkbox"/> Markets RE Exam <input type="checkbox"/> Clearing & Settlement Exam <input type="checkbox"/> Markets, Clearing & Settlement Exam (Combined)	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00
<b>Re-mark: Assignment/Skills</b> <input type="checkbox"/> Core 1 <input type="checkbox"/> Elective: ADA 1 <input type="checkbox"/> Elective: ADA 2 <input type="checkbox"/> Elective: Superannuation <input type="checkbox"/> Elective: Margin Lending	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00
<b>TOTAL:</b>	<b>\$</b>	<b>\$</b>	<b>\$</b>

*(\*designed for advisers who have not been accredited under RG146 for specialist knowledge in securities and/or managed investments).*



**4. 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 ( <b>Compulsory</b> ):		
		State:                      Postcode:
Supervisor’s Email:		
Supervisor’s Telephone No ( <b>Compulsory</b> ):		
Supervisor’s Mobile No:		

**5. RESULTS**

- Yes, I would like my results sent via SMS

Note: Results will be sent to the mobile number as per Page 1 of this application form. Please also note that all results are mailed to the organisation address as provided

**6. APPLY FOR STOCKBROKERS AND FINANCIAL ADVISERS ASSOCIATION LIMITED 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 Member (MeSAFAA) – Stockbroking membership \$375.00\*
- Yes, I would like to apply for Master (MSAFAA) – Stockbroking membership \$495.00\*
- Yes, I would like to apply for Affiliate (AfSAFAA) – Stockbroking membership \$375.00\*

TOTAL: \$ \_\_\_\_\_

*\*All prices are inclusive of GST*



## 7. 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 Limited</i> )	
<input type="checkbox"/> Credit Card† ( <i>details below</i> )	
Charge†:	<input type="checkbox"/> Amex <input type="checkbox"/> Visa <input type="checkbox"/> Mastercard
Amount Payable: \$	
Name of Cardholder:	
Account Number:	
Signature:	Expiry Date:

† merchant fees now apply to credit card payments.

Amex 3.025%, Visa 1.4%, Mastercard 1.4%

This registration form will serve as a Tax Invoice for GST purposes when you make payment

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

Stockbrokers And Financial Advisers Association Limited (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](mailto:education@stockbrokers.org.au)  
Website: [www.stockbrokers.org.au](http://www.stockbrokers.org.au)

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### STOCKBROKERS AND FINANCIAL ADVISERS ASSOCIATION LIMITED 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.

**GUIDELINES FOR ENROLMENT:** Enrolments received and processed via the Stockbrokers And Financial Advisers Association by the Wednesday of each week will receive their Student Portal Login from DeakinPrime on the following Monday and materials by the following Wednesday. It is advisable that students enrol **prior to or on the Wednesday of each week.**

**DEFERRAL OF STUDY:** The Professional Stockbrokers Program (Core 1 + elective) must be completed within a two year period. At any time during the two years deferral of study may be approved for a period of up to 12 months in cases of severe or long-term illness or personal or immediate family trauma. Formal application must be made to defer a study program. Appropriate documentation must be provided with the application. An administrative fee of \$110 will apply.

**RESIT OR REMARK OF AN ASSESSMENT:** Candidates may request in writing a remark of an assessment. This includes either a re-sit of an examination or a resubmission of an assignment. 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