

NATIONAL DTR ACCREDITATIONS ONLINE EXAMINATION ENROLMENT FORM

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

Important Information: The National DTR Accreditation is designed for individuals who will be or are employed as DTRs. It is not designed for others (e.g. advisers, compliance staff, management, DMA order originators) who are looking to gain a theoretical understanding of trading rules and protocol. Enrolling candidates are to have at least four (4) weeks on-the-job-training and/or work experience with a Senior DTR.

There are two National DTR Accreditations available:

- 1. National DTR Cash Equities Accreditation** (short name: DTR Cash Equities)
Four (4) weeks on-the-job-training with a Senior DTR + 1 x Online Examination (80% pass mark required) + 1 x Oral DTR Governor's Assessment (one-on-one assessment)
- 2. National DTR Derivatives Accreditation** (short name: DTR Derivatives)
Four (4) weeks on-the-job-training with a Senior DTR + 1 x Online Examination (80% pass mark required) + 1 x Oral DTR Governor's Assessment (one-on-one assessment)

Once candidates have successfully passed their online exam component, they are to contact the Stockbrokers And Financial Advisers Association Limited on 02 8080 3200 or email dtr@stockbrokers.org.au to make arrangements for the oral assessment session.

PERSONAL INFORMATION AND CONTACT DETAILS:

Candidate ID (if known):	
Title (<i>Mr, Mrs, Ms, Miss, Other</i>):	First Name:
Middle Name:	Surname:
Contact No:	Mobile No:

EMPLOYMENT DETAILS:

Position Title:		
Organisation Name:		
Organisation Address:		
		State:
		Postcode:
Email Address:		
Email Address (<i>personal optional</i>):		

NATIONAL DTR ACCREDITATION ONLINE 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 1 June 2014.)

National DTR Accreditation Enrolment	
National DTR Cash Equities Accreditation Online Exam + Oral Skills Assessment (candidates must pass the online exam before they can proceed to the Oral Skills Assessment – pass mark is 80%)	<input type="checkbox"/> \$590.00 (incl GST)
National DTR Derivatives Accreditation Online Exam + Oral Skills Assessment (candidates must pass the online exam before they can proceed to the Oral Skills Assessment – pass mark is 80%)	<input type="checkbox"/> \$590.00 (incl GST)
National DTR Cash Equities Online Exam Resit	<input type="checkbox"/> \$250.00 (incl GST)
National DTR Derivatives Online Exam Resit	<input type="checkbox"/> \$250.00 (incl GST)
TOTAL:	\$

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 Responsible Executive
- Compliance Officer
- Senior DTR Operator
- 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

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:	
State:	Postcode:
Supervisor’s Email:	
Supervisor’s Telephone No:	Supervisor’s Mobile No:

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	<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 1.4%, Mastercard 1.4%

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 Limited (ACN 089 767 706)
 Level 6, 56 Pitt Street, Sydney NSW 2000
 Telephone: (02) 8080 3200
 Fax: (02) 8080 3299
 Email: dtr@stockbrokers.org.au
 Website: www.stockbrokers.org.au

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 the Stockbrokers And Financial Advisers Association Limited.
- 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 they Stockbrokers And Financial Advisers Association Limited 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 Limited.