



DTRs...Are you Industry Compliant?

Introducing the Stockbrokers And Financial Advisers Association National DTR Accreditation

The Stockbrokers And Financial Advisers Association's (SAFAA) National DTR Accreditations are the leading industry accreditations available to Designated Trading Representatives (DTRs). The National DTR Accreditations are Australia's only recognised professional qualifications that satisfies Market Participant and Responsible Executive DTR skill and quality benchmarks. There are currently two National DTR Accreditations available:

- 1) National DTR Cash Equities Accreditation (short name: DTR Cash Equities)
- 2) National DTR Derivatives Accreditation (short name: DTR Derivatives)

What is involved in the completing a National DTR Accreditation?

Each accreditation is made up of an Online Examination and a one-on-one assessment component known as the Oral DTR Governor's Assessment. Senior members of the SAFAA National DTR Working Group, some of whom were former ASX Governors, conduct the Oral DTR Governor's Assessments. There will be two (2) SAFAA DTR Governors, as well as the Candidate and a Responsible Executive (RE) and/or Senior DTR from their firm at the oral assessment sessions. Skype (with visual) may be used. In addition, enrolling candidates are to have at least four (4) weeks on-the-job training and/or work experience with a Senior DTR.

National DTR Cash Equities Accreditation (Short name: DTR Cash Equities)

- ✓ 1 x Online Examination (80% passmark required)
- ✓ 4 weeks' on-the-job training or work experience with a Senior DTR
- ✓ 1 x Oral DTR Governor's Assessment (one-on-one assessment)

National DTR Derivatives Accreditation (Short name: DTR Derivatives)

- ✓ 1 x Online Examination (80% passmark required)
- ✓ 4 weeks' on-the-job training or work experience with a Senior DTR
- ✓ 1 x Oral DTR Governor's Assessment (one-on-one assessment)

Upon successful completion of the National DTR Accreditation applicants then qualify to apply to be added to the National Register of DTR Operators (*optional*). This searchable register offers industry wide recognition for National DTR Accreditation holders and is an essential component for Market Participants to meet their recruitment and proficiency assessment obligations.

How do I Register for the SAFAA National DTR Accreditation?

To register simply visit our website or contact the SAFAA via phone or email:

Website: www.stockbrokers.org.au/dtr
Phone: (02) 8080 3200
Email: dtr@stockbrokers.org.au

What are the Costs?

The SAFAA National DTR Accreditation can be purchased at an all inclusive price of \$590 (including GST).



**Stockbrokers
And Financial Advisers
Association Limited**

NATIONAL DTR ACCREDITATION - REGISTER TODAY



First Name:	Last Name:	Post Nominal:
Position Title:	Organisation:	
Address:		
City:	State:	Postcode:
Phone:	Mobile:	
Email Address:		

Compulsory Appointment of an Independent Supervisor

Supervisor's First Name:	Supervisor's Last Name:	Supervisor's Post Nominal:
Supervisor's Title:	Supervisor's Organisation:	
Supervisor's Business Address (compulsory):		
City:	Postcode:	Country:
Supervisor's Phone (compulsory):		Mobile:
Supervisor's mail Address:		

Payment* Details: \$590.00 (including GST)

* Credit card charges apply. Please note that candidates must successfully complete the DTR Cash Equities Accreditation, before enrolling in the DTR Derivatives Accreditation

<input type="checkbox"/>	DTR Cash Equities or <input type="checkbox"/> DTR Derivatives	
<input type="checkbox"/>	Cheque (made payable to Stockbrokers And Financial Advisers Association Ltd)	Cheque No.
<input type="checkbox"/>	Mastercard	<input type="checkbox"/> Visa Card
	<input type="checkbox"/> American Express	
Card Number: _____	Expiry Date: ___ / ___	
Cardholders Name:	Total: \$	
Cardholder's Signature:		
<input type="checkbox"/>	Invoice Company for the amount of \$	

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

- whereby reason or reasons beyond the candidate's control, including acts of government authorities, civil strikes or riots, the student is prevented from studying an accreditation

- where the Stockbrokers And Financial Advisers Association cancels an accreditation in which a 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.