

Practitioner Membership Application for employees of a Principal Member of SAFAA

Practitioner Membership is offered to persons authorised to provide advice under an AFSL.

1. Applicant Details

Title _____ First Name(s) _____
 Surname _____ Date of Birth _____ ASIC Adviser No. _____
 Home Address _____
 _____ State _____ Postcode _____
 Mobile _____
 Work email (for all communications) _____
 Private email (in the event you cease to be an employee) _____

2. Employer Details

Name _____
 Your position _____
 Address _____
 _____ State _____ Postcode _____
 Work Telephone () _____
 Name of AFSL Holder _____ AFSL No. _____
 Your Authorised Representative No. (if applicable) _____

3. Membership Categories

There are two Practitioner Membership Categories, Member (MeSAFAA) and Master (MSAFAA).

Eligibility criteria appear below.

Please select the appropriate Membership category for which you are applying.

| Membership Categories | Select |
|--|--|
| A. Member i. I am on the ASIC Financial Advisers Register ii. I am an employee of a Principal Member of SAFAA iii. I have employment experience providing professional advice and/or services in an operations or management capacity within the stockbroking and financial advisory industry. I also hold an appropriate tertiary qualification and/or recognised industry certification. Any advice that is provided by me is provided under a financial services licensing arrangement that meets current legislative requirements. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> |

| | | |
|---|--|--------------------------|
| B. Master Member i. I am on the ASIC Financial Advisers Register ii. I am an employee of a Principal Member of SAFAA iii. I am currently a Responsible Executive ...OR... I have at least 7 years experience in total within the last 10 years in an advising, operations or management capacity with one or more Market Participants or Principal Members of the Stockbrokers And Financial Advisers Association. Any advice that is provided by me is provided under a financial services licensing arrangement that meets current legislative requirements. | <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> | |
| Tax (Financial) Advisers | Yes | No |
| i. I am registered with the Tax Practitioners Board as a Tax (Financial) Adviser | <input type="checkbox"/> | <input type="checkbox"/> |

4. Membership Requirements - Please confirm you meet the following requirements

| Membership Requirements | Yes |
|--|--------------------------|
| i. I meet the Stockbrokers And Financial Advisers Association guidelines for good fame and character. Please complete declaration on Page 4. | <input type="checkbox"/> |
| ii. I meet the Stockbrokers And Financial Advisers Association Membership Knowledge & Skills Requirement. Please complete declaration on Page 5. | <input type="checkbox"/> |
| iii. Under the Stockbrokers And Financial Advisers Association's Code of Ethical Conduct, Members must obtain such professional indemnity insurance cover as may be required by law or any applicable rules. I confirm I am covered by Professional Indemnity Insurance. | <input type="checkbox"/> |

5. Applicant Declaration

I confirm that the information supplied in this application is complete and correct. I understand that any false or misleading information may lead to loss of membership.

I agree to read and be bound by the terms and conditions of the Stockbrokers And Financial Advisers Association Constitution, Rules, Code of Ethical Conduct, and any policies and guidelines issued by the Stockbrokers And Financial Advisers Association *(as amended from time to time)*.

I will undertake appropriate annual Continuing Professional Development as prescribed by the Stockbrokers And Financial Advisers Association.

I agree to be subject to the Stockbrokers And Financial Advisers Association Conduct Review and Disciplinary System.

Signed by applicant _____ Date _____

Signed by one of the following from your firm:

Director / Company Secretary / Responsible Executive / Responsible Officer / Compliance Officer

Signed _____ Date _____

Name: _____

6. Membership Fees

| Membership Type | Annual Membership Fee (incl. GST) | Postnominal |
|-----------------|-----------------------------------|---------------------------------|
| Master Member | \$495.00 | Master Member of SAFAA (MSAFAA) |
| Member | \$375.00 | Member of SAFAA (MeSAFAA) |

7. Payment Details

Mastercard Visa Card American Express

Card Number: _____ Expiry Date: ____ / ____

Cardholders Name: _____ Total: \$ _____

Cardholder's Signature: _____

Merchant fees apply to credit card payments. Amex 3.025%, Visa 1.4% and Mastercard 1.4%

Payment details must be supplied at time of application. Card will be charged and a tax receipt issued when the application is approved.

8. Consent to use and disclosure of personal information

I agree that this information may be used by the Stockbrokers And Financial Advisers Association in the following ways:
a) The Stockbrokers And Financial Advisers Association Website b) Any editorial or other publications including Stockbrokers And Financial Advisers Association newsletters and promotional material. I further consent that the Stockbrokers And Financial Advisers Association may, in order to assist in the administration of its services, disclose my personal information to my employer organisation, including but not limited to information regarding the status of my membership.

Signed by the applicant _____

Name _____ Date _____

Enquiries & applications should be directed to:

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

Membership is at the discretion of the Stockbrokers And Financial Advisers Association Board of Directors.

The Association complies with the Privacy Act 1988 in handling all information provided by members.

Good Fame & Character Declaration

I _____ declare that within the last ten years, within Australia or Overseas, I have not been:

- refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration, or authority is required by Law
- suspended from membership, or disciplined, by any securities, stock, futures, commodity, or other exchange
- refused membership by any securities, stock, futures, commodity, or other exchange
- refused membership of, or disciplined by, any professional body
- the subject of any findings, judgement or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil, or criminal proceeding in any country
- convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws)
- the subject of any ASIC banning order, disqualification, or enforceable undertaking
- found not to be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services
- engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration revoked or suspended
- found to have hindered, obstructed or misled, or was not candid or truthful with, a regulatory agency relating to financial services
- found to be obstructive, misleading or untruthful in dealing with a court, tribunal, official inquiry, complaints handling body, dispute resolution body, or professional or industry body relating to financial services
- declared bankrupt

Applicant Signature _____ Date _____

Witness

Name _____

Address _____

Signature _____ Date _____

Membership Knowledge & Skills Requirement

| | Select one or more of the following. <i>Please note: Tax (Financial) Advisers must meet either or both of 1 and 4.</i> | Evidence attached |
|--------------------------|--|--------------------------|
| <input type="checkbox"/> | 1. Holds a university degree. The Board will consider the appropriateness of degrees on a case by case basis. | <input type="checkbox"/> |
| <input type="checkbox"/> | 2. Has successfully completed a Stockbrokers And Financial Advisers Association approved industry short course (including the Stockbrokers And Financial Advisers Association Professional Diploma in Stockbroking and/or the (former) SDIA Accreditation Program) | <input type="checkbox"/> |
| <input type="checkbox"/> | 3. Other qualification/s – please specify: | <input type="checkbox"/> |
| <input type="checkbox"/> | 4. In relation to registered Tax (Financial) advisers – I have the equivalent of six years of full-time experience in providing tax (financial) advice in the past 8 years | <input type="checkbox"/> |

The following is also required:

- I attach a one page resume outlining:
- my academic record
 - industry qualifications
 - employment history

Please note: This application will not be accepted unless countersigned on page 2 by one of the following from your firm: Director, Company Secretary, Responsible Executive, Responsible Officer or Compliance Officer.

**Use of the Term ‘Stockbroker’
(Only applies to representatives of Market Participants)**

If you wish to refer to yourself as a ‘stockbroker’ or ‘sharebroker’, please ensure that your employer completes the following declaration.

The use of these terms is specifically prohibited by the Corporations Act 2001 unless authorised by ASIC in your employer’s AFSL, and by the employer to you).

YES / NO *(delete one)*

Employer Declaration

..... *(applicant full name)* is a Representative or
Authorised Representative of *(AFSL Licensee full name)*,
AFSL Number who has been authorised to use the term
‘stockbroker’ or ‘sharebroker’ in the above Australian Financial Services License by ASIC.

In accordance with Corporations Act s923B(1)(c), we hereby authorize.....
(applicant full name) to use the term ‘stockbroker’ or ‘sharebroker’, or any word or expression that is of like meaning.

For and on behalf of *(AFSL Licensee full name)*

Signature

Name

Capacity *(delete one)*

Director / Secretary / Responsible Executive / Responsible Officer / Compliance Officer

Date