

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* _____

Title (*Mr, Mrs, Ms, Miss, Other*) _____

Male / Female (*please circle*) _____

Practitioner Member : Yes No (*if no, please refer to Section 6 of this enrolment form*)

Post-nominal (for existing members only): ASAA MESAA MSAA AFSAA

First Name _____ Middle Name _____

Surname _____ Date of Birth (*optional*) _____

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 Facsimile No () _____

Email _____

* 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

RMIT Superannuation Module

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 or contact Stockbrokers Education via email 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 for accreditation preparation workshop. Prices are effective as at 7 May 2010.)

Subject Enrolment	Individual Member	Member Firm	Non-Member
Core 1 (RG146): Securities & Managed Investments Accreditation	<input type="checkbox"/> \$590.00	<input type="checkbox"/> \$790.00	<input type="checkbox"/> \$990.00
Core 2: Professional Standards Accreditation	<input type="checkbox"/> \$390.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$590.00
Elective: Derivatives Accreditation	<input type="checkbox"/> \$390.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$590.00
Elective: Superannuation Accreditation	<input type="checkbox"/> \$390.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$590.00
Elective: Securities Accreditation *	<input type="checkbox"/> \$390.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$590.00
Elective: Managed Investments Accreditation*	<input type="checkbox"/> \$390.00	<input type="checkbox"/> \$490.00	<input type="checkbox"/> \$590.00
Elective: Margin Lending Accreditation	<input type="checkbox"/> \$280.00	<input type="checkbox"/> \$280.00	<input type="checkbox"/> \$280.00
Re-sit – Exam	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00
<input type="checkbox"/> Core 1 <input type="checkbox"/> Core 2 <input type="checkbox"/> Elective: Derivatives <input type="checkbox"/> Elective: Superannuation <input type="checkbox"/> Elective: Securities <input type="checkbox"/> Elective: Margin Lending <input type="checkbox"/> Elective: Managed Investments			
Re-mark – Assignment	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00	<input type="checkbox"/> \$250.00
<input type="checkbox"/> Core 1 <input type="checkbox"/> Elective: Derivatives <input type="checkbox"/> Elective: Superannuation			

TOTAL: \$ _____ \$ _____ \$ _____

*designed for advisors 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 (*Mr, Mrs, Ms, Miss, Other*) _____ Supervisor's First Name _____

Supervisor's Surname _____

Supervisor's Position _____

Supervisor's Organisation _____

Supervisor's Business Address (**Compulsory**) _____

Supervisor's Email _____

Supervisor's Telephone No (**Compulsory**) _____ Supervisor's Mobile No _____

5. RESULTS

Yes, I would like my results 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 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 Association Profession Committee. Please tick the appropriate box below.

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

(Please refer to the membership section on website for form and application detail)

TOTAL: \$ _____

** all prices inclusive of GST.*

7. PAYMENT DETAILS

All fees must be paid at the time of enrolment. Cheque Enclosed (*payable to SAA*) Credit Card† (*details below*)

Charge† Amex Visa Mastercard Diners Amount payable \$ _____

Name of Cardholder _____

Account No _____

Signature _____ Expiry Date _____ Amex ID _____

† merchant fees now apply to credit card payments.
 Amex 3.1%, Visa 1.5%, Mastercard 1.5%, Diners 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 Association of Australia (ACN 089 767 706)
PO Box R1461, Royal Exchange NSW 1225
Telephone: (02) 8080 3200
Fax: (02) 8080 3299
Email: education@stockbrokers.org.au
Website: www.stockbrokers.org.au

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 Association
- where by 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 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 Association.

GUIDELINES FOR ENROLMENT: Enrolments received and processed via the Stockbrokers 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™ (2 core + 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 Association approval. Should your membership application be unsuccessful, non member prices will be charged.

Stockbrokers Association of Australia ABN 91 089 767 706
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