

## MEMBERSHIP APPLICATION – AFFILIATE MEMBER

\* In accordance with Section 11, Stockbrokers Association of Australia constitution

### 1. APPLICANT DETAILS

Title (*Mr, Mrs, Ms, Miss, Other*) \_\_\_\_\_ First Name(s) \_\_\_\_\_

Surname \_\_\_\_\_ Date of Birth \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Home Telephone ( ) \_\_\_\_\_ Mobile \_\_\_\_\_

Position Title \_\_\_\_\_

Business Name \_\_\_\_\_

Business Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Business Postal Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Business Telephone ( ) \_\_\_\_\_ Business Fax ( ) \_\_\_\_\_

Email \_\_\_\_\_

Personal Email\*: \_\_\_\_\_

\* will be used only if we are unable to contact you on your business email address.

### 2. DETAILS OF APPLICANT'S FIRM/EMPLOYER

Business Name \_\_\_\_\_

Street Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_

Postal Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

DX Number (*if applicable*) \_\_\_\_\_ URL \_\_\_\_\_

AFS Licence Number (*if applicable*) \_\_\_\_\_

Date of incorporation (*if applicable*) \_\_\_\_\_ Date Applicant joined firm \_\_\_\_\_

Names of Principals of Firm \_\_\_\_\_

\_\_\_\_\_

Name of Auditors of Firm \_\_\_\_\_

Description of Nature of Firm's Business \_\_\_\_\_

### 3. MEMBERSHIP REQUIREMENTS

This category is open to applicants who **do not qualify for Stockbrokers Association Practitioner Membership**, yet whose employment or business is significantly exposed to the stockbroking industry. Eligible applicants would typically provide services to the industry such as legal, accounting, technology, education, training, research and information services, or provide advice and/or dealing services to clients in securities **without being an ASX Market Participant**.

#### PART A:

Membership Requirements <i>(Please initial all 3 bullet points)</i>	<i>Please initial</i>
i. I meet the Stockbrokers Association Of Australia Profession Committee guidelines for knowledge and skills (complete Attachment A- Pg 5); and	
ii. I meet the Stockbrokers Association of Australia Profession Committee guidelines for good fame and character (complete Attachment B- Pg 7); and	
iii. I will undertake appropriate annual Continuing Professional Development as prescribed by the Stockbrokers Association of Australia Profession Committee.	

#### PART B:

### 4. REASONS FOR SEEKING MEMBERSHIP

Please set out reasons why the Applicant is seeking to join the Association *(if insufficient space, please use an Annexure)*:

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### 5. APPLICANT DECLARATION

*(Please ensure that the following declaration is signed and completed. Once completed the form should then be forwarded to Stockbrokers Association of Australia)*

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 Association Constitution, Rules and Code of Ethics *(as amended from time to time)*. I agree to **NOT** use the term "stockbroker" or "sharebroker" in relation to any of my activities. *(NOTE: Under section 923B of the Corporations Act, it is a contravention for any person to use of the term "stockbroker" or "sharebroker" or any other term of like import unless they are a participant in a licensed market whose license covers dealing in securities or an individual authorise by such a participant)*. I agree to nominate the email address (overleaf) for Stockbrokers Association notices pursuant to Corporations Act section 314 'Annual Financial reporting to members' and section 249J 'Notice of meetings of members, to members and directors'.

Signed by the applicant \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

### 6. ANNUAL AND JOINING FEES

Please note the annual & joining fees for the membership year **October – September** have been confirmed by the Board of the Stockbrokers Association is:

Membership Category	Annual Fee <i>(incl. GST)</i>	Total
Affiliate (AFSAA)	\$275.00	\$275.00

## 7. PAYMENT\* DETAILS

- Cheque enclosed for \$ \_\_\_\_\_ (made payable to Stockbrokers Association of Australia)
- Mastercard       Visa Card       American Express       Diners
- Card Number: \_\_\_\_\_ / \_\_\_\_\_      Expiry Date: \_\_\_\_ / \_\_\_\_      Amex ID Code: \_\_\_\_\_
- Cardholders Name: \_\_\_\_\_      Total: \$ \_\_\_\_\_
- Cardholder's Signature: \_\_\_\_\_
- Please forward an invoice to my employer for the amount of \$ \_\_\_\_\_

*\* Merchant fees apply to credit card payments. Amex 3.1%, Visa 1.5%, Mastercard 1.5% and Diners 4%. Note: Payment details must be supplied at time of application. A tax receipt will be issued when application is approved. Membership payments are not prorated.*

## 8. CONSENT TO USE AND DISCLOSURE OF PERSONAL INFORMATION

I hereby acknowledge and agree that my name and details and information about my organisation and employer supplied to Stockbrokers Association as part of my membership application and continuing membership of Stockbrokers Association may be used and disclosed by Stockbrokers Association in the following communications: a) The Stockbrokers Association Website b) Any editorial or other publications including Stockbrokers Association newsletters and promotional material. I further consent that Stockbrokers Association may, in order to assist it in the administration of its services, disclose my personal information to my employer organisation, including but not limited to information regarding the status of any outstanding membership fees.

Signed by the applicant \_\_\_\_\_

Name \_\_\_\_\_ Date \_\_\_\_\_

*Please note that under the Constitution, the Stockbrokers Association Board has the sole discretion to determine whether or not to approve or reject any application for membership and to determine the status given to a member. The Board also has the sole discretion to determine whether to terminate membership or to change the status of a member under the terms of the Constitution.*

### All enquiries & applications should be directed to:

Stockbrokers Association of Australia (ACN 089 767 706)  
PO Box R1461, Royal Exchange NSW 1225  
Telephone: (02) 8080 3200  
Facsimile: (02) 8080 3299  
Email: [membership@stockbrokers.org.au](mailto:membership@stockbrokers.org.au)  
Website: [www.stockbrokers.org.au](http://www.stockbrokers.org.au)

## Good Fame & Character Declaration (ATTACHMENT A)

To be an Affiliate Member of Stockbrokers Association of Australia you must demonstrate you are of good fame and character. You can achieve this by completing a Good Fame & Character Statement (below).

Please be aware that the Stockbrokers Association of Australia reserves the right to request further personal information if deemed necessary. Please note that the Stockbrokers Association of Australia respects your privacy and has a policy according to the Privacy Act 1988.

### Good Fame & Character Statement

I \_\_\_\_\_, (full name of applicant) 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 to any ASIC banning order, disqualification, or enforceable undertaking
- determined to not 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

### Declaration

I \_\_\_\_\_ (full name of applicant) certify that the information provided in this statement and all attachments is true and correct.

Signature \_\_\_\_\_ Date \_\_\_\_\_

### Witness

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

## Membership Knowledge & Skills Requirements (ATTACHMENT B)

The following requirements are **required** for Affiliate membership of Stockbrokers Association:

- a current CV
- a copy of your/your employer's/your principal's AFSL and Proof of Authorised Representative Status (if applicable)
- copies of degree certificates or transcripts or relevant industry qualifications (Attachments must be original or certified copies of: Academic Record OR Certificate of Attainment OR Statutory Declaration)

Please call the Stockbrokers Association on 02 8080 3200 or mail us at [membership@stockbrokers.org.au](mailto:membership@stockbrokers.org.au) for further clarification. Please note that the Stockbrokers Association reserves the right to request further personal information if deemed necessary. Membership approval is at the discretion of the Stockbrokers Association Board and Profession Committee

### Requirements

Please tick as applicable and provide evidence:

Tick	The applicant:	Please initial	Evidence attached*
	1(a) Holds a university degree in a discipline approved by the Stockbrokers Association of Australia Profession Committee; and has also:		
	1(b) Has successfully completed an Stockbrokers Association of Australia approved industry short course (including the Stockbrokers Association of Australia Professional Program and/or the Stockbrokers Association of Australia Accreditation Program)		
	2 Has successfully completed an individual assessment by an authorized assessor at the equivalent of full diploma level relevant to the particular industry (e.g. Diploma of Financial Markets, Diploma of Financial Services, Diploma of Financial Planning);		
	3 Has a qualification which is: <ul style="list-style-type: none"> <li><input type="checkbox"/> Specifically relevant to the particular industry and/or product;</li> <li><input type="checkbox"/> At least the equivalent of a minimum of a full diploma; and,</li> <li><input type="checkbox"/> Recognised under the Australian Qualifications Framework (e.g. RTO diploma or degree) or by a university or other institution of higher education. (This includes but is not limited to, existing approved qualifications, such as diploma courses, listed on the ASIC Training Register)</li> </ul>		
	4 Has demonstrated to the Stockbrokers Association of Australia Profession Committee through written or verbal submission, that they have the required knowledge, application and skills by reference to the stockbroker competencies (e.g. Stockbrokers Association of Australia Professional Program and/or the Stockbrokers Association of Australia Accreditation Program)		

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