

February, March & April 2010

## SAA ACCREDITATION & TRAINING CALENDAR

### PROFESSIONAL DEVELOPMENT WORKSHOPS

#### RE REFRESHER WORKSHOP – 4CPD (COMPLIANCE)

This workshop provides a refresher on the ASX requirements applicable to REs and reviews some of the main topics in the ASX Responsible Executive Exam. Intended as a refresher course for existing REs who have already passed the Exam, this workshop could also be of interest to potential REs. Topics include ASX RE Management & Supervision Requirements (& ASIC RM comparisons); ASX Capital Adequacy, Records, Trust; Dealing & Client relations rules; ASX Disciplinary Processes; Corporations Act requirements.

CITY	DATE	TIME
Syd	Wed 3 Feb	9:00am – 1:00pm
Melb	Thurs 4 Mar	9:30am – 1:30pm

#### RE EXAM PREPARATION COURSE – 10CPD (COMPLIANCE)

This 2 x 3-hour intensive workshop (conducted over 2 days) covers the ASX/ACH RE exam syllabus in detail, ensuring that candidates are well prepared for the exam and know what to expect on the day. The 12 ASX topics are divided into 7 mini workshops.

CITY	DATE	TIME
Melb	Tues 9 & Wed 10 Feb	9:30am – 12:30pm
Syd	Wed 24 & Thurs 25 Mar	9:00am – 12:00pm

#### RE EXAM PREPARATION 'SHORT COURSE' – 4CPD (COMPLIANCE)

This 4-hour intensive workshop is a condensed version of the SAA 2-day RE Exam Preparation Workshop. It covers the ACH/ASX RE exam syllabus in detail, with 7 subject areas and 2 assessments during class time.

CITY	DATE	TIME
Syd	Tues 2 Feb	9:00am – 1:00pm
Melb	Wed 14 Apr	9:30am – 1:30pm

#### MARKET MANIPULATION & PROHIBITED CONDUCT WORKSHOP – 4CPD (COMPLIANCE)

This half-day workshop will cover an in-depth examination of what constitutes market manipulation and other prohibited market conduct. The workshop will involve a mix of presentation and scenario-based discussion. It is designed to suit the needs of market professionals, both front and back office, including: Sales staff/client representatives; Proprietary Traders; DTRs; Investment banking; Settlement staff; Compliance & legal.

CITY	DATE	TIME
Syd	Wed 17 Feb	9:00am – 12:00pm
Melb	Tues 13 Apr	1:30pm – 4:30pm

#### EFFECTIVE CLIENT COMMUNICATION – 1.5CPD

The Effective Client Communication seminar is designed for senior executives, directors or senior team members who communicate with clients on a regular basis. This highly interactive seminar focuses on proven techniques to lift your impact whether communicating by telephone, email and voicemail. By the end of the seminar, attendees will be able to: prepare and deliver a structured, compelling telephone call; leave a focused, concise voicemail message; and structure and write an effective email which gets opened.

CITY	DATE	TIME
Syd	Wed 17 Mar	5:00pm – 7:00pm

#### SURVEILLANCE & MONITORING WORKSHOP – 1.5 CPD (COMPLIANCE)

The recent shift in the regulatory landscape, and the issues exposed during the global financial crisis, demonstrate the importance of an internal surveillance and monitoring program in managing risk in a broking firm and raising compliance awareness within the firm. This workshop will provide you with an overview of best practice and give you ideas on how to tailor a program to suit the particular characteristic of your firm. Whether you are considering purchasing an off the shelf surveillance system, or designing your own, the workshop will help you make informed decisions about the direction you may wish to take.

CITY	DATE	TIME
Syd	Wed 31 Mar	12:30pm – 2:00pm

**Stockbrokers Association of Australia** ABN 91 089 767 706

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<b>INTRODUCTORY SERIES WORKSHOPS</b>			
<b>INTRODUCTION TO DERIVATIVES – 4CPD</b>	<b>CITY</b>	<b>DATE</b>	<b>TIME</b>
This half-day workshop is ideal preparation for the SAA Derivatives Accreditation (and for ASX ADA1 exam candidates).	Syd	Thurs 11 Feb	9:00am – 1:30pm
	Melb	Thurs 11 Mar	9:00am – 1:30pm
	Bris	Wed 17 Mar	9:00am – 1:30pm
<b>INTRODUCTION TO STOCKBROKING – 2.5CPD</b>	<b>CITY</b>	<b>DATE</b>	<b>TIME</b>
Ideal for those returning to, and for newcomers to the industry, back office, auxiliary and support personnel, this workshop covers the operation of financial markets, financial products, taxation, broking operations, regulation and an explanation of common acronyms & jargon.	Syd	Tues 9 Feb	9:00am – 12:00pm
	Bris	Wed 24 Feb	9:00am – 12:00pm
	Melb	Fri 12 Mar	9:00am – 12:00pm
	Syd	Wed 21 Apr	9:30am – 12:30pm
<b>INTRODUCTION TO OPTIONS – 2CPD</b>	<b>CITY</b>	<b>DATE</b>	<b>TIME</b>
This 2-hour workshop covers options pricing, basic strategies and the mechanics of trading equity options on the ASX. This workshop is suitable for industry participants, including client advisers and back office staff, who have no previous options experience and who wish to acquire some understanding of options trading.	Melb	Thurs 11 Feb	9:00am – 11:00am
	Syd	Tues 2 Mar	9:00am – 11:00am
	Bris	Tues 20 Apr	9:00am – 11:00am
	Melb	Wed 28 Apr	9:00am – 11:00am
<b>INTRODUCTION TO WARRANTS – 2CPD</b>	<b>CITY</b>	<b>DATE</b>	<b>TIME</b>
This 2-hour workshop covers the main types of warrants traded on the ASX, with particular focus on equity trading warrants and installments. Basic warrant pricing will be discussed and the role of the warrant issuer will be explained. Ideal for those who wish to acquire some basic knowledge about the Australian warrants market.	Syd	Tues 30 Mar	9:00am – 11:00am
	Melb	Thurs 22 Apr	9:00am – 11:00am
<b>INTRODUCTION TO CONTRACTS FOR DIFFERENCE (CFD) – 3CPD</b>	<b>CITY</b>	<b>DATE</b>	<b>TIME</b>
This 3-hour workshop focuses on the class of derivatives known as Contracts for Difference (CFDs). CFDs are a relatively recent addition to the available range of derivative products. In Australia, they are traded both directly with CFD providers and, since late 2007, on the ASX. While there is currently no regulatory requirement to hold specific accreditation to advise on CFDs, a sound knowledge of the different types of CFDs, their uses, and their risks and potential rewards will be valuable for advisers.	Melb	Tues 2 Mar	9:00am – 12:00pm
	Syd	Wed 10 Mar	9:00am – 12:00pm

### FOR FURTHER INFORMATION

Contact the Stockbrokers Association of Australia (SAA) on +612 8080 3200 or [education@stockbrokers.org.au](mailto:education@stockbrokers.org.au).

### TO REGISTER

Please visit [www.stockbrokers.org.au](http://www.stockbrokers.org.au) to register.

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