

## ACCREDITATION & TRAINING CALENDAR

### July, August & September 2010

		CITY	DATE	TIME
RE SERIES WORKSHOPS	<b>RE REFRESHER WORKSHOP: 4CPD (COMPLIANCE)</b> 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.	PERTH SYD MELB	Mon 26 July Mon 16 Aug Tue 7 Sept	1pm – 5pm 9am – 1pm 9:30am – 1:30pm
	<b>RE EXAM PREPARATION COURSE: 10CPD (COMPLIANCE)</b> 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.	SYD	20 & 21 July	9am – 12pm
	<b>RE EXAM PREPARATION 'SHORT COURSE': 4CPD (COMPLIANCE)</b> This 4-hour intensive workshop is a condensed version of the Stockbrokers Association 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.	PERTH MELB SYD	Tue 27 July Wed 11 Aug Tue 17 Aug	9am – 1pm 9:30am – 1:30pm 9am – 1pm
INTRODUCTORY SERIES WORKSHOPS	<b>INTRODUCTION TO DERIVATIVES: 4CPD</b> This half-day workshop is ideal preparation for the Professional Stockbrokers Program Derivatives Accreditation (and for ASX ADA1 exam candidates).	SYD MELB BRIS	Thurs 5 Aug Wed 25 Aug Wed 8 Sept	9am – 1:30pm 9am – 1:30pm 10am – 2:30pm
	<b>INTRODUCTION TO STOCKBROKING: 2.5CPD</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.	PERTH SYD BRIS MELB	Tue 27 July Tue 27 July Thurs 12 Aug Tue 24 Aug	2pm – 5pm 9:30am – 12:30pm 9am – 12pm 9:30am – 12:30pm
	<b>INTRODUCTION TO OPTIONS: 2CPD</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 SYD	Thurs 22 July Thurs 2 Sept	10am – 12pm 9am – 11am
	<b>INTRODUCTION TO WARRANTS: 2CPD</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.	MELB SYD	Wed 4 Aug Wed 22 Sept	9:30am – 11:30am 9am – 11am
	<b>INTRODUCTION TO CONTRACTS FOR DIFFERENCE (CFD): 3CPD</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 SYD	Thurs 2 Sept Wed 15 Sept	9am – 12pm 9am – 12pm

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PROFESSIONAL DEVELOPMENT WORKSHOPS	<b>CORE 1 PREPARATORY WORKSHOP: 3CPD (COMPLIANCE)</b> Essential for candidates undertaking the Professional Stockbrokers Program Core 1 Assignment and Exam. This 3.5 hour course workshop all topic areas in the Professional Stockbrokers Program Core 1 – Securities & Managed Investment Accreditation.	PERTH SYD MELB	Mon 26 July Wed 25 Aug Thurs 9 Sept	9:30am – 12pm 9:30am – 1pm 9:30am – 1:00pm
	<b>MARKET MANIPULATION &amp; PROHIBITED CONDUCT: 4CPD (COMPLIANCE)</b> 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.	PERTH SYD MELB	Tues 6 July Thurs 8 July Tues 31 Aug	2:30pm – 5:30pm 9am – 12pm 1:30pm – 4:30pm
	<b>INSIDER TRADING WORKSHOP: 4CPD (COMPLIANCE)</b> This Workshop provides a thorough analysis of the subject of Insider Trading and related issues in a stockbroking and investment banking context. The workshop involves a mix of presentation, case studies and scenario-based discussion. Topics discussed include the elements of insider trading; statutory defences; insider trading and continuous disclosure; front running; dealing with rumours; management of confidential information; how to protect yourself, including Chinese walls, internal processes; and consequences of insider trading breaches. The Workshop is designed for sales staff/client representatives; proprietary traders; research analysts; investment banking; compliance and legal; regulatory staff.	PERTH MELB SYD ADEL	Mon 5 July Tues 13 July Thurs 22 July Thurs 19 Aug	2:30pm – 5:30pm 1:30pm – 4:30pm 9am – 12pm 9am – 12pm