

MEMBERSHIP APPLICATION – PRACTITIONER MEMBER

* In accordance with Section 11, SAA 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. MEMBERSHIP REQUIREMENTS

To be eligible for Master, Member or Associate membership, applicants need to **be employed by a market participant or by a Principal member of the SAA**. If you are **not employed by a licensed market participant**, please refer to our website for the Affiliate Individual membership form. Please initial the membership category A, B or C you are applying for and supply evidence as required.

Membership type	Please initial	Evidence attached
All Members (<i>please initial all 3 bullet points</i>) i. I meet the SAA Profession Committee guidelines for good fame and character (complete Attachment A- Pg 4); and ii. I meet the SAA Profession Committee guidelines for knowledge and skills (complete Attachment B attached- Pg 6); and iii. I will undertake appropriate annual Continuing Professional Development as prescribed by the SAA Profession Committee.		
A. 'Associate – Stockbroking' i. I have employment experience in an advising, operations or management capacity within the		

Membership type	Please initial	Evidence attached
financial services industry; and		
B. 'Member – Stockbroking' i. I have employment experience between 1- 3 years in an advising, operations or management capacity within the financial services industry; and,		
C. 'Master – Stockbroking' i. I am currently a Responsible Executive (or was an Affiliate of the Australian Stock Exchange [ASX]) ... OR... ii. I have at least 7 years experience in an advising, operations or management capacity with either one or more participants of a licensed market, or with a licensed market, or with the SAA		

3. APPLICANT DECLARATION

Please ensure that the following declaration is signed and completed. Once completed the form should then be forwarded to SAA.

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 SAA Constitution, Rules and Code of Ethics (*as amended from time to time*).

I agree to nominate the email address (overleaf) for SAA 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 _____

4. MEMBERSHIP FEES

Membership Type	Annual Membership Fee (incl. GST)	Professional Title	Postnominal
Honorary Life Fellow		Not Applicable	
Master	\$412.50	Master – Stockbroking	MSAA
Member	\$275.00	Member – Stockbroking	MESAA
Associate	\$275.00	Associate – Stockbroking	ASAA

5. PAYMENT DETAILS

Please charge the following credit card: Amex Visa Mastercard Diners

Name on card: _____

Signature of cardholder: _____

Card Number _____ Expiry _____ Amex ID Code _____

** 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.*

6. CONSENT TO USE AND DISCLOSURE OF PERSONAL INFORMATION

I hereby acknowledge and agree that my name and organisation information supplied to SAA as part of my membership application and continuing membership of SAA may be used and disclosed by SAA in the following communications: a) The SAA Website b) Any editorial or other publications including SAA newsletters and promotional material. I further consent that SAA 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 _____

The status given to this application is at the discretion of the Stockbrokers Association Board and Stockbrokers Association Profession Committee.

All enquiries & applications should be directed to:

Stockbrokers Association of Australia (ACN 089 767 706)
PO Box R14,61, Royal Exchange NSW 1225
Telephone: (02) 8080 3200
Facsimile: (02) 8080 3299
Email: membership@stockbrokers.org.au
Website: www.stockbrokers.org.au

SAA Good Fame & Character Declaration (ATTACHMENT A)

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

Good Fame & Character Statement

Please respond to all of the following questions. If you answer yes to any of the following questions, please provide a separate attachment that includes precise details:

WITHIN THE LAST TEN YEARS WITHIN AUSTRALIA OR OVERSEAS:	<i>Yes or No</i>	<i>Evidence attached</i>
Have you 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?		
Have you been suspended from membership, or disciplined, by any securities, stock, futures, commodity, or other exchange?		
Have you been refused membership by any securities, stock, futures, commodity, or other exchange?		
Have you been refused membership of, or disciplined by, any professional body?		
Have you been 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?		
Have you been convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws)?		
Have you ever been the subject to any ASIC banning order, disqualification, or enforceable undertaking?		
Have you ever been determined to not be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services?		
Have you ever been engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration revoked or suspended?		
Have you ever been found to have hindered, obstructed or misled, or was not candid or truthful with, a regulatory agency relating to financial services		
Have you ever been 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?		
Are you, or have you ever been, declared bankrupt?		

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

Declaration

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

Signed _____ Date _____

Witness

Name _____

Address _____

Signature _____ Date _____

SAA Membership Knowledge & Skills Requirements (ATTACHMENT B)

The following requirements are **required** for membership of SAA:

- a) Master
- b) Member
- c) Associate

If you are **employed by a market participant**, please note that you are required to provide the following documents: a current CV and copies of either your degree certificate or transcripts or suitable industry qualifications.

Please call the SAA on 02 8080 3200 for further clarification or mail us at membership@stockbrokers.org.au. Please note that the SAA reserves the right to request further personal information if deemed necessary.

Requirements

Please choose one of the following:

Tick	The applicant:	Please initial	Evidence attached*
	1.a. Holds a university degree in a discipline approved by the SAA Profession Committee; and has also: 1.b. Has successfully completed an SAA approved industry short course (including the SAA Professional Program and/or the SAA 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"> <input type="checkbox"/> Specifically relevant to the particular industry and/or product; <input type="checkbox"/> At least the equivalent of a minimum of a full diploma; and, <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) 		
	4. Has demonstrated to the SAA Profession Committee through written or verbal submission, that they have the required knowledge, application and skills by reference to the stockbroker competencies (e.g. SAA Professional Program and/or the SAA Accreditation Program)		

* Attachments must be certified copies of:

1. Academic Record OR
2. Certificate of Attainment OR
3. Statutory Declaration

Use of the Term 'Stockbroker'

Do you wish to refer to yourself using the term 'stockbroker' or 'sharebroker'? (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)*

If YES, please ensure that your employer completes the following declaration:

EMPLOYER DECLARATION

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

In accordance with Corporations Act s923B(1)(c), we hereby authorise *(applicant full name)* to use the term 'stockbroker' or 'sharebroker', or any word or expression (whether or not in English) 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