

MEMBERSHIP APPLICATION – AFFILIATE 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. DETAILS OF APPLICANT'S FIRM/EMPLOYER (if applicable)

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

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)*:

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 authorize 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 _____

5. 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

6. PAYMENT DETAILS

Cheque enclosed for \$ _____ *(payable to Stockbrokers Association)*

Please forward an invoice to my employer

Please charge the following credit card: Amex Visa Mastercard Diners

Name on card: _____ Signature of cardholder:

Card No _____ Expiry _____ Amex ID Code _____

** merchant fees now apply to credit card payments. Membership fees are not pro-rated.*

7. 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
Website: www.stockbrokers.org.au

SAA Good Fame & Character Declaration (ATTACHMENT A)

To be an Affiliate 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 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 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:

<i>Tick</i>	<i>The applicant:</i>	<i>Please initial</i>	<i>Evidence attached*</i>
	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: <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)		

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