

ACCREDITATION & TRAINING CALENDAR: February, March & April 2012

RESPONSIBLE EXECUTIVE (RE) SERIES WORKSHOPS	DETAILS
<p>RE REFRESHER WORKSHOP: This workshop provides a refresher on the requirements applicable to REs and reviews some of the main topics in The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive Examination. Intended as a refresher course for existing REs who have already passed the Exam(s), this workshop could also be of interest to potential REs. Topics include RE Management & Supervision Requirements (& ASIC RM comparisons); Capital Adequacy, Records, Trust; Dealing & Client relations rules; Disciplinary Processes; Corporations Act requirements.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Wed 22 Feb (9:30am – 1:30pm) SYD: Tues 13 Mar (9am – 1pm)</p>
<p>RE EXAM PREPARATION COURSE: This 2 x 3-hour intensive workshop (conducted over 2 days) covers The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive exam syllabuses in detail, ensuring that candidates are well prepared for the exam(s) and know what to expect on the day, with sample questions and a practice exam.</p> <p style="text-align: right;">CPD HOURS: 10 Compliance</p>	<p>SYD: 13 & 14 Feb (9am – 12pm) MELB: 20 & 21 Mar (9:30am – 12:30pm)</p>
<p>RE EXAM PREPARATION 'SHORT COURSE': This 4-hour intensive workshop is a condensed version of the Stockbrokers Association 2-day RE Exam Preparation Workshop. It covers The ASIC Market Integrity Rules (ASX Markets) 2010 and/or The ASX Clear Operating Rules (Clearing & Settlement) Responsible Executive exam syllabuses in detail, with 7 subject areas and 2 assessments during class time.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Tues 7 Feb (9:30am – 1:30pm) SYD: Wed 14 Mar (9am – 1pm) BRIS: Tues 27 Mar (9am – 1pm) PERTH: Mon 30 Apr (9am – 1pm)</p>
PROFESSIONAL DEVELOPMENT WORKSHOPS	DETAILS
<p>MARKET MANIPULATION & OTHER PROHIBITED CONDUCT: This workshop covers an in-depth examination of what constitutes market manipulation and other prohibited conduct. Involving a mix of presentation and scenario-based discussion, it is designed to suit market professionals, both front and back office, including: Sales staff/client representatives; Proprietary Traders; DTRs; Investment banking; Settlement staff; and Compliance & legal.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>SYD: Tues 7 Feb (9am – 12pm) MELB: Tues 6 Mar (1:30pm – 4:30pm) BRIS: Thurs 15 Mar (1:30pm – 4:30pm) SYD: Tues 17 Apr (9am – 12pm)</p>
<p>INSIDER TRADING WORKSHOP: This workshop provides a thorough analysis of Insider Trading. Topics include: 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; and regulatory staff.</p> <p style="text-align: right;">CPD HOURS: 4 Compliance</p>	<p>MELB: Thurs 2 Feb (1:30pm – 4:30pm) SYD: Thurs 1 Mar (9am – 12pm)</p>
<p>INVESTING WITH OPTIONS IN SMSFs: This 2-hour workshop focuses on the use of options within a Self Managed Super Fund (SMSF). Participants will learn how options can be incorporated as part a SMSF share portfolio within the context of the Superannuation Industry Supervision Act. In addition to understanding the basic concepts of options, the do's and don'ts of strategies within a SMSF are expounded upon. This workshop does not assume prior knowledge in options and is a pre-cursor to learning more options strategies offered by the Advanced Options Course. This course is suitable for new options Advisers and Advisers, trustees and administrators of SMSFs.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>SYD: Tues 28 Feb (9am – 11am)</p>
<p>ADVANCED OPTIONS STRATEGIES: The 'Advanced Options Strategies' course helps you discover strategies that work according to your views of the stockmarket and the underlying shares. You will not only uncover strategies, but also the risk management plan and defense strategies for your trading plan. Some basic knowledge of options is preferred. This course is suitable for options compliance personnel and ADA Levels 1 and 2 options Adviser.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>SYD: Thurs 22 Mar (9am – 11am)</p>
<p>EXCHANGE TRADED FUNDS: This seminar is aimed at making a broker's life easier and informing brokers on how they can save time and money in their business by using ETFs. Key topics covered are: ETFs – the mechanics and how they work; Benefits of ETFs and how you can use ETFs in your business; and solutions to help save you time and money.</p> <p style="text-align: right;">CPD HOURS: 1</p>	<p>MELB: Wed 29 Feb (12:30pm – 1:30pm) SYD: Wed 7 Mar (12:30pm – 1:30pm)</p>
<p>EFFECTIVE CLIENT COMMUNICATION: This workshop is designed for senior executives, directors, senior team members or any other staff members who communicate with clients on a regular basis. This highly interactive workshop focuses on proven techniques to lift your impact whether communicating by telephone, email and voicemail and is an absolute must for anyone looking to further strengthen their client relations and converse externally in a more successful manner. By the end of the workshop, 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.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>SYD: Mon 26 Mar (9am – 11am)</p>

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INTRODUCTORY SERIES WORKSHOPS	DETAILS
<p>INTRODUCTION TO DERIVATIVES: This half-day workshop is ideal preparation for the Professional Stockbrokers Program Derivatives Accreditation (and for ASX ADA1 exam candidates).</p> <p style="text-align: right;">CPD HOURS: 4</p>	<p>SYD: Wed 22 Feb (9am – 1:30pm) MELB: Wed 7 Mar (9:30am – 2pm)</p>
<p>INTRODUCTION TO STOCKBROKING: 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.</p> <p style="text-align: right;">CPD HOURS: 2.5</p>	<p>SYD: Thurs 9 Feb (9am – 12pm) MELB: Thurs 1 Mar (9:30am – 12:30pm) PERTH: Mon 30 Apr (2pm – 5pm)</p>
<p>INTRODUCTION TO OPTIONS: This workshop covers options pricing, basic strategies and the mechanics of trading equity options on the ASX. 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.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>MELB: Tues 21 Feb (9:30am – 11:30am) SYD: Thurs 8 Mar (9am – 11am) BRIS: Tues 27 Mar (2pm – 4pm)</p>
<p>INTRODUCTION TO WARRANTS: This workshop covers the main types of warrants traded on the ASX, with particular focus on equity trading warrants and instalments. Basic warrant pricing is discussed and the role of the warrant issuer is explained. Ideal for those who wish to acquire some basic knowledge about the Australian warrants market.</p> <p style="text-align: right;">CPD HOURS: 2</p>	<p>MELB: Wed 15 Feb (9:30am – 11:30am) SYD: Wed 18 Apr (9am – 11am)</p>
<p>INTRODUCTION TO CONTRACTS FOR DIFFERENCE: This workshop focuses on the class of derivatives known as Contracts for Difference (CFDs). In Australia, they are traded both directly with CFD providers and, since late 2007, on the ASX. This workshop covers the different types of CFDs, their uses, risks and potential rewards.</p> <p style="text-align: right;">CPD HOURS: 3</p>	<p>SYD: Wed 28 Mar (9am – 12pm) MELB: Tues 24 Apr (9:30am – 12:30pm)</p>
PROFESSIONAL STOCKBROKERS PROGRAM - PREPARATORY WORKSHOPS	DETAILS
<p>CORE 1 (RG146) PREPARATORY WORKSHOP: Are you undertaking the Professional Stockbrokers Program Core 1 (RG146) Securities & Managed Investments Accreditation Assessment? Then this half-day workshop is ideal for you. Learn the syllabus in detail and key areas to focus on for your studies. Industry expert presenters and small class size for personal tuition. The Professional Stockbrokers Program Core 1 (RG146) Securities & Managed Investments Accreditation meets ASIC RG146 requirements in generic and specialist knowledge and skills in Securities and Managed Investments.</p> <p style="text-align: right;">CPD HOURS: 3 Compliance</p>	<p>MELB: Wed 18 Apr (9:30am – 1pm) SYD: Thurs 19 Apr (9:30am – 1pm)</p>