



DIRECTOR INFORMATION FORM

Stockbrokers and Financial Advisers Association Director Nominee Details

Name: _____

In its determination of an individual's capacity to be a director, the Nominations Committee will give preference to candidates who currently have senior management responsibilities within their organisation. The Committee will also consider other areas, including that nominees do not have any impediment that would immediately exclude them from directorship (ie as detailed in section 59 of the Stockbrokers And Financial Advisers Association Constitution).

Part A: Both Practitioner and Principal Member Director nominees must complete all of the following sections:

1 Current senior management responsibilities:

2.1 Current relevant directorships:

2.3 You must be a current and financial member of the Stockbrokers And Financial Advisers Association. Please indicate which year you were admitted as a practitioner member of the Association.

2.4 Total years experience (and current employment) in the stockbroking industry:

2.5 Detail your ability to effectively represent your nominated industry sector (ie Retail Broking, Institutional Broking, Practitioner Members):

2.6 Detail all relevant qualifications (e.g education, training, directors' course etc):

2.7 Are you or were you: an ASX Affiliate, an ASX Responsible Executive, Responsible Officer of a licensee, or similar (please detail):

2.8 I am committed to participating on the following Stockbrokers And Financial Advisers Association Board Committees:

- Audit Committee
- Institutional Broking Committee
- Management Committee
- Profession Committee
- Retail Broking Committee

2.9 Please detail your contribution to committees and working groups including years and committee/working group:

3.0 Other (including potential conflicts of interest):

Part B: Practitioner Member Director Nominations must complete all of the following sections (in addition to Part A above):

Please provide the following in the likelihood of a Practitioner Member Ballot:

- Tick
- Digital passport photograph. (please send to dtran@stockbrokers.org.au)
- I understand that the Ballot process requires a minimum of 5% of the Stockbrokers And Financial Advisers Association practitioner members to vote in favour of a candidate to be accepted by the Stockbrokers And Financial Advisers Association Board, and that balloting uses a first past the post mechanism.
- Evidence that I have been a Master Member (i.e MSAFAA) of Stockbrokers And Financial Advisers Association for a minimum of 4 years.
- Provide 150 words (maximum) below on your contribution to the Stockbrokers And Financial Advisers Association and Stockbrokers And Financial Advisers Association Board. Please note that this may be published to all members. (If there is insufficient room below, please attach in a word document).

Please complete this form and return by facsimile or via email dtran@stockbrokers.org.au to the Company Secretary c/o Diem Tran by **5:00pm (AEST) Friday 20th September 2019.**

The contents of this document is confidential and may not be disclosed to any party other than the members and employees of Stockbrokers And Financial Advisers Association Limited (ABN 91 089 767 706).