GOOD FAME & CHARACTER DECLARATION

I, _____ declare that within the last ten years, within Australia or Overseas, I have not 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

— suspended from membership, or disciplined, by any securities, stock, futures, commodity, or other exchange

— refused membership by any securities, stock, futures, commodity, or other exchange

— refused membership of, or disciplined by, any professional body

— 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

— convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws)

— the subject of any ASIC banning order, disqualification, or enforceable undertaking

— found not to be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services

— engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration revoked or suspended

— found to have hindered, obstructed or misled, or was not candid or truthful with, a regulatory agency relating to financial services

— 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

— declared bankrupt

Applicant Signature _____Date _____

Witness

Name_____

Address _____

Signature_____Date_____

If the applicant is not employed by a Principal Member firm, please complete the proposer section of the application form (page 8), which must be signed by a proposer and seconder. Proposers and seconders must be current financial Practitioner members of SIAA. A proposer should know enough about the person to determine if he/she is of good fame and character.