

SAFAA IN-HOUSE AND BESPOKE WORKSHOPS



**Stockbrokers and
Financial Advisers
Association**

**The Stockbrokers and
Financial Advisers
Association (SAFAA)
regularly consults
with organisations
regarding in-house
training needs.**

SAFAA-accredited CPD workshops provide online learning opportunities and are led and/or conducted by persons who are appropriate, and have sufficient standing, expertise, academic qualifications and/or practical experience. Our workshops are delivered by industry experts, sharing real-world knowledge and experience.

Options include:

- Online delivery of existing SAFAA workshops in-house for a group of people at one organisation.
- Online delivery of a tailored training solution, leveraging existing workshop material and tailoring it to your specific needs.
- Design, development and delivery of bespoke training, using our existing course material and experienced subject matter experts.

Our most popular workshops can be delivered online for a set fee and include up to 25 attendees, except 'A day in the life of a trade' which can take up to 50 attendees.

A day in the life of a trade

Length 2.25 hours

Fee for member firms \$2,750

Fee for non-member firms \$3,600

Market manipulation and other prohibited conduct

Length 2.25 hours

Fee for member firms \$2,750

Fee for Non-member firms \$3,600

Responsible Executive short course & Responsible Executive refresher

Length 3 hours each

Fee for member firms \$3,750

Fee for non-member firms \$4,850


Note: Fees quoted are ex gst. Includes online delivery and provision of course handouts provided by email.

We can also offer workshops on Insider trading, CFDs, Derivatives, Options, Warrants, Conduct Risk, Review and Remediation and Market manipulation. Inquiries in regard to face-to-face delivery are to be directed to SAFAA Education.

For more information contact

SAFAA Education

 education@stockbrokers.org.au

 02 8080 3200

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A day in the life of a trade

This workshop would greatly benefit any new or unfamiliar starters to the industry or markets. Participants will walk away with a solid understanding of client onboarding processes; the process of share and derivative trades from order placement through to execution to settlement; sponsorship/HINs; settlement processing; and registries and short sales reporting requirements. Participants will also learn about who regulates the industry and what they do, and the obligations of Australian Financial Services Licence holders.

FASEA CPD area

Technical competence 1 hour | Regulatory compliance and consumer protection 1 hour

Market manipulation and other prohibited conduct

This action-packed two-hour workshop will examine what constitutes market manipulation and other prohibited market conduct. It will involve a mix of presentation and scenario-based discussion. It is designed to suit the needs of financial market professionals from the front and back office and will benefit those new to the stockbroking industry who wish to gain an understanding of markets. The audience may include: Sales staff/client representatives, proprietary traders, DTRs, equities research analysts, investment banking, settlement staff, compliance and legal.

FASEA CPD area

Regulatory compliance and consumer protection 1 hour | Professionalism and ethics 1 hour

Responsible Executive short course

Although ASIC has removed the requirement for market participants to appoint Responsible Executives (REs), significant obligations still remain under the general licensing, management and supervision requirements. This half-day workshop provides important training for executives in the main markets, clearing and settlement rules. Participants will gain a solid understanding of management and supervision requirements; capital adequacy; records and trust; dealing and client relations rules; disciplinary processes and Corporations Act requirements.

FASEA CPD area


Technical competence 1 hours | Regulatory compliance and consumer protection 2 hours

Note: For the purposes of Tax Practitioners Board CPE, each one hour of SAFAA CPD equates to one hour of CPE.

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