

# Looking for accreditation and training with the stockbroking and investment advice industry?

## SAFAA'S RG146 Courses

The Stockbrokers and Financial Advisers Association's (SAFAA's) RG146 accredited courses are uniquely designed for those in the securities and derivatives industry. They set the standard that employers, regulators, and the investing public expect from individuals who are employed within this industry, offering training for:

- ✓ those employed in the securities and derivatives industry providing financial product advice in the course of their work (general advice) or who need an understanding of the industry in which they work
- ✓ customer service representatives providing financial product advice in the course of their work
- ✓ Responsible Managers
- ✓ experienced practitioners for CPD purposes.

## Courses

- Core 1: Securities and Managed Investments
- Accredited Derivatives Adviser Level 1
- Accredited Derivatives Adviser Level 2
- Foreign Exchange
- Margin Lending
- Superannuation

SAFAA also offers courses which meet the requirements for Market Participants in relation to DTR training and maintaining high standards of REs in relation to key clearing and settlement requirements.

## DTR Accreditation

Under the ASIC Market Integrity Rules (Securities Markets) 2017 Rule 2.5.2 trading participants must have at least one Designated Trading Representative (DTR). Only DTRs may submit trading messages, unless an automated order processing system is used. DTRs must also comply with the Operating Rules and Procedures of the market whose trading platform they are submitting messages into. There are two National DTR Accreditations available.

- National DTR Cash Equities Accreditation (short name: DTR Cash Equities)
- National DTR Derivatives Accreditation (short name: DTR Derivatives)

## RE Exams

While the ASX requirements may have changed, SAFAA believe that all REs and Senior Executives should have – and maintain – a working knowledge of the key clearing and settlement requirements. The following three exams are available.

- Markets, Clearing and Settlement Examination
- Markets Examination
- Clearing & Settlement Examination

# Accreditation and training

	ENROLMENT FEES	ASSESSMENT DETAILS	SUGGESTED STUDY HOURS PER COURSE
<b>Core 1</b>	\$790 Ind. Member \$790 Org. Member \$990 Non-Member	1 x Assignment 1 x Online Exam	Allow up to 150 hours
<b>Accredited Derivatives Adviser Level 1 (ADA 1)</b>	\$370 Ind. Member \$380 Org. Member \$390 Non-Member	1 x Assignment 1 x Online Exam	Allow up to 150 hours
<b>Accredited Derivatives Adviser Level 2 (ADA 2)</b>	\$320 Ind. Member \$330 Org. Member \$340 Non-Member	1 x Online Exam	Allow up to 150 hours
<b>Foreign Exchange</b>	\$470 Ind. Member \$490 Org. Member \$520 Non-Member	1 x Online Exam	Allow up to 90 hours
<b>Margin Lending</b>	\$280 flat price	1 x Online Exam	Allow up to 90 hours
<b>Superannuation</b>	\$470 Ind. Member \$490 Org. Member \$520 Non-Member	1 x Assignment 1 x Online Exam	Allow up to 150 hours
<b>DTR Cash Equities</b>	\$690 flat price	1 x Online Exam 1 x Oral Exam	4 weeks on-the-job training with a Senior DTR
<b>DTR Derivatives</b>	\$690 flat price	1 x Online Exam 1 x Oral Exam	4 weeks on-the-job training with a Senior DTR
<b>Responsible Executive Markets Clearing and Settlement Exam</b>	\$250 flat price	1 x Online Exam	
<b>Responsible Executive Markets Exam</b>	\$125 flat price	1 x Online Exam	
<b>Responsible Executive Clearing and Settlement Exam</b>	\$125 flat price	1 x Online Exam	

Graduates of RG146 courses will receive both a RG146 Certificate of Completion and FASEA Continuing Professional Development (CPD) hours. Graduates of DTR and RE exams will receive a Certificate of Completion including FASEA CPD hours. Enrolments close at 3.00pm every Monday Sydney time.

For more information or to enrol



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[www.stockbrokers.org.au/education/accreditations](http://www.stockbrokers.org.au/education/accreditations)



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