PRINCIPAL MEMBERSHIP

with SIAA



Stockbrokers and Investment Advisers Association

Building prosperity for Australian investors

Why SIAA Principal Membership matters

About SIAA

The Stockbrokers and Investment Advisers Association (SIAA) is the peak body for Australia's stockbroking and investment advice profession. Through our member firms and practitioner network, we support more than 8,000 industry professionals.

We represent members on the policy, regulatory and market structure issues that affect their businesses, while supporting professional capability through education, events, committees and member resources.

SIAA members are qualified professionals and advisory firms providing securities, investment, execution, and equity capital raising services for retail, wholesale, and institutional investors.

708,000	full-service retail clients
130,000	wholesale clients
27,000	institutional clients
27,000	SMSFs









Be a part of shaping a dynamic, inclusive and future focussed industry.



Advocacy

A strong voice with government, regulators and market operators.



Education

Accreditation, CPD, webinars, workshops and the annual conference.

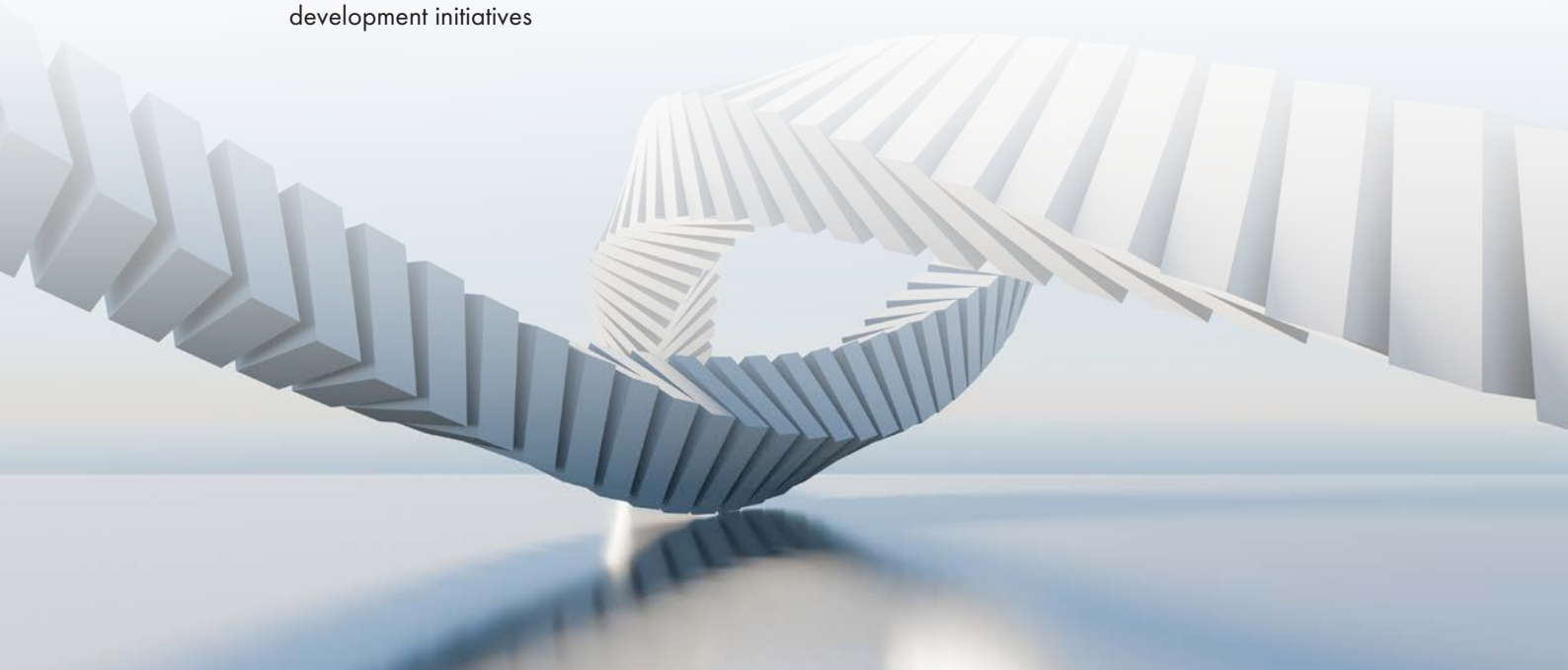


Connection

Committees, working groups, events and access to industry peers.

SIAA in action

- ✓ Engaging Treasury, ASIC, ASX, Cboe and other market stakeholders
- ✓ Representing members on CSLR, education standards, CHESS replacement, market integrity and regulatory reform
- ✓ Delivering CPD webinars and member updates
- ✓ Hosting the annual SIAA Conference
- ✓ Supporting the next generation through Young Professional membership and adviser development initiatives



Advocacy

SIAA represents the interests of members through public policy submissions, government and stakeholder meetings, and media engagement.

We regularly meet with government, regulators and industry leaders to advocate on key priorities, including:

- Reform of adviser education standards
- Appropriate wholesale investor thresholds
- ASX's CHESS replacement project
- Industry collaboration to combat fraud and scams
- The cost and sustainability of the Compensation Scheme of Last Resort
- Regulatory settings that support strong and accessible capital markets











Education

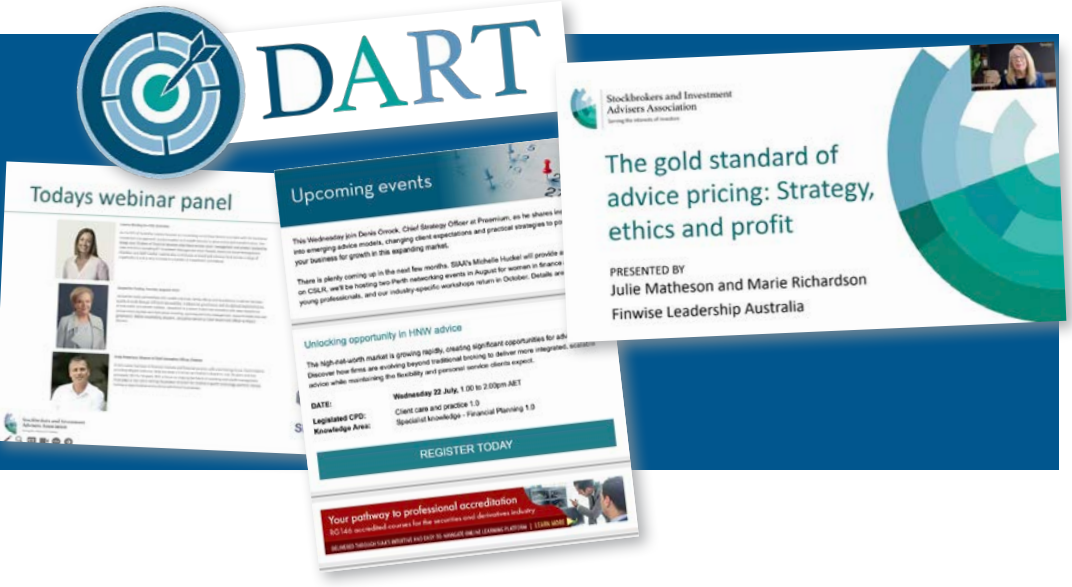
SIAA provides practical education and professional development to support people across all stages of their careers.

Our education offering includes:

- Securities & Managed Investments + Assignment
- Securities & Managed Investments
- Fundamentals of Securities
- Accredited Derivatives Adviser Level 1 (ADA1)
- Accredited Derivatives Adviser Level 2 (ADA2)
- Foreign Exchange
- Margin Lending
- Designated Trading Representative – Cash Equities
- Designated Trading Representative – Derivatives

Members also have access to regular professional development webinars, with approximately two sessions held each month.

Our Developing Adviser Resource Toolkit (DART) combines practical resources and AI-powered simulations for developing advisers to learn, practice and grow.











Connection

SIAA brings members together to share knowledge, discuss industry issues and build professional connections.

Members can participate in our specialist forums committees and working groups, as well as the Women's networking and Young Professional events.

Our annual conference brings together professionals from across the industry, creating valuable opportunities to build relationships, exchange ideas and strengthen professional networks.





These groups give members a practical way to share insight, raise issues and contribute to SIAA's policy and industry work.

COMMITTEES

Compliance
Discusses compliance and legal issues of importance for our members including ASX and Cboe market issues, ASIC Market Integrity Rules and ASIC consultations, Treasury consultations, CSLR, DBFO, Education standards, Share Sale Fraud, AFCA and AML.

Derivatives
Represents the broad spectrum of the derivatives market including ASX, ASIC, market makers and clearers. The committee receives updates from both ASX and ASIC and discuss issues important to the derivatives industry.

Profession
Supports the recognition of stockbroking and investment advisory as a profession by developing appropriate professional, ethical and education policies for adoption by the Board.

Investment Advisers
Advises SIAA on regulatory, policy and professional matters affecting stockbroking and investment advice, including professional standards, industry guidance, regulatory priorities and initiatives that strengthen investor protection and market integrity.

Ops and Tech
Discusses issues in operations and technology relevant to the industry and the impact of those changes on industry participants. It provides valuable feedback on issues including CHESS replacement and market upgrades.

Diversity Equity and Inclusion
Focuses on helping firms improve diversity, equity and inclusion across stockbroking, investment advice and wealth management, with an initial focus on gender balance and practical initiatives that support inclusive workplace cultures.

WORKING GROUPS

DTR
Designated Trading Representatives from across the industry meet to discuss regulatory issues, including Markets Disciplinary Panel fines, and DTR education.

Equity Capital Market
Provides feedback to consultations on capital markets issues. This group covers topics such as the ASIC Discussion paper on public and private markets and the proposed listing rule changes arising from the James Hardie matter.

Share Fraud
Chaired by the ASX, a key function of the working group is to enhance knowledge, information sharing and collaboration to help combat fraudulent share sale activity. SIAA provides secretariat support to this group.

Young Professional
Helps shape activities and initiatives for emerging professionals and provides a stronger voice for the next generation of the industry.

What Principal Members receive

- ✓ A voice in policy and regulatory discussions
- ✓ Direct insight into market and regulatory change
- ✓ Access to committees and working groups
- ✓ Member updates on key industry issues
- ✓ Discounted education, accreditation and events
- ✓ Complimentary member webinars for CPD
- ✓ Networking with firms, regulators and industry leaders
- ✓ Opportunities to contribute to industry positions and consultations
- ✓ All employees of a principal member receive member benefits.











Join leading firms across the profession





























































Cost of membership

Membership fees

Membership category	Total Australian capitalisation	Representatives *(as defined in S.910A, Corporations Act)*	Share of ASX Market $ Turnover (Annual %)	Membership Category	Annual Fee (incl GST)	Joining Fee (incl GST)	Total	Votes
Small	Up to $6 million	Up to 40	Up to 0.3%	Small	$10,632.10	$3,025	$13,657.10	15
Medium	$6 million to $40 million	40 to 150	0.3% to 2%	Medium	$21,266.38	$3,025	$24,291.38	30
Large	Greater than $40 million	Greater than 150	Greater than 2%	Large	$42,530.57	$3,025	$45,555.57	60

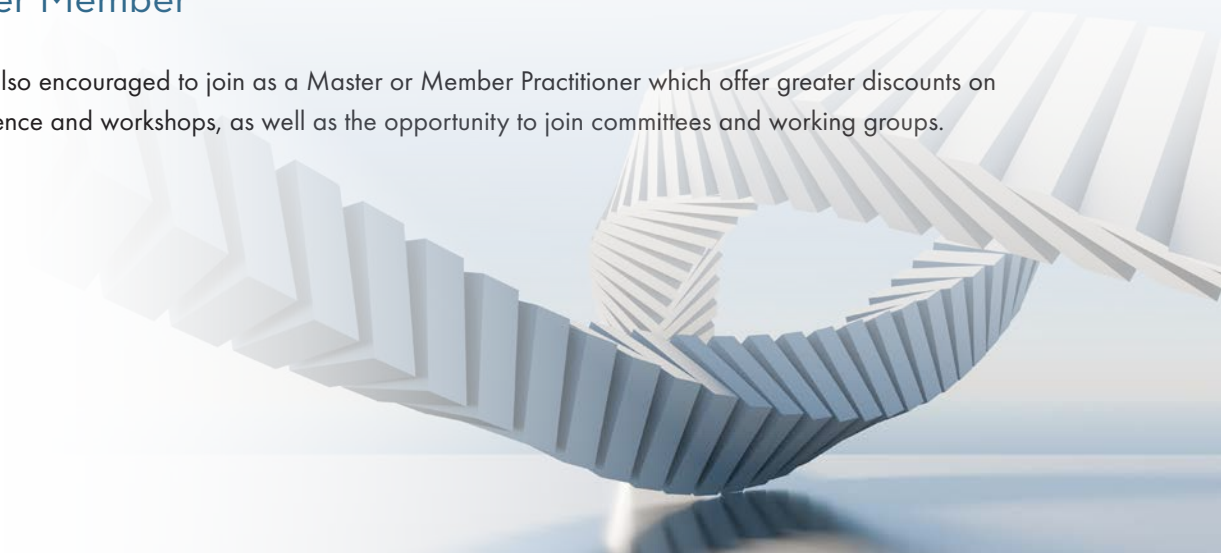
*Fees are for 12 months and are prorated depending on the date of joining. Fees increase annually on 1 October based on CPI. The applicable fee is based on the highest category selected across the criteria.

Young Professional Membership

Who it is for	Associates, Professional Year candidates, Provisional Advisers, newly qualified advisers, support staff, research staff and corporate advisory staff
Key benefits	One complimentary SIAA conference registration. Significant discounts on future conference registrations and workshops. Access to dedicated conference sessions. Opportunities to connect with peers through SIAA networking activities.
Annual fee incl GST	$110 per annum

Practitioner Member

Individuals are also encouraged to join as a Master or Member Practitioner which offer greater discounts on the SIAA conference and workshops, as well as the opportunity to join committees and working groups.



Ready to discuss Principal Membership?

Speak with SIAA about how Principal Membership can support your firm through advocacy, insight, education and industry connection.

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