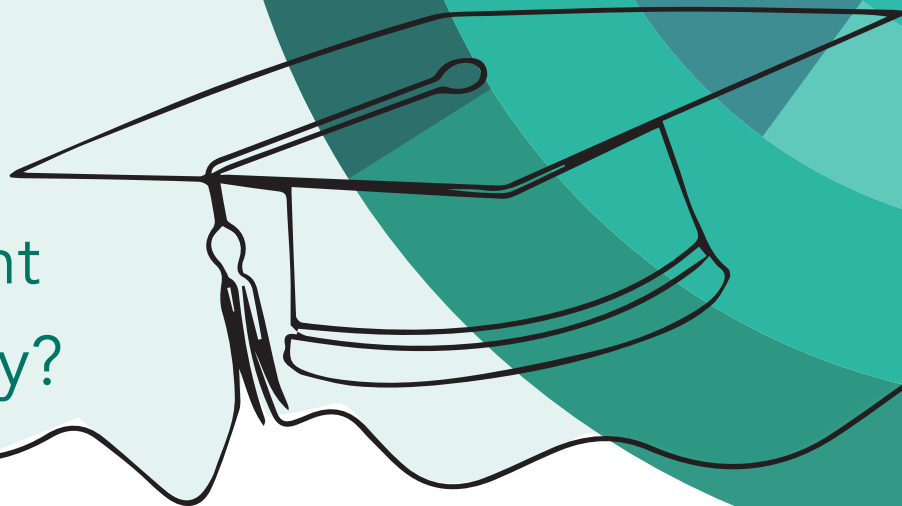


Looking for accreditation and training with the stockbroking and investment advice industry?



SIAA'S RG146 Courses

The Stockbrokers and Investment Advisers Association's (SIAA'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.

The courses offer training for:

- ✓ licensees and advisers who provide general advice in Derivatives, Securities, Managed Investments or Foreign Exchange
- ✓ advisers who are already listed on the Financial Advisers Register and wish to add an additional RG146 specialist knowledge area to their existing credentials
- ✓ licensees whose representatives provide advice to wholesale clients (Optional under RG146.35) and
- ✓ experienced practitioners seeking CPD opportunities.

Courses

- Core 1 – Securities and Managed Investments
- Securities and Managed Investments
- Fundamentals of Securities
- Accredited Derivatives Adviser Level 1
- Accredited Derivatives Adviser Level 2
- Foreign Exchange
- Margin Lending

SIAA also offers courses which meet the requirements for Market Participants in relation to DTR training and maintains the National DTR Register.



What do you need to know?

Core 1 Securities & Managed Investments and Securities and Management Investments courses both include an exam and focus on:

- asset classes and their use in investment portfolios
- investment manager styles and the use of alternative investment strategies and benchmarks
- the benefits and risks associated with the different securities and managed investment products
- the regulatory and taxation issues affecting the use of securities and managed investment products.

Core 1 extends this:

- by covering an introduction to basic techniques for analysing product performance and making investment and trading decisions in relation to product types, and
- it also includes an assignment covering the provision of financial advice so that you understand the difference between general and personal advice for retail investors.

For those only requiring training in securities, without the managed investment component, the Fundamentals of Securities stand-alone course covers the key areas.

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 into whose trading platform they are submitting messages. 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)

Accreditation and training

Stockbrokers and Investment Advisers Association



CORE 1 – SECURITIES AND MANAGED INVESTMENTS	SECURITIES AND MANAGED INVESTMENTS	FUNDAMENTALS OF SECURITIES
\$790 Ind. Member \$790 Org. Member \$990 Non-Member	\$590 Ind. Member \$590 Org. Member \$790 Non-Member	\$490 flat price
1 x Assignment 1 x Online Exam	1 x Online Exam	1 x Online Exam
Allow up to 150 hours [^]	Allow up to 120 hours [^]	Allow up to 80 hours [^]

ACCREDITED DERIVATIVES ADVISER LEVEL 1 (ADA 1)	ACCREDITED DERIVATIVES ADVISER LEVEL 2 (ADA 2)	FOREIGN EXCHANGE
\$370 Ind. Member \$380 Org. Member \$390 Non-Member	\$320 Ind. Member \$330 Org. Member \$340 Non-Member	\$470 Ind. Member \$490 Org. Member \$520 Non-Member
1 x Assignment 1 x Online exam	1 x Online exam	1 x Online exam
Allow up to 150 hours [^]	Allow up to 150 hours [^]	Allow up to 90 hours [^]


MARGIN LENDING	DTR CASH EQUITIES	DTR DERIVATIVES
\$370 Ind. Member \$370 Org. Member \$390 Non-Member	\$690 flat price	\$690 flat price
1 x Online Exam (open book) includes 1 resit	1 x Online exam 1 x Oral exam	1 x Online exam 1 x Oral exam
Allow up to 90 hours [^]	4 weeks on-the-job training with a Senior DTR [^]	4 weeks on-the-job training with a Senior DTR [^]

[^] Suggested study hours per course

Graduates will receive Professional Standards CPD hours as well as RG146 accreditation for the respective course content. DTR graduates may also apply for inclusion on the National DTR Register.

For more information or to enrol

 accreditation@stockbrokers.org.au

 02 8080 3200

www.stockbrokers.org.au/education/accreditations



Stockbrokers and Investment
Advisers Association

Serving the interests of investors