

**Use of the Term ‘Stockbroker’**  
*(Only applies to representatives of Market Participants)*

If you wish to refer to yourself as a ‘stockbroker’ or ‘sharebroker’, please ensure that your employer completes the following declaration.

The use of these terms is specifically prohibited by the Corporations Act 2001 unless authorised by ASIC in your employer’s AFSL, and by the employer to you).

YES / NO *(delete one)*

**Employer Declaration**

..... *(applicant full name)* is a Representative or  
Authorised Representative of..... *(AFSL Licensee full name)*,  
AFSL Number..... who has been authorised to use the term  
‘stockbroker’ or ‘sharebroker’ in the above Australian Financial Services License by ASIC.

In accordance with Corporations Act s923B(1)(c), we hereby authorize.....  
*(applicant full name)* to use the term ‘stockbroker’ or ‘sharebroker’, or any word or expression that is of like meaning.

For and on behalf of..... *(AFSL Licensee full name)*

Signature.....

Name .....

Capacity *(delete one)*

Director / Secretary / Responsible Executive / Responsible Officer / Compliance Officer

Date.....