



## Association of Securities & Derivatives Advisers of Australia

### MEMBERSHIP APPLICATION – ASSOCIATE MEMBER

#### 1. APPLICANT DETAILS

Title (*Mr, Mrs, Ms, Miss, Other*) \_\_\_\_\_ First Name(s) \_\_\_\_\_

Surname \_\_\_\_\_ Date of Birth \_\_\_\_\_

Home Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Financial Advisers Register Number if applicable \_\_\_\_\_

Position Title (*e.g. Private Client Adviser*) \_\_\_\_\_

Home Telephone ( ) \_\_\_\_\_ Mob \_\_\_\_\_

Business Telephone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_

Email \_\_\_\_\_

Personal Email\* \_\_\_\_\_

*\* Will be used only if we are unable to contact you on your business email address*

#### 2. DETAILS OF APPLICANT'S EMPLOYER, AFS LICENSEE FIRM OR CORPORATE AUTHORISED REPRESENTATIVE

Business Name \_\_\_\_\_

Business Office Address \_\_\_\_\_

\_\_\_\_\_ State \_\_\_\_\_ Postcode \_\_\_\_\_

Main Business Telephone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_

Mailing Address \_\_\_\_\_

State \_\_\_\_\_ Postcode \_\_\_\_\_ Website \_\_\_\_\_

AFS License Number \_\_\_\_\_ Date Applicant joined firm \_\_\_\_\_

Names of Principals of the Firm \_\_\_\_\_

\_\_\_\_\_

Description of Nature of firm's Business \_\_\_\_\_

\_\_\_\_\_

#### ASDAA

ASDAA is the trading name of the Association of Securities & Derivatives Advisers of Australia Ltd

ABN 23 609 160 321

309 2-4 Creek Street COOLANGATTA QLD 4225 PO BOX 1323 COOLANGATTA QLD 4225

Telephone 07 5657 3620 Fax 07 5657 7017 Web: [www.asdaa.com.au](http://www.asdaa.com.au)



## Association of Securities & Derivatives Advisers of Australia

### 3. ASSOCIATE MEMBERSHIP REQUIREMENTS

To be eligible for Individual Associate Membership, the applicant must have less than three years' experience working as a qualified financial adviser and needs to be a professional engaged in the provision of goods or services associated with the securities and derivatives services industry or employed by an AFS Licensee firm or by a Corporate Authorised Representative (CAR). Also welcome are non-securities and derivatives advisers (individuals) who wish to be associated with ASDAA and network with its membership. These people are lawyers, accountants, consultants, property advocates, insurance and finance brokers, and so on who have a genuine interest in promoting the core beliefs of ASDAA.

Associate Membership Requirements	
I.	I meet the ASDAA guidelines for good fame and character ( <b>complete Attachment A</b> ); and
II.	I will undertake appropriate annual Continuing Professional Development (CPD) as prescribed by ASDAA.

### 4. APPLICANT DECLARATION

*(Please ensure that the following declaration is signed and completed. Once completed the form should then be forwarded to ASDAA)*

I confirm that the information supplied in this application is complete and correct. I understand that any false or misleading information may lead to loss of membership.

I agree to read and be bound by the terms and conditions of the ASDAA Constitution, the ASDAA Rules, Code of Conduct and Ethical Standards (as amended from time to time).

I agree to nominate the email address (page 1) for ASDAA notices pursuant to Corporations Act section 314 'Annual Financial reporting to members' and section 249J 'Notice of meetings of members, to members and directors'.

I agree that if required I will pay an amount up to \$10 (in addition to the annual Membership Fees), being the guarantee in accordance with the Constitution of **ASDAA**.

Signed by the Applicant \_\_\_\_\_

Full Name \_\_\_\_\_ Date \_\_\_\_\_

#### ASDAA



## Association of Securities & Derivatives Advisers of Australia

### 5. MEMBERSHIP FEE

Fee for Associate Membership commencing in the 2017 financial year is **\$99.00 including GST**.

Any Member admitted to membership between 1 August 2017 and 30 June 2018 will pay only a pro-rata amount of the Membership Fee until that Member's next annual subscription falls due.

An invoice will be emailed to your Email address.

Payment can only be made by bank transfer.

Name of Account: Association of Securities and Derivatives Advisers of Australia Ltd  
Westpac Bank  
BSB: **034 239**  
A/C: **391 328**

Please note your **Invoice Number** in the Payment description box so we can locate your payment.

### 6. CONSENT TO USE AND DISCLOSE PERSONAL INFORMATION

I hereby acknowledge and agree that my name and details and information about my organisation and employer supplied to ASDAA as part of my membership application and continuing membership of ASDAA may be used and disclosed by ASDAA in the following communications: a) The ASDAA Website b) Any editorial or other publications including ASDAA newsletters and promotional material c) Any regulatory or industry body as required by law.

Signed by the Applicant \_\_\_\_\_

Full Name \_\_\_\_\_ Date \_\_\_\_\_

***Please note that under the Constitution, the ASDAA Board has the sole discretion to determine whether or not to approve or reject any application for membership and to determine the status given to a member. The Board also has the sole discretion to determine whether to terminate membership or to change the status of a member under the terms of the Constitution.***



## Association of Securities & Derivatives Advisers of Australia

### MEMBERSHIP KNOWLEDGE & SKILLS REQUIREMENTS

The following are **required** as supporting documents with your membership application:

- a current resume;
- a certified copy of either your university degree certificate(s) in a discipline approved by ASDAA (e.g. *Bachelor of Commerce* or *Bachelor of Business*), transcripts or suitable industry qualifications (e.g. *Diploma of Financial Services* or *Diploma of Financial Markets*);
- two independent written business references that attest to the good fame and character of the applicant.

ASDAA reserves the right to request further personal information if deemed necessary.

All enquiries and applications should be directed to:

#### **Membership Director**

#### **ASDAA**

PO Box 1323 COOLANGATTA QLD 4225

Telephone: (07) 5657 3620

Facsimile: (07) 5657 7017

Email: [membership@asdaa.com.au](mailto:membership@asdaa.com.au)

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## Association of Securities & Derivatives Advisers of Australia

### (ATTACHMENT A) GOOD FAME and CHARACTER DECLARATION

To be Full Member of ASDAA you must demonstrate you are of good fame and character. You can achieve this by completing the below Good Fame & Character Statement.

Please be aware that ASDAA reserves the right to request further personal information if deemed necessary. Please note that the ASDAA respects your privacy and has a policy according to the Privacy Act 1988.

#### Good Fame & Character Statement

I \_\_\_\_\_, (full name of applicant) declare that within the last five years, within Australia or Overseas, I have **not** been:

- the subject to any ASIC banning order, disqualification, or enforceable undertaking;
- refused the right, or been restricted in the right, to carry on any trade, business or profession for which a licence, registration, or authority is required by Law;
- refused membership of, or disciplined by, any professional body;
- the subject of any findings, judgement or current court proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil, or criminal court proceeding in any country;
- convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws);
- determined to not be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services;
- engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration cancelled or suspended;
- found to be uncooperative, misleading or dishonest in dealing with a court, tribunal, official inquiry, complaints handling body, dispute resolution body, or professional or industry body relating to financial services;
- declared bankrupt nor made a formal arrangement with any creditors.

#### Declaration

I \_\_\_\_\_, (full name of applicant) certify that the information provided in this statement and all attachments is true and correct.

Signature

Date \_\_\_\_\_

#### ASDAA