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www.nsxa.com.au ABN: 11 000 902 063

# Application for Recognition as a Responsible Officer of the NSX

(responsible officers must be authorised representatives of Participants)

File Reference

I:\Operations\Projects\NETS Project\NSX install package USB key\Broker Documents\Application for Recognition as an RO of NSX\_2010.DOC

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# Introduction

### ABOUT THIS APPLICATION

This form is for use by persons seeking recognition as a Responsible Officer of the National Stock Exchange of Australia Limited ACN 000 902 063 ('NSX'). The form is in three parts:

- Part 1 Application Procedure;
- Part 2 Information to be completed; and
- Part 3 Applicant's acknowledgment

To be eligible to apply, applicants must satisfy all of the following requirements:

- have been employed for an aggregate of not less than two years by a Participant, NSX or ASX or have substantially equivalent experience;
- hold an accepted tertiary qualification (including qualification in commerce, economics, law, accounting, business administration, banking, secretarial practice or the Graduate Diploma in Applied Finance and Investment awarded by the Securities Institute of Australia;
- completed the four specified Securities Institute of Australia ("SIA") subjects (see section 2); and
- if required by the Exchange, obtain a pass mark of at least 65% (within three
  months prior to lodging an application) for the examination set by NSX to test the
  applicant's knowledge of the NSX Business Rules, ASTC Business Rules and the
  customs and usages of NSX.

Accordingly, **prior to lodgement** of an application for recognition as a Responsible Officer, all of the above requirements will need to be satisfied.

Applicants may wish to hold preliminary discussions with NSX with respect to their application before lodgement.

Please complete all statements and questions in this application. NSX can provide an electronic version of this application form on request.

The following items are required to be submitted by applicants:

- completed application for membership;
- passport size photo of applicant (refer question 1(h));
- signed statement of experience (refer question 4(b));
- two written references (refer question 5(a));
- letter from the Participant (refer question 6(d));
- annexure to question 7 if necessary;
- copy of any current securities licence or proper authority (refer question 8);

<sup>&</sup>lt;sup>1</sup> If no proper authority is currently held, recognition as a Responsible Officer will be conditional upon the applicant obtaining within three (3) months after admission, a proper

. . . . . . . . . . . . . .

- statement of financial position (statutory declaration) (refer question 11);
- relevant particulars if applicant answered "yes" to any questions in 9 or 10.

# MORE INFORMATION AND SUBMISSION OF APPLICATION

Further information can be obtained from and all applications should be sent to:

General Manager National Stock Exchange of Australia Limited PO BOX 283 Newcastle NSW 2300

Phone: +61 2 4929 6377 Fax: +61 2 4929 1556 http://www.nsxa.com.au

authority from the holder of an AFS licence under the Corporations Act which entitles the applicant to engage in the business of stockbroking as an authorised representative of the Participant.

# Part 1 Application to become a Responsible Officer

# 1. APPLICANT DETAILS

(a)	Applicant's full name (include former name(s) if	Last name:
	any)	First name(s):
		Title (eg. Mr/Mrs/Miss/Ms/Dr):
		Former name(s):
(b)	Business address	
(6)	Dusiness address	
(c)	Contact details	Telephone number:
		Fax number:
		E-mail address:
(d)	Postal/registered address (if different from the address given above).	
(e)	Date of birth.	
(-)		Date:/
	Place of birth.	
( <b>f</b> )	Number of years applicant	
(f)	has resided in Australia.	
(g)	Citizenship (if not Australian	
	citizen have you been granted permanent	
	residence?)	
(h)	Is a recent passport size photo of applicant attached?	Yes/No
(i)	Is the applicant a	Yes/No
.,	Responsible Officer of ASX?	
	Please attach evidence of this as an annexure	

Applicants who are responsible Officers of the ASX do not need to answer Question 2 of Part 2.

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# Part 2 Information to be completed

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2.	<b>EDUCATION</b>		

(a)	Please state undergraduate qualifications (including institution, qualification and date completed).	
		Please attach a copy of qualification(s).
(b)	Has the applicant successfully completed the Graduate Diploma in Applied Finance and Investment awarded by the	Yes/No  Date completed:  If so, please attach a copy of qualification.
	Securities Institute of Australia?	in 30, please attach a copy of qualification.
(c)	Please state any post- graduate qualifications (including institution, qualification and date completed)	Please attach a copy of qualification(s).
(d)	Has the applicant successfully completed the following subjects offered by the Securities Institute of Australia (SIA) <sup>2</sup> ? If so, please attach SIA statement of results.	
	Financial Markets	Yes/No
	Economics 5206 or Understanding Investment Markets 5001	Please indicate which subject the applicant has successfully completed: 5206 or 5001
	Previously (i) Financial Markets and Economics (C1) <b>or</b> Understanding the Finance and Investment Industry (C301)	Date completed:/
	(ii) Regulation & Ethics 5003	Yes/No
	Previously (ii) Securities Industry Law and Ethics (C3) <b>or</b> Legal Framework and Compliance (E508)	Date completed:/
	(iii) Fundamentals of	Yes/No
	Securities 5203 Previously (iii) Stock Market and Products (E405)	Date completed:/

<sup>&</sup>lt;sup>2</sup> Predecessor or successor subjects to those listed are also acceptable. Applicants who have completed predecessor or successor subjects must provide a letter from the SIA confirming that such subjects are substantial equivalents to those listed.

	Adminis Previous	ckbroker's stration 5106 ly (iv) Stockbrokers' ration (E509)	Yes/No Date completed://
(e)		applicant completed	Yes/No
	the sec	er courses related to urities industry cable) ?	If so, please show the name of the course(s), the date(s) completed and attach a copy of qualification(s):
(f)	If requir	red by the Exchange,	If required by the Exchange - Yes/No
(1)	has the	applicant completed	
		X exam and attained mark of at least	If so, please state the date of completion:/
	0070.		
3.	AFFIL	IATIONS	
	(i) SIA	Fellow/Associate	
	(ii)	Affiliate SIA (AFF)	
	(11)	Allillate SIA (All)	
	(iii)	Other professional institutions	
4.	EMPL	OYMENT HISTORY	
(a)	present employ	set out details of and previous ment and business as for the past 10	
	From:		Name of employer:
	To:	present	Address:
			Position title:
			Reason for leaving:
	From:	/	Name of employer:
	To:	/	Address:
			Position title:
			Reason for leaving:

	From:/	Name of employer:
	To:/	Address:
		Position title:
		Reason for leaving:
	From:/	Name of employer:
	To: / /	Address:
	10/	Address.
		Position title:
		Reason for leaving:
(b)	If employed at any time by an NSX or ASX Participant	Yes/No
	(current or past), please attach a statement signed	
	by a Responsible Officer of	
	that Participant showing period of employment,	
	position and reason for	
	leaving.	
	Where applicant was in partnership or was a	
	director of a Participant,	
	please attach a statement signed by a Responsible	
	Officer of that Participant.	
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### 5. REFERENCES AND REFEREES

(a) Please provide two (2) written references from persons of repute other than employees of the employing Participant or employees of associates of the Participant.

References must be:

- (i) typed;
- (ii) dated within three (3) months of the application being lodged;
- (iii) addressed to the Manager, Admissions; and
- (iv)signed and bear the signatories' position, occupation and telephone number.

References should attest to:

- (i) how long and in what capacity the referee has known the applicant;
- (ii) applicant's previous experience in the securities industry, or other business activity; and
- (iii) applicant's good fame and character, high business integrity and aptitude in fulfilling the roles and responsibilities as a Responsible Officer of the NSX efficiently, honestly and fairly.

	referees (excluding relatives).	
	Referee One	Name:
		Occupation/Position:
		Business Name:
		Address:
		Telephone Number:
	Referee Two	Name:
		Occupation/Position:
		Business Name:
		Address:
		Telephone Number:
6.	CURRENT OR INTENDED	STOCKBROKING ACTIVITIES
(a)	Please give details of the applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).	
(a) (b)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant	Date:/
	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address	Date:/
(b)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom the applicant intends	
(b)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom	Name:
(b) (c)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom the applicant intends devoting the substantial part of their working week.	Name: Address:
(b)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom the applicant intends devoting the substantial part of their working week.  Please provide a letter of confirmation from the	Name:
(b) (c)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom the applicant intends devoting the substantial part of their working week.  Please provide a letter of confirmation from the Participant (or proposed Participant) to confirm that	Name: Address:
(b) (c)	applicant's current or intended stockbroking activities (eg. Director of a Participant, Responsible officer of a Participant nature of activities, etc.).  Where applicable, when will the position described in (a) above commence?  State the name and address of the Participant to whom the applicant intends devoting the substantial part of their working week.  Please provide a letter of confirmation from the Participant (or proposed	Name: Address:

7.	DIRECTORSHIPS	
	Is the applicant a director of any corporation? Please provide details.	Yes/No
		(i) Name of corporation:
	provide detaile.	(ii) Place of incorporation / registration:
		(iii) Date of appointment://
8.	SECURITIES LICENSING	PROVISIONS
(a)	Does the applicant hold a AFS licence issued under	Yes/No
	the Corporations Act?	If yes, please attach a copy of the licence.
(b)	If the applicant holds a licence under (a) has the applicant established whether that licence needs amendment if the applicant is admitted as a Responsible Officer of NSX?	Yes/No
(c)	If the existing AFS licence needs amendment, has application been made to the ASIC to obtain a new licence?	Yes/No
(d)	Is the applicant an	Yes/No
	authorised representative of the holder of an AFS licence?	If yes, please attach a copy of each proper authority held by the applicant.
(e)	Where the applicant does not hold either an AFS licence or a proper authority from a licensed dealer, please explain how the applicant intends to obtain an AFS licence or proper authority entitling the applicant to engage in a stockbroking business and when this will occur.	

# 9. SECURITIES INDUSTRY ISSUES If the answers to any of the below questions are yes, please attach relevant particulars. Within the past ten (10) years, has the applicant: Yes/No (a) been licensed or registered under any law which requires licensing or registration in relation to dealing in securities or acting as an investment adviser? If not in Australia, please state the place, the type of licence and the regulatory authority? Yes/No (b) been licensed, registered or otherwise authorised by law to carry on any other trade, business or profession in any place? Yes/No (c) been refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place or restricted from carrying on such trade, business or profession? (d) Yes/No been a member (or equivalent), director or partner of a member organisation or Participant of any stock exchange. futures exchange or commodities exchange (e) been suspended or expelled Yes/No from membership (or equivalent) of any stock exchange, futures exchange or commodities exchange or otherwise disciplined by a stock exchange, futures exchange or commodities exchange?

(f) been removed from membership (or equivalent) of, or disciplined by any professional body? Yes/No

(g)	been refused membership (or equivalent) of any stock exchange, futures exchange or commodities exchange?	Yes/No
(h)	carried on business under any name other than under the name as shown in this application?	Yes/No
(i)	been known by any name other than the name or names shown in this application?	Yes/No
(j)	been convicted of any offence (other than a traffic offence) or charged with any offence or adversely mentioned in a report made by or at the request of any government or governmental authority or agency at any time?	Yes/No
(k)	had judgement including any findings in relation to fraud, misrepresentation or dishonesty given against the applicant in any civil proceedings?	Yes/No
(I)	been an insolvent under administration within the meaning of the Corporations Act?	Yes/No
(m)	been a director of or held an interest in an entity which has been externally administered?	Yes/No
(n)	been engaged in the management of any corporation other than those referred to in answer to question 7?	Yes/No
(o)	been refused a fidelity or surety bond?	Yes/No
(p)	been refused professional indemnity insurance or other similar insurance?	Yes/No
(q)	engaged in an act or omission which constitutes a contravention of, or a	Yes/No

	failure to comply with, any licence held under the Corporations Act or equivalent law or which constitutes a breach of a condition or restriction applicable in respect of such a licence?	
(r)	been under investigation, involved in litigation or charged with an offence not previously disclosed in this application or is the applicant currently under investigation, involved in any such litigation or charged with any such offence?	Yes/No
(s)	been prohibited under the Corporations Act from being a director or promoter of, or being in any way concerned in or taking part in the management of a corporation or is the applicant currently prohibited from so acting?	Yes/No
10.	GENERAL	
(a)	Are you a partner in any other activity other than stockbroking	Yes/No
(b)	Do you intend to make stockbroking your major business activity by devoting a substantial part of the working week to the business of a Participant?	Yes/No  If no, please elaborate in attachment.
11.	STATUTORY DECLARAT	ION

(a) This application must be accompanied by a Statutory Declaration, made up to a date not earlier than 30 days before the date of this application, disclosing the applicant's total liabilities (including contingent liabilities) together with details of assets including the method of valuation.

# Part 3 Applicant's Acknowledgment

## 12. ACKNOWLEDGMENT

I acknowledge that:

- (a) I have read the NSX Business Rules as at the date of this application and I have a working knowledge of the provisions of the Corporation Act as they relate to the securities industry;
- (b) I understand that recognition as a Responsible Officer of NSX is on the terms of, and subject to the NSX Business Rules as varied from time to time;
- (c) I have provided correct information in this application and I understand that any wilful omission or misstatement on a material point in or in connection with this application may lead to rejection of this application or, if this application is approved, subsequent cessation of my Responsible Officer status;
- (d) I consent to NSX in its discretion obtaining any additional information it considers relevant to this application (including personal, credit or other information) from an investigative agency, a retail credit agency, the Stockbrokers' Mutual Reference Society Ltd, the Securities Dealers Industry Association or any other source permitted by law in Australia or elsewhere and acknowledge that this application authorises such a source to release information to NSX;
- (e) I authorise the NSX Board to make available to the NSX Appeal Tribunal the reasons for its decision in the event that the NSX Board rejects this application, or approves this application and subsequently action is taken against me in respect of which there is a right of appeal to the NSX Appeal Tribunal and I authorise the NSX Appeal Tribunal to make available to the NSX Board and to the Australian Securities and Investments Commission the reasons for a decision of the NSX Appeal Tribunal if it rejects such an appeal.

### 13. SIGNATURES

Signature of applicant*	Signature: Date:	
Signature of witness	Signature: Address:	