



National Stock Exchange of Australia

Newcastle
Level 2, 117 Scott Street,
Newcastle, NSW, 2300

Melbourne
Suite 1.2, 415 Riversdale Road
Hawthorn East, VIC, 3123

www.nsx.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

Table of Contents

INTRODUCTION	3
ABOUT THIS APPLICATION	3
MORE INFORMATION AND SUBMISSION OF APPLICATION	4
PART 1 APPLICATION TO BECOME A RESPONSIBLE OFFICER.....	5
APPLICANT DETAILS.....	5
PART 2 INFORMATION TO BE COMPLETED	7
EDUCATION	7
AFFILIATIONS	8
EMPLOYMENT HISTORY	8
REFERENCES AND REFEREES	9
CURRENT OR INTENDED STOCKBROKING ACTIVITIES.....	10
DIRECTORSHIPS.....	11
SECURITIES LICENSING PROVISIONS	11
SECURITIES INDUSTRY ISSUES	12
GENERAL	14
STATUTORY DECLARATION	14
PART 3 APPLICANT'S ACKNOWLEDGMENT	15
ACKNOWLEDGMENT	15
SIGNATURES	15

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 authority¹ (refer question 8);

¹ 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

Part 1 Application to become a Responsible Officer

1. APPLICANT DETAILS

(a) Applicant's full name (include former name(s) if any)	Last name: First name(s): Title (eg. Mr/Mrs/Miss/Ms/Dr): Former name(s):
(b) Business 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.	
(f) Number of years applicant 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 Responsible Officer of ASX?	Yes/No
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.

Part 2 Information to be completed

2. EDUCATION

- (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 Securities Institute of Australia?

Yes/No

Date completed:

If so, 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)²? If so, please attach SIA statement of results.

Financial Markets
Economics 5206 or
Understanding Investment
Markets 5001

Previously (i) Financial Markets
and Economics (C1) or
Understanding the Finance and
Investment Industry (C301)

Yes/No

Please indicate which subject the applicant has
successfully completed: 5206 or 5001

Date completed: ___/___/___

(ii) Regulation & Ethics 5003

Previously (ii) Securities Industry
Law and Ethics (C3) or Legal
Framework and Compliance (E508)

Yes/No

Date completed: ___/___/___

(iii) Fundamentals of
Securities 5203

Previously (iii) Stock Market and
Products (E405)

Yes/No

Date completed: ___/___/___

² 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.

(iv) Stockbroker's Administration 5106
Previously (iv) Stockbrokers' Administration (E509)

Yes/No
Date completed: ___/___/____

(e) Has the applicant completed any other courses related to the securities industry (if applicable) ?

Yes/No
If so, please show the name of the course(s), the date(s) completed and attach a copy of qualification(s):

(f) If required by the Exchange, has the applicant completed the NSX exam and attained a pass mark of at least 65%?

If required by the Exchange - Yes/No
If so, please state the date of completion: ___/___/____

3. AFFILIATIONS

(i) Fellow/Associate SIA

(ii) Affiliate SIA (AFF)

(iii) Other professional institutions

4. EMPLOYMENT HISTORY

(a) Please set out details of present and previous employment and business activities for the past 10 years.

From: ___/___/____

To: present

Name of employer:
Address:
Position title:
Reason for leaving:

From: ___/___/____

To: ___/___/____

Name of employer:
Address:
Position title:
Reason for leaving:

- (b) Please nominate two 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.).

--

- (b) Where applicable, when will the position described in (a) above commence?

Date: ___/___/___

- (c) State the name and address of the Participant to whom the applicant intends devoting the substantial part of their working week.

Name:
Address:

- (d) Please provide a letter of confirmation from the Participant (or proposed Participant) to confirm that the applicant will devote a substantial part of the working week to the Participant's business.

Yes/No

7. DIRECTORSHIPS

(a) Is the applicant a director of any corporation? Please provide details.

Yes/No

(i) Name of corporation:

(ii) Place of incorporation / registration:

(iii) Date of appointment: ___/___/___

8. SECURITIES LICENSING PROVISIONS

(a) Does the applicant hold a AFS licence issued under the Corporations Act?

Yes/No

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 authorised representative of the holder of an AFS licence?

Yes/No

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.

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: