



ASSOCIATION OF FINANCIAL ADVISERS LTD

PO Box Q279, Queen Victoria Building, NSW 1230

T: 02 9267 4003 F: 02 9267 5003

E: info@afa.asn.au W: www.afa.asn.au

ACN: 008 619 921 ABN: 29 008 619 921



Focusing on the exciting and dynamic future of the Financial Advising Industry

APPLICATION FOR CORPORATE MEMBERSHIP

Please send completed application with cheque to:
Association of Financial Advisers Ltd, PO Box Q279, Queen Victoria Building, NSW 1230
For corporate member application, please use correct form.

PERSONAL DETAILS

Member No. OFFICE USE ONLY

Company Name:

Surname:

First Names:

Preferred Name:

Date of Birth: Day Month Year

CONTACT DETAILS

Business Name:

Postal Address:

Suburb / Town: State: Postcode:

Business Address:

Suburb / Town: State: Postcode:

Private Address:

Suburb / Town: State: Postcode:

Preferred Mailing Address: Postal Business Private

Telephone: Business: Private:

Mobile: Fax:

Email:

APPLICATION DETAILS

I am applying for: Corporate Membership

Authorised Representative Number Date (or year) joined industry

Dealer Group / Licensee

If your Dealer Group / Licensee is an AFA Corporate Member, please quote membership number

REFEREES (2 AFA Members – personal, financial members, not corporate)

Name:	<input type="text"/>	Name:	<input type="text"/>
Member No:	<input type="text"/>	Member No:	<input type="text"/>
Signature:	<input type="text"/>	Signature:	<input type="text"/>
Contact Number:	<input type="text"/>	Contact Number:	<input type="text"/>
Date:	<input type="text"/>	Date:	<input type="text"/>
Notes:	<input type="text"/>		

BUSINESS DETAILS

Is the major proportion of your time spent providing investment and/or insurance advice? Yes No

Has a complaint or proceeding of any nature ever been brought against you through any Licensee Life Office or other body?

Yes No If Yes, please give details below:

Have you ever had an Authorised Representative authority terminated for reasons other than production?

Yes No If Yes, please give details below:

APPLICATION AND DECLARATION

I, , hereby (re-)apply for:
(insert membership classification) membership of the Association

of Financial Advisers Ltd. I have read the qualifications required for such membership and fully appreciate the responsibility, which this implied. I also recognise that my actions and words will either bring credit or discredit to the Financial Services Industry.

I do hereby solemnly undertake to observe the Code of Ethics of the AFA as signed overleaf, and I hereby agree that any Certificate and pin issued to me shall remain the property of the AFA, which may at any time call for and require their production and delivery. I also agree that upon ceasing to be a member of the AFA, I shall return forthwith such Certificate and badge of membership to the AFA.

If admitted, I agree to abide by the Memorandum and Articles of Association now in force or as from time to time amended, and I affirm that the answers given to the questions on this form of application are true to the best of my knowledge.

Dated this day of 2009

Signature of Applicant

PAYMENT METHOD

- Annual Subscription
- Licensee < 25 \$550.00 (GST incl.) Licensee > 25 \$1,100.00 (GST incl.) Product & Service Provider \$1,980.00 (GST incl.)
- Cheque MasterCard Visa American Express

Cardholder's Name: Amount: \$

Credit Card Number: Expiry Date: /

Cardholder's Signature:

NATIONAL OFFICE USE ONLY (V-16042007)

Received:	<input type="text"/>	Acknowledged:	<input type="text"/>
Committee:	<input type="text"/>	Approved Y / N:	<input type="text"/>
Fee Banked:	<input type="text"/>	Received:	<input type="text"/>
Database:	<input type="text"/>	Membership kit sent:	<input type="text"/>



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CODE OF ETHICS

The position of the Financial Adviser is unique. The Financial Adviser owes a professional duty towards clients and must act at all times in their best interest. By observing the highest ethical standards, the Financial Adviser can ensure their clients' mutual needs are satisfied.

We shall:

- **Act in the best interest of our clients to extend their financial life and abide by the laws and regulations under which we conduct business.**
- **Strive to achieve the highest standards of professional competence by maintaining and improving our knowledge and skills.**
- **Hold in strictest confidence and consider privileged, all business and personal information pertaining to our clients' affairs.**
- **Present accurately, honestly and completely, every fact known to us which is essential to our clients' decision making.**
- **Use all ethical means to educate our clients about their present and future financial needs.**
- **To provide an appropriate level of service to our clients and their beneficiaries.**
- **Maintain high standards of personal and professional conduct to reflect favourably upon the profession of Financial Adviser and serve as an example to others.**

In submitting our membership application I have read the 'Code of Ethics' and hereby solemnly undertake to uphold these principles.

Signed:

Date:



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APPLICATION FOR MEMBERSHIP

An applicant for membership of the AFA must:

- make application to the AFA in the prescribed form, and
- agree to abide by the AFA Code of Ethics, a copy of which shall be included with the application form.

ELIGIBILITY

An applicant seeking membership of the AFA is eligible if he / she:

- is a Financial Adviser as defined in the Articles of Association of the AFA;
- is not a declared bankrupt nor an insolvent under administration;
- satisfies the Directors as to his/her character and integrity;
- is a current Authorised Representative (if applicable).

MEMBERSHIP CLASSIFICATIONS

Student Member means a personal member so admitted or classified by the Directors but has not met any of the Professional Standards Matrix, and is a practising adviser. Continuing education requirements apply. No voting rights. Not eligible to stand for election as an AFA Director but may be nominated to serve on any AFA committee. The annual fee for the Student Financial Adviser is \$165.00.

Ordinary Member means a personal member so admitted or classified by the Directors who has met the AFA professional qualification standard as per the Professional Standards Matrix i.e. is RG 146 compliant, and is a Practising Authorised Representative. Continuing education requirements apply.

Associate Member means a personal member so admitted or classified by the Directors and who is not a practicing Authorised Representative. Business Development Managers and other industry people will normally be classified as Associate Members. There may be other requirements or qualifications, which are decided from time to time by the Directors. Continuing education requirements do not apply. There is no post nominal.

FORMER MEMBER REJOINING THE AFA

A former member, not consequent to expulsion, who wishes to rejoin the AFA shall, on acceptance, be admitted as a Member and shall progress to Associate Member or Ordinary Member in accordance with the provisions of Rules 1.1.2 and 1.1.3.

Notwithstanding the provisions of Rule 1.6.1, a former member who wishes to rejoin the AFA may apply to the Directors for reinstatement of his former membership classification.

CORPORATE MEMBERS

Associate Corporate Member means a corporate member so admitted or classified by the Directors and who is not a practicing Authorised Representative. Australian Financial Services Licensees, Life/General Insurance Company Managers, Fund Managers and other corporations associated with the financial services industry will normally be classified as corporate members. The associate corporate member will have one vote, which is held in the hands of a nominee of that associate corporate member, and who must be nominated before the meeting at which the vote is to be exercised. Not able to stand for election as a Director but may be nominated to serve on any AFA committee. Continuing education requirements do not apply. (It should be noted that a majority of AFA members trade as Pty Ltd and are therefore incorporated. This section does not seek to complicate the membership rules by attempting to place these incorporated members into this category). There are no post nominals. Annual subscription applies.

Group Membership means the grouping of an Associate Corporate Member with its advisers who are already members in their own right or who are seeking to become individual members of the AFA. This grouping can include one or any classification of membership and has advantages of discounting of individual membership fees through this classification based on a rate set by the National Board from time to time. All voting rights and other benefits will apply to each individual classification within this Group Membership section. Annual subscription applies.

MEMBERSHIP SUBSCRIPTION FEE ARRANGEMENTS

For the purposes of membership fees, the membership year shall be from the date of approval of application. Payment of the initial year's subscription is required when submitting a membership application form.

Membership fees shall be remitted by members directly to the National Office.

The AFA National Office shall send to each member, in advance of the date the annual membership fees shall become due, a notice in such form as the Directors may determine, and such notice shall indicate the amount of the membership fees payable by the member.

The Directors may cancel the membership of any member who fails to pay the applicable subscription fee within three (3) months of it being due.