

# AFA Directors ELECTION GUIDELINES 2020



**Current Board from left to right**

Marc Bineham, Michael Nowak, Sam Perera, Sam Robinson,  
Jawad Ahmad, James Ford, Patricia Garcia and Matthew Hawkins.

# LETTER FROM THE PRESIDENT

---

The Association of Financial Advisers Ltd is led by a Board of nine Directors elected for two-year terms by the Members of the association. This year, under our Constitution, six of our Director positions are required to be open to an election. The Treasurer role is also up for election.



The AFA Board need to stand for election every two years or at the next AGM when appointed to fill a casual vacancy. The President, Vice President and State Directors for NSW/ACT, Victoria, Queensland and Western Australia, who were all elected in 2018, and therefore their roles are up for election this year. The Treasurer role will also be up for election.

I am proud of the current standing of the AFA. We must however remain committed to growing our relevance through advocacy, adviser education pathways, professional standards and championing the value of advice. To this end, the AFA needs committed, competent and forward thinking leaders to serve the Membership of the AFA as Directors on the Board.

The 2020 year to date has highlighted the challenges that our profession faces and the need for leadership. This year has presented challenges above and beyond what we could ever have predicted and this is expected to continue for some time.

Representing your peers is a rewarding and honourable achievement but it must also be remembered that it comes with all of the duties and responsibilities bestowed by the AFA Constitution, By-Laws and the Corporations Act (2001).

To stand for election to the Board, you need to have been a member of the AFA for the last three consecutive years (as at 28 October 2020) and be a practicing financial adviser.

Under the By-Laws, candidates cannot be serving on the Board or a committee of another association.

The positions that are open to election are as follows:

- ▶ President
- ▶ Vice President
- ▶ Treasurer
- ▶ State Director NSW/ACT
- ▶ State Director Victoria
- ▶ State Director Queensland
- ▶ State Director Western Australia

In this pack you will find the following:

- ▶ Election guidelines
- ▶ Nomination form

Nominations close Monday 14 September 2020 at 4pm AEST sharp.

Nominations are to be emailed to [returningofficer@afa.asn.au](mailto:returningofficer@afa.asn.au). You will receive a reply email within 24 hours confirming receipt of the nomination application. The nomination will then be reviewed by the Returning Officer to confirm validity to stand for election.

All candidates will be subject to screening checks, involving a police check and reference from a senior manager within your licensee.

If you have any questions, then please call myself, or your State Director for further information. Philip Kewin as the Company Secretary can also answer queries in regard to the election process. This year the AGM will be held in Sydney and by video conference on Wednesday 28 October 2020.

A handwritten signature in black ink, appearing to read 'Marc Bineham'. The signature is fluid and cursive, written on a white background.

Marc Bineham

AFA National President

# KEY DATES

---

## MONDAY

31 August 2020

Director nomination pack emailed to members

## MONDAY

14 September 2020 by 4pm AEST

All candidate nomination forms to be received by AFA before 4pm AEST and emailed to [returningofficer@afa.asn.au](mailto:returningofficer@afa.asn.au)

## MONDAY

28 September 2020

Candidates' statements emailed to members together with voting instructions

## THURSDAY

15 October 2020 by 4pm AEST

Close of voting for Candidates

## WEDNESDAY

28 October 2020

New Directors announced at AFA AGM: in Sydney.

# AFA DIRECTORS ELECTION GUIDELINES 2020

---

This year in the lead up to the 2020 AFA AGM, to be held in Sydney and via video conference on 28 October 2020, an election will be held to appoint seven new Directors.

Some of the existing Directors who are eligible to continue may nominate for the available positions.

Members are also invited to nominate for one of the available roles on the Board. Therefore there may need to be elections for the vacant positions.



## TERMS OF OFFICE

The term of office for the various positions available are as follows:

**President,  
Vice President  
and Treasurer**

Initial term of two years, with an option to re-nominate for a further two year term.

**State Directors**

Initial term of two years with an option to re-nominate for two further terms of two years.

# ELECTION GUIDELINES 2020

1. Nominations for election to the Board must be in writing, addressed to the Secretary and deposited at the Registered Office of the AFA not later than 42 days before the day fixed for an Annual General Meeting. The final time and date for receipt of nominations is 4pm AEST 14 September 2020 and nominations may be received by email to [returningofficer@afa.asn.au](mailto:returningofficer@afa.asn.au) in satisfaction of this requirement.
2. Nominees must be a practitioner and a current financial member for a period of three (3) completed years immediately prior to the date of the AGM in which the election is to be held. The AGM is on 28 October 2020.
3. A candidate must set out their qualifications, experience in the financial services industry and a maximum 400 word campaign message in support of their nomination. Candidates will also need to provide a photo and have the opportunity to prepare a video for a maximum of 2.5 minutes should a vote be required. They will also be asked to provide additional information to enable a police check to be undertaken. The Board may, in its discretion, amend the statement to protect the AFA's interests.
4. Screening checks will be completed on all candidates, including a police check and a reference check with their licensee. Any potential concerns with eligibility or suitability will be addressed by the Returning Officer.
5. The Secretary will prepare ballot papers if the number of nominations received requires a ballot to be held. For each of the positions contested, the ballot will be decided on a first past the post or simple majority basis.
6. As required, all Members will be sent an email announcing the election and for each of the positions contested.
  - a. A list of candidates' names in alphabetical order showing their nominators names and information provided in their statement. If the candidate chooses, they may also provide a video link.
  - b. A ballot paper (which may include electronic voting)
7. A member may take part in as many ballots as the Member is entitled under current By-Laws.
8. Completed ballot papers (or electronic votes) must be returned to the AFA as instructed by no later than 4pm AEST Thursday 15 October 2020.

## Process for Elections

The Board will appoint a Returning Officer who may appoint assistants, none of whom can be a Director or a candidate. The Returning Officer is responsible for the conduct of the election and oversight of the campaigning by candidates.

## Campaigning

The process for campaigning is as contained in the AFA By-Laws dated 29 May 2020 clause 27:

### a. Candidates

Candidates may campaign for election to a position as a State Director or the National position of President and Vice President subject to this policy.

### b. Policy

Candidates may communicate their campaign message with AFA members through the official AFA distribution of candidate's messages as authorised and co-ordinated by the Returning Officer. Candidates will also have the opportunity to place up to 5 pre approved posts on a social media platform. The use of multiple platforms represents multiple posts. The Returning Officer must approve all social media posts.

### c. Procedure

A candidate for a Director position will provide a recent photograph and their campaign message (maximum 400 words) accompanying their Nomination Form.

Candidates who are subject to a ballot of members will be notified and will have the opportunity to prepare a video of up to 2.5 minutes that the AFA will host on the website.

The Returning Officer will have the responsibility of vetting the campaign messages to ensure that any message does not denigrate any opposing candidate or reflect negatively on the AFA's image in any way. In addition the Returning Officer will be responsible for the distribution of messages to the appropriate members by email.

The Returning Officer will deal with any member responses to the candidate's messages.

This policy and procedure applies to all candidates and members or organisations that are involved in a candidate's campaign for election:

Under no circumstances may a member of the AFA or any person or organisation who may have a copy of member's contact details, use these contact details to send any campaign messages to members supporting their election to any of the Director positions. No bulk emails are permitted.

If any person or organisation wishes to support a candidate by sending out a message, then the above policy and process that applies to candidates shall apply to any supporter.

It is to be noted that the By-Laws place tight restrictions on candidates posting messages on social media in support of their campaign.

Any breach of the policy and/or procedures in the By-Laws by any candidate, and any members or organisation supporting a candidate, may result in the Returning Officer disqualifying a candidate and their nomination being immediately declared invalid. The Returning Officer's decision on this matter will be final.

# AFA DIRECTORS NOMINATION FORM 2020

## POSITION FOR WHICH THE NOMINEE IS BEING NOMINATED (Please tick box)

**1. President**

**2. Vice President**

**3. Treasurer**

**4. State Director**

NSW/ACT

VIC

QLD

WA

NOTE: 1. A member may only be nominated for Director of the Region in which he/she resides.  
2. A member may only be elected to one available Director's position.

## PERSONAL DETAILS OF THE PERSON BEING NOMINATED (NOMINEE) (Please use block letters)

Christian Name/s

Surname

Date of Birth

## CONTACT DETAILS OF THE NOMINEE (Please use block letters)

Business Name

Postal Address

Suburb / Town

State

Postcode

Street Address

Suburb / Town

State

Postcode

Telephone

Business

Private

Mobile

Fax

Email

## MEMBERSHIP DETAILS OF NOMINEE AND PROPOSERS

Current AFA Membership Status: Member

Member Number

Date from which you have been a continuous member of the AFA

Qualifications Achieved:

Membership of Other Relevant Associations

Nominated By (Name)

Seconded By (Name)

Telephone

Telephone

Signature

Signature

# AFA DIRECTORS NOMINATION FORM 2020 (continued)

## ACCEPTANCE OF NOMINATION (Block Letters & Full Name)

I,

accept being nominated to stand for election for the position of

I certify that my personal information provided on this form is accurate to the best of my knowledge.

Date

Signature

## NOMINATOR DECLARATION (Block Letters & Full Name)

(Please note that only Practitioner, New Adviser and Life Members can nominate or second a nomination)

I hereby nominate,

(full name)

to stand for election to the position(s) of Director of the AFA as indicated above. I have received acknowledgement from my nominee that he/she is prepared to stand for the position(s) as nominated.

To the best of my knowledge the information provided about my nominee is accurate. I am currently a financial member in good standing of the AFA.

Print Full Name

Member Number

Date

Signature

Phone (W)

Fax (W)

Mobile

Email

## SECONDRS DECLARATION (Block Letters & Full Name)

I hereby nominate,

(full name)

Print Full Name

Member Number

Date

Signature

Phone (W)

Fax (W)

Mobile

Email

# CANDIDATE STATEMENT

## CANDIDATE FOR THE BOARD

*Please keep to the word counts. If there is insufficient space please attach a separate document.*

Name of Nominee:

**1. How long have you been in the Financial Services industry and in what capacities?** *(Limit 50 words)*

**2. For how many years have you been a member of the AFA in total?** *(Limit 10 words)*

**3. Please outline 3-5 personal achievements that demonstrate your suitability for Board Membership.** *(Limit 100 words)*

**4. Please outline qualifications and awards you have gained that are relevant to Association and Board responsibilities.** *(Limit 50 words)*

**5. What skills and abilities would you contribute to the Association as a Board Member?** *(Limit 50 words)*

# CANDIDATE STATEMENT (continued)

---

**6. What is your vision for the Association and the financial advice profession?** *(Limit 100 words)*

**7. Are you or your business currently subject to or have you been subject to any investigation by ASIC, your licensee or any other agency which may impact upon your suitability for the role as a Director.**  
*(Limit 100 words)*

## LICENSEE REFERENCE CHECK

**Please provide the contact details for the general manager of your licensee or equivalent person.**

Licensee Name:

Contact name:

Email:

Telephone

Business

Private

Mobile

Fax

# CANDIDATE STATEMENT (continued)

---

## CAMPAIGN STATEMENT

*(This will be circulated to Members together with the Voting instructions for the election. Limit 400 words.)*

**Highlight your qualifications, experience in the financial services industry and a message in support of your nomination.**

**Note:** Applicants will subsequently be asked to provide additional information in order to complete the police check.

### Please send completed nomination to:

Association of Financial Advisers Ltd

PO Box Q279, Queen Victoria Building, NSW 1230 (To arrive in the mail no later than 14 September 2020)

or scan and email to: [returningofficer@afa.asn.au](mailto:returningofficer@afa.asn.au) no later than 4pm AEST 14 September 2020.