

Application for Recognition as a Responsible Officer of a Nominated Adviser



This form is for use by persons seeking recognition as a Responsible Officer of a Nominated Adviser approved by the Stock Exchange of Newcastle Limited ABN 11 000 902 063 ('NSX'). The form is in three parts:

- Part 1 Application to become a Responsible Officer;
- Part 2 Information to be completed; and
- Part 3 Applicant's acknowledgment

To be eligible to apply, applicants must be either:

- An Affiliate of the Stock Exchange of Newcastle Limited
- A Certified Practising Accountant
- A Chartered Accountant
- A Solicitor or Barrister or
- Or possess other suitable educational or practical experience.

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));
- three written references (refer question 5(a));
- annexure to question 7 if necessary;
- relevant particulars if applicant answered "yes" to any questions in 8.

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) Residential 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.	
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 an Affiliate of the NSX or ASX? Please attach evidence of this as an annexure	Yes/No

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).

3. Qualifications

- (i) ASIA

- (ii) CPA

- (iii) CA

- (iv) Solicitor/Barrister

- (v) 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:

From: _____/_____/_____
To: _____/_____/_____

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

- (b) If employed at any time by an Nominated Adviser (current or past), please attach a statement signed by a Responsible Officer of that Nominated Adviser showing period of employment, position and reason for leaving.

Where applicant was in partnership or was a director of a Nominated Adviser, please attach a statement signed by a Responsible Officer of that Nominated Adviser.

Yes/No

5. References and referees

- (a) Please provide three (3) written references from persons of repute **other than** employees of the employing Nominated Adviser or employees of associates of the Nominated Adviser but including at least one Affiliate of NSX.

References must be:

- (i) typed;
- (ii) dated within one (1) month of the application being lodged;
- (iii) addressed to the Manager, Nominated Adviser Services; 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 an Affiliate of NSX efficiently, honestly and fairly.

- (b) Please nominate three (3) referees (excluding relatives).

Referee One

Name:

Occupation/Position:

Business Name:

Address:

Telephone Number:

Referee Two

Name:

Occupation/Position:

Business Name:

Address:

Telephone Number:

Referee Three

Name:

Occupation/Position:

Business Name:

Address:

Telephone Number:

6. Intended activities

- (a) Please give details of the applicant's intended activities as a nominated adviser (eg. Responsible Officer, Partner or Director of a Nominated Adviser, nature of activities, etc.).

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

____/____/____

- (c) State the name and address of the Nominated Adviser.

Name:

Address:

- (d) Please provide a letter of confirmation from the Nominated Adviser to confirm the Applicants intended status therewith.

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 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:

(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?	Yes/No
(d) been a member (or equivalent), director or partner of a member organisation or Participating Organisation of any stock exchange, futures exchange or commodities exchange?	Yes/No
(e) been suspended or expelled 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?	Yes/No
(f) been removed from membership (or equivalent), 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
(l)	been an insolvent under administration within the meaning of the Corporations Law?	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 failure to comply with, any licence held under the Corporations Law or equivalent law or which constitutes a breach of a condition or restriction applicable in respect of such a licence?	Yes/No
(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 Law 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

Part 3 Applicant's Acknowledgment**10. Acknowledgment**

I acknowledge that:

- (a) I have read the NSX Listing and Business Rules as at the date of this application and I have a working knowledge of the provisions of the Corporation Law as they relate to the securities industry;
- (b) I understand that recognition as a Responsible Officer of a Nominated Adviser is on the terms of, and subject to, the NSX Listing and 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 approval;
- (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 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.

Signature of applicant*

Signature: _____

Date: / /

Signature of witness

Signature: _____

Address:

Date: / /

* If this application is signed under Power of Attorney the original of the Power of Attorney must accompany this application.