

I:\Nominated Advisers\Forms\Application for Recognition as a Responsible Officer_2004.doc



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1. Applicant details

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2. Education

- Please attach a copy of qualification(s).

- If so, please attach a copy of qualification.

- Please attach a copy of qualification(s).

(v) Other professional institutions

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

Reason for leaving:

Reason for leaving:

Reason for leaving:

Yes/No

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.

5. References and referees

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

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 an Affiliate of NSX efficiently, honestly and fairly.

- (b) Please nominate two (2) referees (excluding relatives).

Referee One

Name: _____

Occupation/Position:

Business Name:

Address:

Telephone Number:

Referee Two

Name:

Occupation/Position:

Business Name:

Address:

Telephone Number:

(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.).

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- Date: / /

Date: ____/____/____

- Name: _____

Address:

Name:	
Address:	

- | |
|--|
| |
|--|

(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: ____ / ____ / ____

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:

- | | |
|---|---------------|
| <p>(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?</p> | <p>Yes/No</p> |
| <p>(b) been licensed, registered or otherwise authorised by law to carry on any other trade, business or profession in any place?</p> | <p>Yes/No</p> |
| <p>(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?</p> | <p>Yes/No</p> |
| <p>(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?</p> | <p>Yes/No</p> |
| <p>(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?</p> | <p>Yes/No</p> |
| <p>(f) been removed from membership (or equivalent), or disciplined by any professional body?</p> | <p>Yes/No</p> |

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9. Acknowledgment

- (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: _____ / _____ / _____

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