

# FINANCIAL MARKETS PROGRAM

FNS51015 DIPLOMA OF FINANCIAL MARKETS



## A. INSTRUCTIONS

1. Read the program brochure
2. Complete all sections of this registration form
3. Candidates can register for one or more modules at a time

## B. SUBMITTING YOUR REGISTRATION

Submit your completed registration by:

**Email to:** education@afma.com.au  
**By post:** GPO Box 3655, Sydney NSW 2001

## C. WHAT NEXT?

AFMA will process your registration form approximately 24 – 72 hours upon receipt. Once processed you will receive a confirmation notice with further detailed information.

## 1. PERSONAL DETAILS

Title  Mr  Mrs  Ms

First or other names	Family name
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Gender  Male  Female

Position		
Company name		
Company address		
Town/city	Postcode	State
Country		
Telephone (incl. area code)	Mobile ( )	Business Hours ( )
		After Hours ( )
Company email (mandatory)		

## 2. AVETMISS

As AFMA is a registered training organisation, it is a requirement that enrolment data we collect from our customers, both new and existing be AVETMISS Compliant. For further information on AVETMISS Compliance, please refer to [NCVER - AVETMISS Compliance](#).

<b>LANGUAGE AND CULTURAL DIVERSITY</b>	
1. In which country were you born?	<input type="checkbox"/> Australia <input type="checkbox"/> Other – please specify:
2. Date of Birth	
3. Do you speak a language other than English at home? (If more than one language, indicate the one that is spoken most often.)	<input type="checkbox"/> No, English only (if no go to Q4) <input type="checkbox"/> Yes, other – please specify:
4. How well do you speak English?	<input type="checkbox"/> Very well <input type="checkbox"/> Well <input type="checkbox"/> Not well <input type="checkbox"/> Not at all
5. Are you of Aboriginal or Torres Strait Islander origin? (For persons of both Aboriginal and Torres Strait Islander origin, mark both 'Yes' boxes.)	<input type="checkbox"/> No <input type="checkbox"/> Yes, Aboriginal <input type="checkbox"/> Yes, Torres Strait Islander
6. Are you an Australian citizen or permanent resident	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>DISABILITY</b>	
6. Do you consider yourself to have a disability, impairment or long-term condition?	<input type="checkbox"/> Yes <input type="checkbox"/> No (if no go to Q7)
7. If YES, then please indicate the areas of disability, impairment or long-term condition: (You may indicate more than one area.)	<input type="checkbox"/> Hearing/Deaf <input type="checkbox"/> Learning <input type="checkbox"/> Vision <input type="checkbox"/> Physical <input type="checkbox"/> Mental Illness <input type="checkbox"/> Medical Condition <input type="checkbox"/> Intellectual <input type="checkbox"/> Acquired Brain Impairment <input type="checkbox"/> Other
<b>SCHOOLING</b>	
8. What is your highest COMPLETED school level? (Tick ONE box only.)	<input type="checkbox"/> Year 12 or equivalent <input type="checkbox"/> Year 9 or equivalent <input type="checkbox"/> Year 11 or equivalent <input type="checkbox"/> Year 8 or below <input type="checkbox"/> Year 10 or equivalent <input type="checkbox"/> Never attended school (go to Q9)
9. In which YEAR did you complete that school level?	
10. Are you still attending secondary school?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>PREVIOUS QUALIFICATIONS ACHIEVED</b>	
11. Have you SUCCESSFULLY completed any of the following qualifications?	<input type="checkbox"/> Yes <input type="checkbox"/> No (if no go to Q13)
12. If YES, then tick ANY applicable boxes.	<input type="checkbox"/> Bachelor Degree or Higher Degree <input type="checkbox"/> Certificate III (or Trade Certificate) <input type="checkbox"/> Advanced Diploma or Associate Degree <input type="checkbox"/> Certificate II <input type="checkbox"/> Diploma (or Associate Diploma) <input type="checkbox"/> Certificate I <input type="checkbox"/> Certificate IV (or Advanced Certificate/Technician) <input type="checkbox"/> Certificates other than the above
<b>EMPLOYMENT</b>	
13. Of the following categories, which BEST describes your current employment status? (Tick ONE box only.)	<input type="checkbox"/> Full-time employee <input type="checkbox"/> Employed - unpaid worker in a family business <input type="checkbox"/> Part-time employee <input type="checkbox"/> Unemployed - seeking full-time work <input type="checkbox"/> Self employed - not employing others <input type="checkbox"/> Unemployed - seeking part-time work <input type="checkbox"/> Employer <input type="checkbox"/> Not employed - not seeking employment
<b>STUDY REASON</b>	
14. Of the following categories, which BEST describes your main reason for undertaking this course/traineeship/apprenticeship? (Tick ONE box only.)	<input type="checkbox"/> To get a job <input type="checkbox"/> It was a requirement of my job <input type="checkbox"/> To develop my existing business <input type="checkbox"/> I wanted extra skills for my job <input type="checkbox"/> To start my own business <input type="checkbox"/> To get into another course of study <input type="checkbox"/> To try for a different career <input type="checkbox"/> For personal interest or self-development <input type="checkbox"/> To get a better job or promotion <input type="checkbox"/> Other reasons

### 3. REGISTRATION DETAILS

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#### A. STREAM

I wish to complete the Financial Markets Program via the:

- Advising stream**  
*The advising stream is for individuals in a client advisory role who need to comply with ASIC requirements for giving advice*
- Dealing stream**  
*The dealing stream is for individuals in dealing room roles who do not provide advice but require skills and knowledge in trading and dealing*
- Operations stream**  
*The operations stream is for individuals working in an operations role who require skills and knowledge in operations processes*

#### B. COHORT MODULES – CORE & FX MARKETS

**Choose your modules and mode of learning:** (only complete this section if registering for the Core or FX Markets modules)

**PLEASE NOTE:** The Core & FX modules follow a cohort structure. All other modules do not. Please see the Financial Markets Program brochure for further information.

- Financial Markets Core module:** I would like to complete this module via: (tick one)
- Distance learning (not available to students in QLD, NSW or VIC)
- Workshop attendance

Please register me for the following cohort (refer to summary of dates): \_\_\_\_\_

- Foreign Exchange Markets module:** I would like to complete this module via: (tick one)
- Distance learning
- Workshop attendance

Please register me for the following cohort (refer to summary of dates): \_\_\_\_\_

#### C. OTHER MODULES

If you wish to register for either the Debt, Energy, Equity or Treasury Operations module then please complete the below:

- \_\_\_\_\_ **module:** I would like to complete this module via: (tick one)
- Distance learning
- Workshop attendance (*Debt Markets only – refer to AFMA website for dates*)

Please register me for the following workshop date: \_\_\_\_\_

#### 4. LINE MANAGER

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AFMA will communicate with your line manager on your progress and seek feedback as part of the overall evaluation of the program. It is a mandatory requirement to provide your line manager's name and contact details.

First or other names	Family name
Position	
Telephone (      )	Email

## 5. METHOD OF PAYMENT

Attach cheque made payable to AFMA or provide credit card details below:

Visa  Mastercard  American Express  Diners Club

Please note a surcharge applies of 2.75% for American Express and 3.72% for Diners Club.

Cardholder's Name		
Total Amount \$		
Card Number		
Expiry Date	CCV*	Signature

\* 3 digit number found on the back of your Mastercard or Visa; 4 digit number found on your American Express

## PRICING SCHEDULE

### ADVISING or DEALING STREAM

MODULE ENROLMENT	Member* (per module)	Non-member* (per module)
<b>Financial Markets Core</b> or <b>Foreign Exchange Markets</b> (workshop attendance or distance learning)	\$1,800.00	\$2,250.00
<b>Debt Markets</b> (workshop attendance)	\$1,800.00	\$2,250.00
<b>Equity, Debt</b> or <b>Energy Markets*</b> (distance learning)	\$1,500.00	\$1,875.00

\*Energy Markets module only available via the Dealing Stream

### OPERATIONS STREAM

MODULE ENROLMENT	Member* (per module)	Non-member* (per module)
<b>Financial Markets Core</b> (workshop attendance or distance learning)	\$1,300.00	\$1,650.00

\* All pricing exempt from GST.

## 6. DECLARATION & STUDENT CONSENT

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### TERMS & CONDITIONS DECLARATION

It is a condition of enrolment that students read and agree to the terms of conditions (see page 6 of this form). Your signature below constitutes acceptance of the enrolment conditions and confirmation that all details provided at the time of enrolment are true and accurate. I agree to notify AFMA if any details on this enrolment form change.

### PRIVACY STATEMENT & STUDENT CONSENT

#### Privacy Notice

Under the *Data Provision Requirements 2012*, AFMA is required to collect personal information about you and to disclose that personal information to the National Centre for Vocational Education Research Ltd (NCVER).

Your personal information (including the personal information contained on this enrolment form and your training activity data) may be used or disclosed by AFMA for statistical, regulatory and research purposes. AFMA may disclose your personal information for these purposes to third parties, including:

- Employer – if you are enrolled in training paid by your employer;
- Commonwealth and State or Territory government departments and authorised agencies;
- NCVER;
- Organisations conducting student surveys; and
- Researchers.

Personal information disclosed to NCVER may be used or disclosed for the following purposes:

- Issuing statements of attainment or qualification, and populating authenticated VET transcripts;
- facilitating statistics and research relating to education, including surveys;
- understanding how the VET market operates, for policy, workforce planning and consumer information; and
- administering VET, including programme administration, regulation, monitoring and evaluation.

**You may receive an NCVER student survey which may be administered by an NCVER employee, agent or third party contractor. You may opt out of the survey at the time of being contacted.**

NCVER will collect, hold, use and disclose your personal information in accordance with the *Privacy Act 1988* (Cth), the VET Data Policy and all NCVER policies and protocols (including those published on NCVER's website at [www.ncver.edu.au](http://www.ncver.edu.au)).

#### Student Consent

I consent to the collection, use and disclosure of my personal information in accordance with the Privacy Notice above.

Signature: X	Date:        /        /
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### FINANCIAL MARKETS CORE & FOREIGN EXCHANGE MARKETS DECLARATION

*Only sign this declaration if registering for either Core or FX modules.*

I, the student, confirm that I am aware of the submission dates for my cohort (refer to summary of dates). This includes due dates for all online lessons, quizzes, discussion activities, group activities and assessment tasks that I may be required to complete. If I am unable to meet a particular deadline I will advise AFMA as soon as feasible.

Signature: X	Date:        /        /
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## 7. TERMS AND CONDITIONS

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### PAYMENT TERMS

- Invoices issued upon enrolment and are payable within 30 days of being issued.
- Enrolments made by credit card will automatically be issued a tax invoice receipt.

### CANCELLATIONS

- All requests for refunds must be in writing to [education@afma.com.au](mailto:education@afma.com.au). Students must notify AFMA in writing at least 10 working days prior to the commencement date\* to obtain a full refund.
- Students who cancel from a program within 10 working days from the commencement date\* are liable for an administration fee of \$110.00 inc GST.
- Refunds are not available for change of mind, job change, change in work hours, inconvenience of travel to training venue, moving interstate, redundancy, retrenchment, financial hardship.

### TRANSFERS

- Requests to transfer an enrolment to another workshop or cohort must be made at least 10 working days prior to the commencement date\* with no fee being incurred. Students are allowed two transfers before an administration fee of \$110.00 inc GST is incurred.
- Requests for transfers within 10 working days of the commencement date\* will incur an administration fee of \$110.00 inc GST regardless of the number of prior transfer requests received.
- Requests to transfer a role play assessment or knowledge quiz booking must be made at least 3 working days prior to the attempt date with no fee being incurred. Requests for transfer within 3 working days at the attempt date will incur an administration fee of \$110.00 inc GST.
- AFMA reserves the right to transfer any student falling behind the recommended learning plan to a later workshop or cohort. Transfers made by AFMA are liable to an administration fee of \$110.00 inc GST.

### SUBSTITUTIONS

- Substitution of students can be made, with prior notification to AFMA, at any time up to the commencement date\* with no penalty, subject to the program eligibility criteria being met.
- Course material that has been issued to the initial student must be transferred to the new student. Permission from the original student (and payer) must be provided in writing. Any price variance will be charged.

### NON COMPLETION

- If a student fails to complete all, or part of a program within the required time frame, fees will not be refunded.

### GENERAL

- AFMA reserves the right to cancel, postpone or re-schedule a program due to low enrolments or unforeseen circumstances. Full refunds or transfers will be given in this instance.
- AFMA is not liable for any costs incurred by the student if the program is cancelled or postponed.
- AFMA reserves the right to change course fees, dates, content, speakers or method of presentation at its discretion.
- The information in all course marketing material was correct at the time of publication but may be subject to change.
- The views and opinions expressed by the presenter/s do not constitute legal or professional advice. Such views and opinions are not necessarily those of AFMA and are not endorsed by it. AFMA expressly disclaims all liability for reliance on information provided by the presenter/s.
- All personal information collected by AFMA is protected by the Privacy Act, 1988. Information collected on the enrolment form is for the purposes of processing registrations and creating and maintaining student records. Information will not be disclosed to third parties except where authorised or required by law. Please forward any enquiries you may have in relation to privacy to [info@afma.com.au](mailto:info@afma.com.au).

\* **Commencement date** – The commencement date for modules with a cohort structure is the official start date of the cohort. The commencement date for modules not within a cohort structure is the date of the workshop.

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#### All enquiries should be directed to:

**Tel:** (61 2) 9776 7900  
**Email:** [education@afma.com.au](mailto:education@afma.com.au)  
**Web:** [www.afma.com.au](http://www.afma.com.au)

AFMA Education & Training (RTO ID 91407)  
GPO Box 3655  
Sydney NSW 2001