



Application - Renewal of Accredited Adviser

Use this form if:

- You are a Market Participant applying to have the accreditation of your Accredited Adviser(s) renewed under MIR 2.4.14; and
- Each Accredited Adviser specified by the Market Participant in Appendix 1 meets the requirements of MIR 2.4.13.

To complete an application for renewal you must:

- Complete this form; and
- Complete Appendix 1 by nominating each Accredited Adviser in respect of which this renewal application has been made (Market Participant is required to submit Appendix 1 with this application); and
- Append a completed ASIC Privacy form for each Accredited Adviser nominated by the Market Participant in Appendix 1 (each Accredited Adviser is required to individually complete the ASIC Privacy form).

This application form and all supporting documents must be lodged by 23 November 2012.

Lodgement Details

Who should ASIC query about this form?

ASIC registered agent number (if applicable)

Firm/ organisation

Contact name/ position description

Telephone number (during business hours)

Email Address

Postal address

Suburb/ City

State/ Territory

Postcode

Market Participant Details

Market Participant

ACN

Australian financial services licence number

Postal address

Suburb/ City

State/ Territory

Postcode

Details of the submitting officer

The submitting officer must be a director, partner, Responsible Executive or Compliance Manager of the Market Participant

Family Name

Given Names

Position

Email Address

Telephone Number (during business hours)

Facsimile number

Declarations

Each Accredited Adviser in respect of which this application has been made has been nominated in Appendix 1.

Each Accredited Adviser named in Appendix 1 is a Representative of the Market Participant and meets the requirements of MIR 2.4.13(1)(b).

Documents to be attached

Appendix 1 (nominating each Accredited Adviser to which this application relates).

ASIC Privacy form (an individual form is required for each person nominated in Appendix 1).

Signature

I certify that the information in this form is true and complete

Name

Position

- Director
- Partner
- Responsible Executive
- Compliance Manager

Signature

Date (DD/MM/YYYY)

Lodgement

Email completed forms to market.participants@asic.gov.au:
1. Scan and attach completed Application and ASIC Privacy form(s); and
2. Attach a soft copy of Appendix 1.

For help or more information

Telephone 1300 029 454
Email: market.participants@asic.gov.au
Web www.asic.gov.au

Application for renewal and supporting documents must be lodged with ASIC by 23 November 2012



Notice of disclosure of personal information of Accredited Adviser

“ASIC Privacy form”

Attachment to form M72 Application- Renewal of Accredited Adviser

Use this form if:

- You are an Accredited Adviser under the ASIC Market Integrity Rules (ASX Market) 2010 (“MIR”) and are applying for renewal of that accreditation

Notice of the disclosure of personal information of Accredited Advisers

As you are an Accredited Adviser, the Australian Securities and Investments Commission (ASIC) has previously collected the following information about you:

- the name of the Market Participant of which you are a Representative;
- your name;
- your date of birth; and
- your category of accreditation.

ASIC is authorised to collect the information on this form by the Corporations Act 2001 and MIRs 2.4.6(2)(a), 2.4.7(2)(a), 2.4.8(2)(a) and 2.4.13(2)(b).

Personal information of Accredited Advisers is used by ASIC to:

- Assess the application for accreditation as an Accredited Adviser;
- Enable ASIC to maintain and monitor the register of Accredited Advisers, and
- Communicate with Accredited Advisers.

ASIC can give some or all of this information to other government agencies where that disclosure is required or authorised by legislation. ASIC usually gives some or all of this information to:

- The Market Participant who made the application for accreditation of the applicant;
- Members of the public who make an enquiry as to whether a certain adviser is accredited; and
- Providers of education courses for Accredited Advisers.

I, _____ am aware that personal information about me will be used and disclosed as described in this notice.

Signature of Accredited Adviser

Date (DD/MM/YYYY)

Signature