

TRAINING COURSES

October 2009 – June 2010

COURSES ON OFFER

Responsible Manager (½ day, 9am - 12:30pm)

- Sydney – 29 October
- Melbourne – 18 November
- Sydney – 10 December
- Melbourne – 20 January
- Sydney – 24 February
- Melbourne – 24 March
- Sydney – 29 April
- Melbourne – 20 May
- Sydney – 24 June

Responsible Manager Advanced (½ day 1.30pm – 5.00pm)

- Sydney – 29 October (pm)
- Melbourne – 18 November (pm)
- Sydney – 10 December (pm)
- Melbourne - 20 January
- Sydney – 24 February
- Melbourne – 24 March
- Sydney – 29 April
- Melbourne – 20 May
- Sydney – 24 June

Contract Management (9am – 5.00 pm)

- Melbourne – 16 November

COURSE DESCRIPTION

Responsible Manager of AFS Licensees

This course will provide an overview of the obligations required of Responsible Managers and refresh some of the fundamental features of the financial services reform regime. This includes consideration of licensee obligations of which RMs should be aware, the specific authorisations of their organisation's AFS licence, whether any personal liability attaches to the them as an RM and breach identification, assessment and reporting.

Responsible Manager Advanced

Completion of the Responsible Manager course is a prerequisite for undertaking this course. This Advanced course focusses on identifying required competencies of RMs and strategies for developing them. In particular, this workshop explores conflicts of interest, the role of RMs in fostering an appropriate culture, risk management and recent regulatory action case studies.

Participants will be required to bring documentation to the training including their organisation's full AFS Licence, Financial Services Guide and conflicts of interest policy/framework.

Contract Management

This one day course looks at contractual principles and the various stages of a contract – negotiating, terms of the contract, implementing, varying, terminating and enforcing the contract.

Consideration will be given to the way contracts are structured and interpreted, the legal risks that may arise and strategies for managing such risks.

This course will be conducted by Tim Nethercote and Grant Holley who together bring to this course 45 years of commercial legal practice. Accordingly, this course is based on practical experience advising in relation to actual contracts and disputes; not just legal theory!



NOTE: Testimonials are available on website: www.compliance-training.com.au. You can also look at the other courses that we have on offer.

GENERAL INFORMATION



1. Venue – Cliftons (unless otherwise advised)
Sydney – Foyer, 190 George Street
Melbourne – Level 1, 440 Collins Street
Brisbane – to be advised
2. Cost
\$500 pp (inc GST) RM Course
\$500 pp (inc GST) RM Advanced Course
\$850 pp (inc GST) Contract Management
3. Trainers (always 2 trainers)
Tim Nethercote/Grant Holley/Paul Derham
(Compact–Compliance & Corporate Training
www.compliance-training.com.au)
4. Course Format
Participants will learn through a mix of theory and practice. Training includes presentation, facilitation, group discussion, workshops, the provision of a manual and simulated tasks.
5. Course Inclusions
Manual, certificate of completion, morning/afternoon tea & lunch (for full day courses).
6. Registration
Complete the registration form on the following page and return it via email, fax or post. Registrations close 7 days prior to course. Places are restricted to encourage lively discussion, so we suggest you register asap!
7. Subject to Change
Compact reserves the right to make changes to course dates, venue and any other matter in relation to course delivery.
8. Cancellations
Registration may be transferred to another person up until the date of training, with written notice, and without incurring any additional fee. Cancellations prior to 7 days before will attract a cancellation fee of \$200. Cancellations on or after 7 days prior to the course will require payment of the full course fee.

* Please photocopy this form
for multiple registrations.

Training Courses REGISTRATION & TAX INVOICE

(ABN 30 339 960 335)

Please fill in the details below and return to *Compact – Compliance & Corporate Training*.

 F – 03 9670 5499
 M – GPO Box 3045, Melbourne, VIC 3001

 E – robyn@compliance-training.com.au
 P – Contact Robyn on (03) 9670 8056

1. Please tick the course/s you wish to attend:

Responsible Manager (Initial)

- Sydney – 29 October, 9am – 12.30pm
- Melbourne – 18 November – 9am – 12.30pm
- Sydney – 10 December, 9am – 12.30pm
- Melbourne – 20 January, 9am – 12.30pm
- Sydney – 24 February, 9am – 12.30pm
- Melbourne – 24 March, 9am – 12.30pm
- Sydney – 29 April, 9am – 12.30pm
- Melbourne – 20 May, 9am – 12.30pm
- Sydney – 24 June, 9am – 12.30pm

Responsible Manager Advanced

- Sydney – 29 October 1.30pm – 5.00pm
- Melbourne – 18 November 1.30pm – 5.00pm
- Sydney – 10 December, 1.30pm – 5.00pm
- Melbourne – 20 January, 1.30pm – 5.00pm
- Sydney – 24 February, 1.30pm – 5.00pm
- Melbourne – 24 March, 1.30pm – 5.00pm
- Sydney – 29 April, 1.30pm – 5.00pm
- Melbourne – 20 May, 1.30pm – 5.00pm
- Sydney – 24 June, 1.30pm – 5.00pm

Contract Management

- Melbourne – 19 November 9am – 5.00pm

- Please confirm you have previously attended *Compact's* initial Responsible Manager training course by ticking this box. This is a prerequisite to undertaking the Advanced course.**

Payment Details

2. Your full Name: _____

3. Company Name: _____

4. AFSL licensee no: (if app.) _____ 5. Contact number/s: _____

6. Email address: _____

7. Postal address: _____

8. *Payment: Amount: _____ (*Registration will only be confirmed upon payment.)

- Cheque enclosed (payable to 'Compact')
- Money transfer (BSB: 633 000, a/c: 1255 48297, ref: your name)
- Credit card *Please circle:* MASTERCARD / VISA

Card no. _____ Exp __ / __

CC Auth. no. ___

Cardholder name:

Cardholder signature: