



Government Gazette

OF

WESTERN AUSTRALIA

(Published by Authority at 4.0 p.m.)

(REGISTERED AT THE GENERAL POST OFFICE, PERTH, FOR TRANSMISSION BY POST AS A NEWSPAPER)

No. 91]

PERTH: MONDAY, 25th OCTOBER

[1971

SECURITIES INDUSTRY ACT, 1970

Crown Law Department,
Perth, 20th October, 1971

His Excellency the Governor in Executive Council, acting in pursuance of the provisions of section 84 of the Securities Industry Act, 1970 and section 11 of the Interpretation Act, 1918-1970, has been pleased to make the regulations set forth in the Schedule hereunder.

W. J. ROBINSON,
Under Secretary for Law

SCHEDULE

SECURITIES INDUSTRY REGULATIONS, 1971.

1. (1) These regulations may be cited as the Securities Industry Regulations, 1971. Citation and commencement.

(2) These regulations shall take effect on and from the date on which Part III of the Securities Industry Act, 1970 comes into operation.

2. In these regulations unless the contrary intention appears— Interpretation.

“accounts” means profit and loss accounts and balance sheets and includes notes (other than auditor’s reports) attached to or intended to be read with those profit and loss accounts or balance sheets;

“life office” means a corporation registered under a law of the Commonwealth relating to life insurance;

“liquid funds” means the amount of total tangible assets over total liabilities, all assets being valued at a fair value but not in excess of the market value thereof, but shall not include the value of the following:—

- (a) membership in a stock exchange;
- (b) furniture, fixtures, real estate and other fixed assets;
- (c) securities which have no ready market;
- (d) unsecured loans or advances made to a member or partner in a member firm of a stock exchange; or
- (e) amounts owed by clients the recovery of which is considered doubtful;

“regulation” means one of these regulations;

“superannuation scheme” means any scheme or fund the income of which is for the time being exempted from income tax pursuant to the provisions of sections 23(jaa) or 23(ja) of the Income Tax Assessment Act 1936, of the Commonwealth, as amended from time to time, or is a scheme or fund to which section 23F of that Act applied in relation to its last year of income; and

“the Act” means the Securities Industry Act, 1970.

- Forms.** 3. Subject to these regulations, where a provision of the Act or of these regulations is specified in the first column of the First Schedule to these regulations, the form set out in the Second Schedule to these regulations the number of which is specified in the third column of the First Schedule opposite to that provision is prescribed as the form to be used for the purposes of that provision in relation to the matter or thing described in the second column of the First Schedule opposite to that provision.
- Particulars prescribed by forms.** 4. Where a form, prescribed by these regulations requires completion by the insertion of, or the attachment to the form of a document containing particulars or other matters referred to in the form, those particulars or other matters are prescribed as the particulars or other matters required under the provisions of the Act or of these regulations for the purposes of which the form or document is prescribed.
- Directions in forms.** 5. A form prescribed by these regulations shall be completed in accordance with such directions as are specified in the form as so prescribed.
- General requirements for documents lodged with the Registrar.** 6. A document to be lodged with the Registrar in pursuance of the Act or these regulations shall comply with the following requirements:—
- (a) the document shall be on paper of medium weight and good quality and of foolscap size or a multiple of that size;
 - (b) the document shall be printed, typewritten or handwritten, and shall be clearly legible;
 - (c) except with the consent of the Registrar, the document shall not be a carbon copy;
 - (d) the document shall have margins of not less than one inch on the left hand side and not less than one half of an inch on the right hand side;
 - (e) where the document comprises two or more sheets—
 - (i) the sheets shall be bound together securely; and
 - (ii) each sheet shall have a margin of not less than one inch on the side on which it is bound in addition to any space required for binding;
 - (f) the document shall have endorsed upon it the name, address and telephone number of the person by or on whose behalf the document is lodged, together with the following words:—

“Lodged in the Office of the Registrar of Companies
on
Deputy Registrar of Companies”.
- Manner of application for licence.** 7. (1) An application for a licence or renewal of a licence in the form prescribed together with any relevant annexures shall be enclosed in a sealed envelope and lodged in the Office of the Registrar.
- (2) Each application for a dealer’s or investment adviser’s licence shall be accompanied by a detailed statement of the applicant’s assets and liabilities signed by the applicant or, in the case of an applicant corporation, a copy certified by a director or secretary of the corporation to be a true copy of the last balance sheet and of the last profit and loss account which have respectively been audited by the company’s auditors (including every document required by law to be annexed or attached thereto) together with a copy of the report of the auditors thereon (certified as aforesaid).
- (3) The outside of the sealed envelope referred to in subregulation (1) of this regulation shall be clearly marked:
- “Application for a licence as
or
“Application for renewal of licence as
”
- as applicable, and shall have endorsed upon it the name and address and telephone number of the person by, or on whose behalf the application is lodged.

(4) An application for approval as a stock exchange shall be made in the prescribed form, shall be accompanied by a copy of the rules, certified to be a true copy thereof, by the person signing the application and shall be lodged in the Office of the Registrar.

8. The following fees shall be payable to the Registrar:— **Fees.**

- (a) on each application for a licence as a dealer or investment adviser, except a licence for a corporation—
 - (i) if a new licence, \$30.00;
 - (ii) if by way of renewal, \$20.00.
- (b) on each application for a licence as a dealer's representative or investment representative, whether a new licence or by way of renewal, \$4.00.
- (c) on each application for a licence as a dealer or investment adviser for a corporation—
 - (i) if a new licence, \$60.00;
 - (ii) if by way of renewal, \$40.00.
- (d) on lodging or depositing any other document a fee of \$3.00.
- (e) for perusal of the register kept under subsection (1) of section 21 a fee of \$1.00.
- (f) on lodging an application for approval as a stock exchange a fee of \$500.

9. (1) A dealer, other than a corporation, shall cause accounts in the prescribed form in respect of the financial year ending on the 30th June to be prepared in relation to his business as a dealer. **Balance Sheet and Profit and Loss Account.**

(2) The assets and liabilities of the business shall be brought into account in the balance sheet at such amounts and shall be classified and described therein in such manner that the balance sheet gives a true and fair view of the state of affairs of the business as at the date to which it is made up.

(3) Each account prepared pursuant to subregulation (1) of this regulation shall be signed by the dealer concerned but in the case of accounts relating to the business of a firm it shall be sufficient if they are signed by one partner in the firm appointed in writing for that purpose by all the partners.

(4) A dealer which is a corporation shall prepare accounts in accordance with the provisions of the Companies Act, 1961 in respect of the financial year of the corporation within the meaning of that Act and shall attach to such accounts a statement in the prescribed form.

(5) A dealer other than a stockbroker or a corporation shall attach to his accounts prepared pursuant to this regulation a certificate made by him in the prescribed form.

10. Where a document is by the Act or these regulations required to be lodged with the Registrar but a period of time within which the document is to be lodged is not prescribed, the document shall be lodged within fourteen days after the happening of the event to which the document relates. **Time for lodging documents.**

11. Any person who contravenes or fails to comply with any provision of these regulations is liable to a fine of \$100. **Penalty provision.**

12. The auditor's report required to be lodged under subsection (2) of section 43 shall be in or to the effect of the appropriate prescribed form and shall contain the information and be accompanied by the documents necessary for due completion of the form. **Auditor's report.**

13. An agreement for the acquisition of securities by a life office which is incidental or ancillary to an agreement by the life office to provide a superannuation scheme or for the management of a superannuation scheme by the life office is an agreement of an exempt class. **Exempt class of agreements.**

First Schedule.
LIST OF FORMS.

FIRST COLUMN	SECOND COLUMN	THIRD COLUMN
Provisions of the Act or regulations for which Form prescribed	Description of Form	Number of Form in Second Schedule
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S. 14 (1)	Application for renewal of licence as dealer	2
S. 14 (1)	Application for licence as investment adviser	3
S. 14 (1)	Application for renewal of licence as investment adviser	4
S. 14 (1)	Application for licence as dealer's representative or investment representative	5
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S. 69 (4)	Notice of disallowance of claims against a fidelity fund	8
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Second Schedule.

Form 1.

Western Australia.

Securities Industry Act, 1970 (Section 14 (1)).

APPLICATION FOR LICENCE AS DEALER.

Application is hereby made for a dealer's licence under the Securities Industry Act, 1970, and the following statements of fact are made in respect thereof:

Note.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—

(a) Full name

(b) Residential address

Telephone No.

(c) Date of birth

(d) Name or names under which business is to be carried on:
is

- (e) Where the business is to be carried on:
 is _____ Telephone No. _____
- (i) at one address in Western Australia, state that address: _____
- (ii) at more than one address in Western Australia, state:
 the principal address: _____ Telephone No. _____
 —each other address: _____
- (f) Is the applicant a director of any company incorporated in Western Australia or elsewhere?
 (Answer "Yes" or "No". If "Yes", name the companies concerned and give dates of appointment.)
- (g) Does the applicant own shares in any corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?
 (Answer "Yes" or "No". If "Yes", give details.)

Note.—This application must be accompanied by a signed detailed statement of the applicants assets and liabilities.

2. Where the applicant is a corporation—

- (a) Name _____
- (b) Registered Office _____ Place of Incorporation _____
 is to be _____
- (c) Where business is carried on:
 is _____ Telephone No. _____
- (i) at one address in Western Australia, state that address: _____ Telephone No. _____
- (ii) at more than one address in Western Australia, state:
 —the principal address: _____ Telephone No. _____
 —each other address: _____
- (d) As regards each director and secretary—

Name	Office Held	Date of Appointment to that Office	Date of Birth	Residential Address

- (e) Is any director or secretary of the applicant corporation a director of any other corporation incorporated in Western Australia or elsewhere?
 (Answer "Yes" or "No". If "Yes", name the corporations concerned and give dates of appointment.)
- (f) Does any director or secretary of the applicant corporation hold shares in any other corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?
 (Answer "Yes" or "No". If "Yes", give details.)

Note.—In the case of a corporation, this application must be accompanied by the last audited balance sheet and profit and loss account certified as required by regulation 7 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;

- (b) there have, in their opinion, arisen any circumstances adversely affecting the corporation's trading or the value of its assets;
- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries;
- (e) there are, since the last annual report, any changes in published reserves or any unusual factors affecting the profit of the corporation and its subsidiaries.

3. Has the applicant or any director or secretary of an applicant corporation been—

- (a) licensed, registered or otherwise authorised to carry on any trade, business or profession, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (b) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)

4. (a) Is the applicant or any director or secretary of an applicant corporation a member or partner in a member firm of a stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(b) Has the applicant or any director or secretary of an applicant corporation been—

- (i) refused membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details, including name of stock exchange and reason for refusal).
- (ii) suspended as a member of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)

(c) If answer to paragraph (a) above is "Yes", has the applicant or the member firm of which he is a partner been granted an exemption from the capital requirements by the Committee of that exchange as provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(d) Has the applicant any objection to the Registrar insisting upon a requirement that the liquid funds (as defined in these regulations) of the applicant's business is not less than \$50,000 or 5 per cent of total liabilities whichever is the greater?

(Answer "Yes" or "No". If "Yes", give reasons.)

5. Has the applicant or any director or secretary of an applicant corporation ever carried on business under or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details.)

6. Has the applicant, or any director or secretary of an applicant corporation, ever—

- (a) been convicted of an offence other than traffic offences, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (b) had judgment given against him in any civil proceeding, wherein fraud was alleged, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (c) at any time been declared bankrupt or made an assignment for the benefit of his creditors, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (d) been refused a fidelity or surety bond, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)

7. Set out below details of any persons in partnership with whom the applicant intends carrying on business:

Name	Address	Telephone No.

8. (a) Where the applicant is an individual—set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the applicant's character and conduct:

Name	Address	Occupation

(b) Where the applicant is a corporation—set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom each director and secretary of the applicant corporation has had regular contact over the past five years and of whom the Registrar may enquire regarding the character and conduct of the respective director or secretary:

Name	Address	Occupation	Name of director or secretary in respect of whom enquiries may be made

9. Has the applicant, or any director or secretary of the applicant corporation had any experience in performing the functions of a dealer as defined in the Securities Industry Act, 1970?

(Answer "Yes" or "No". If "Yes", give details of experience over at least the immediately preceding five years).

10. Set out below any additional information (e.g. formal qualifications etc.) considered relevant to the application:

11. The place at which the register of interest in securities will be kept is:

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this

day of

19

Signed
Capacity

(Whether as applicant or director or secretary of an applicant corporation.)

NOTE.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that "a person who in connection with an application for a licence wilfully makes a statement false or misleading in a material particular knowing it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act. Penalty: \$1000 or imprisonment for one year, or both".

FORM 2.
Western Australia.

Securities Industry Act, 1970 (Section 14 (1)).

APPLICATION FOR RENEWAL OF LICENCE AS DEALER.

Application is hereby made for renewal of dealer's licence No. _____ issued on _____ under the Securities Industry Act, 1970, and the following statements of fact are made in respect thereof:

NOTE.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—
 - (a) Full name
 - (b) Residential address Telephone No.
 - (c) Date of birth
 - (d) Name or names under which business is being carried on:
 - (e) Where the business is being carried on:
 - (i) At one address in Western Australia, state that address:
 - (ii) at more than one address in Western Australia, state:
the principal address: Telephone No.
each other address:
2. Where the applicant is a corporation—
 - (a) Name
 - (b) Registered Office
 - (c) Where business is being carried on:
 - (i) at one address in Western Australia, state that address:
 - (ii) at more than one address in Western Australia, state:
the principal address: Telephone No.
each other address:
 - (d) As regards each director and secretary—

Name	Office Held	Date of Appointment to that Office	Date of Birth	Residential Address	Telephone No.

3. Since the date of previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation been—
 - (a) licensed, registered or otherwise authorised to carry on any trade, business or profession, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
 - (b) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
4. (a) Is the applicant or any director or secretary of an applicant corporation a member or partner in a member firm of a stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)
 - (b) Since the date of the previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation been—
 - (i) refused membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)
 - (ii) suspended from membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)

- (c) If the answer to paragraph (a) above is "Yes", has the applicant or the member firm of which the applicant is a partner been granted any exemption from capital requirements by the Committee of the stock exchange as provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

- (d) Since the date of the previous application for licence or renewal has the applicant or any director or secretary of an applicant corporation—

- (i) been appointed to or ceased to act as a director of any corporation incorporated in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", name the corporations concerned and give the dates of change.)

- (ii) acquired or disposed of shares in any other corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?

(Answer "Yes" or "No". If "Yes", give details.)

5. Since the date of previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation carried on business under or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details.)

6. Since the date of previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation—

- (a) been convicted, in Western Australia or elsewhere, of any offence other than traffic offences?

(Answer "Yes" or "No". If "Yes", give details.)

- (b) had judgment given against him in any civil proceeding, in Western Australia or elsewhere, wherein fraud was alleged?

(Answer "Yes" or "No". If "Yes", give details.)

- (c) been declared bankrupt, or made an assignment for the benefit of his creditors, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

- (d) been refused a fidelity or surety bond, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

7. Set out below details of any persons in partnership with whom the applicant carries on business:

Name	Address	Telephone No.

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this

day of

19

Signed

Capacity

(Whether as applicant or director or secretary of an applicant corporation).

Note.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that: "a person who in connection with an application for a renewal of a licence wilfully makes a statement false or misleading in a material particular knowing it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act. Penalty: \$1,000 or imprisonment for one year, or both".

Form 3.
Western Australia.
Securities Industry Act, 1970 (Section 14 (1)).
APPLICATION FOR LICENCE AS INVESTMENT ADVISER.

Application is hereby made for an investment adviser's licence under the Securities Industry Act, 1970, and the following statements of fact are made in respect thereof:

Note.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—
 - (a) Full name
 - (b) Residential address Telephone No.
 - (c) Date of Birth
 - (d) Name or names under which business ^{is} is to be carried on:
 - (e) Where the business ^{is} is to be carried on:
 - (i) at one address in Western Australia, state that address:
 - (ii) at more than one address in Western Australia, state:
the principal address: Telephone No.
each other address:
 - (f) Is the applicant a director of any company incorporated in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
 - (g) Does the applicant own shares in any corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?
(Answer "Yes" or "No". If "Yes", give details.)

Note.—This application must be accompanied by a signed detailed statement of the applicant's assets and liabilities.

2. Where the applicant is a corporation—
 - (a) Name
 - (b) Registered Office Place of Incorporation
 - (c) Where business ^{is} is to be carried on:
 - (i) at one address in Western Australia, state that address: Telephone No.
 - (ii) at more than one address in Western Australia, state:
the principal address: Telephone No.
each other address:

(d) As regards each director and secretary—

Name	Office Held	Date of Appointment to that Office	Date of Birth	Residential Address	Telephone No.

- (e) Is any director or secretary of the applicant corporation a director of any other corporation incorporated in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", name the corporations concerned and give dates of appointment).

- (f) does any director or secretary of the applicant corporation hold shares in any other corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?

(Answer "Yes" or "No". If "Yes", give details.)

NOTE.—In the case of a corporation this application must be accompanied by the last audited balance sheet and profit and loss account certified as required by regulation 7 together with a report by the directors as to whether after due enquiry by them in relation to the interval between the date to which the last accounts have been made up and a date not earlier than fourteen days before the date of the application—

- (a) the business of the corporation has, in their opinion, been satisfactorily maintained;
- (b) there have, in their opinion, arisen any circumstances adversely affecting the company's trading or the value of its assets;
- (c) the current assets appear in the books at values which are believed to be realisable in the ordinary course of business;
- (d) there are any contingent liabilities by reason of any guarantees given by the corporation or any of its subsidiaries;
- (e) there are, since the last annual report, any changes in published reserves or any unusual factors affecting the profit of the corporation and its subsidiaries.

3. Has the applicant or any director or secretary of an applicant corporation been—

- (a) licensed, registered or otherwise authorised to carry on any trade, business or profession, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

- (b) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

4. (a) Is the applicant or any director or secretary of an applicant corporation a member or partner in a member firm of a stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

- (b) Has the applicant or any director or secretary of an applicant corporation, been—

- (i) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details, including name of stock exchange and reason for refusal.)

- (ii) suspended from membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

- (c) If the answer to paragraph (a) above is "Yes", has the applicant or member firm of which he is a partner been granted an exemption from the capital requirements by the Committee of that exchange as provided in the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

5. Has the applicant or any director or secretary of an applicant corporation ever carried on business under or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details.)

6. Has the applicant, or any director or secretary of an applicant corporation, ever—

- (a) been convicted of any offence other than traffic offences, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

- (b) had judgment given against him in any civil proceedings, wherein fraud was alleged, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (c) at any time been declared bankrupt or made an assignment for the benefit of his creditors, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
- (d) been refused a fidelity or surety bond, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)

7. Set out below details of any persons in partnership with whom the applicant intends carrying on business:

Name	Address	Telephone No.

8. (a) Where the applicant is an individual—set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the applicant's character and conduct:

Name	Address	Occupation

(b) Where the applicant is a corporation—set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom each director and secretary of the applicant corporation has had regular contact over the past five years and of whom the Registrar may enquire regarding the character and conduct of the respective director or secretary:

Name	Address	Occupation	Name of director or secretary in respect of whom enquiries may be made

9. State in detail:

- (a) the nature of the activity to be carried on which obliges the applicant to apply for an investment advisers licence:
- (b) the extent of experience claimed to qualify the applicant for a licence as an investment adviser:
- (c) the nature of any other business carried on by the applicant:
- (d) is the business of investment adviser the principal business carried on by the applicant?
(Answer "Yes" or "No". If "No", give details of principal business).

10. Set out below any additional information (e.g. formal qualifications, etc.) considered relevant to the application:

11. The place at which the register of interest in securities will be kept is:

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this _____ day of _____ 19 _____

Signed

Capacity

(Whether as applicant or director or secretary of an applicant corporation).

NOTE.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that "a person who in connection with an application for a licence wilfully makes a statement false or misleading in a material particular knowing it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act. Penalty: \$1,000 or imprisonment for one year, or both".

FORM 4.

Western Australia.

Securities Industry Act, 1970 (Section 14 (1)).

APPLICATION FOR RENEWAL OF LICENCE AS INVESTMENT ADVISER.

Application is hereby made for renewal of investment adviser's licence No. _____ issued on _____ under the Securities Industry Act, 1970, and the following statements of fact are made in respect thereof:

NOTE.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexures should be identified as such and signed by the signatory to this application.

1. Where the applicant is an individual—

(a) Full name

(b) Residential address

Telephone No.

(c) Date of birth

(d) Name or names under which business is carried on:

(e) Where the business is carried on—

(i) at one address in Western Australia,
state that address

Telephone No.

(ii) at more than one address in Western Australia, state:
the principal address:
each other address:

Telephone No.

2. Where the applicant is a corporation—

(a) Name

(b) Registered Office

Telephone No.

(c) Where business is carried on—

(i) at one address in Western Australia,
state that address:

Telephone No.

(ii) at more than one address in Western Australia, state:
the principal address:
each other address:

Telephone No.

(d) As regards each director and secretary—

Name	Office Held	Date of Appointment to that Office	Date of Birth	Residential Address	Telephone No.

3. Since the date of previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation been—

(a) licensed, registered or otherwise authorized to carry on any trade, business or profession, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

(b) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

4. (a) Is the applicant or any director or secretary of an applicant corporation a member or partner in a member firm of a stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(b) Since the date of previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation been—

(i) refused membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(ii) suspended from membership of any stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(c) If the answer to paragraph (a) above is "Yes", has the applicant or the member firm of which he is a partner been granted any exemption from capital requirements by the Committee of that stock exchange as provided by the rules of that stock exchange?

(Answer "Yes" or "No". If "Yes", give details.)

(d) Since the date of the previous application for licence or renewal has the applicant or any director or secretary of an applicant corporation—

(i) been appointed to or ceased to act as a director of any other corporation incorporated in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", name the corporations concerned and give the dates of change.)

(ii) acquired or disposed of shares in any other corporation incorporated in Western Australia or elsewhere, the holding of which entitles him to exercise ten per cent. or more of the voting power of that corporation?

(Answer "Yes" or "No". If "Yes", give details.)

5. Since the date of the previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation carried on business under, or been known by, any name other than the name or names shown in this application?

(Answer "Yes" or "No". If "Yes", give details.)

6. Since the date of the previous application for licence or renewal, has the applicant or any director or secretary of an applicant corporation—

(a) been convicted, in Western Australia or elsewhere, of any offence other than traffic offences?

(Answer "Yes" or "No". If "Yes", give details.)

(b) had judgment given against him in any civil proceedings, in Western Australia or elsewhere, wherein fraud was alleged?

(Answer "Yes" or "No". If "Yes", give details.)

(c) been declared bankrupt or made an assignment for the benefit of his creditors, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

(d) been refused a fidelity or surety bond, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

7. Set out below details of any persons in partnership with whom the applicant carries on business:

Name	Address	Telephone No.

8. (a) State in detail the nature of the activity being carried on which obliges the applicant to hold an investment adviser's licence:

(b) State the nature of any other business being carried on by the applicant:

(c) Is the business of investment adviser the principal business being carried on by the applicant?

(Answer "Yes" or "No". If "No", give details of the applicant's principal business.)

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this _____ day of _____ 19 .

Signed _____
Capacity _____
(Whether as applicant or director or secretary of applicant corporation.)

Note.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that: "a person who in connection with an application for the renewal of a licence wilfully makes a statement false or misleading in a material particular knowing it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act.

Penalty: \$1,000 or imprisonment for one year, or both."

Form 5.

Western Australia.

Securities Industry Act, 1970 (Section 14 (1)).

APPLICATION FOR LICENCE AS DEALER'S REPRESENTATIVE/
INVESTMENT REPRESENTATIVE.

Application is hereby made for a licence as _____
* Dealer's Representative
* Investment Representative

and the following statements of fact are made in respect thereof:

* Delete whichever inapplicable.

Note.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.

1. (a) Full name of applicant
 (b) Residential address Telephone No.
 (c) Date of birth
 (d) Present occupation
 (e) Name of principal
 (f) Business address of principal
 (g) Nature of business conducted by principal
2. Has the applicant been—
 - (a) licensed, registered or otherwise authorized to carry on any trade, business or profession, in Western Australia or elsewhere?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (b) refused the right to carry on any trade, business or profession for which a specific licence, registration or other authority is required?
 (Answer "Yes" or "No". If "Yes", give details.)
3. Has the applicant ever been—
 - (a) a member or partner in a member firm of any stock exchange?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (b) refused membership of any stock exchange?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (c) suspended from membership of any stock exchange?
 (Answer "Yes" or "No". If "Yes", give details.)
4. Has the applicant ever carried on business under, or been known by, any name other than the name given in paragraph 1 (a) of this application?
 (Answer "Yes" or "No". If "Yes", give details.)
5. Has the applicant ever—
 - (a) been convicted in Western Australia or elsewhere of any offence other than traffic offences?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (b) had judgment given against him in any civil proceedings, in Western Australia or elsewhere, wherein fraud was alleged?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (c) at any time in Western Australia or elsewhere been declared bankrupt or made an assignment for the benefit of his creditors?
 (Answer "Yes" or "No". If "Yes", give details.)
 - (d) been refused a fidelity or surety bond in Western Australia or elsewhere?
 (Answer "Yes" or "No". If "Yes", give details.)
6. Set out below details of two persons (neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Registrar may enquire regarding the applicant's character and conduct:

Name	Address	Occupation

7. Set out below any additional information (e.g., formal qualifications, etc.) considered relevant to the success of this application:

6. The place at which the register of my interest in securities will be kept is:

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this _____ day of _____, 19 _____
 Signed _____

NOTE.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that "a person who in connection with an application for a licence wilfully makes a statement false or misleading in a material particular knowing

it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act. Penalty: \$1,000 or imprisonment for one year or both".

CERTIFICATE OF PRINCIPAL.

To the Registrar:

On the basis of due and diligent enquiry made of the background of the applicant named in this form who is in my direct employment or acting for or on behalf of me, and other information available, I believe him to be of good character and reputation and to have the competence and experience to perform the functions of a representative intended to be vested in him during the next succeeding twelve months.

Dated this _____ day of _____, 19 ____
Principal's License No. _____ Signature _____
Address _____

Capacity—

(whether as licensee or as director or secretary of the corporation holding the licence).

Form 6.

Western Australia.

Securities Industry Act, 1970 (Section 14 (1)).

APPLICATION FOR RENEWAL OF LICENCE AS *DEALER'S
*INVESTMENT
REPRESENTATIVE.

Application is hereby made for renewal of *Dealer's Representative licence
No. _____ issued on _____ under the Securities
Industry Act, 1970, and the following statements of fact are made in respect thereof:
*Delete whichever is inapplicable.

NOTE.—If space insufficient to provide details where necessary, please attach annexure(s). Any such annexure should be identified as such and signed by the signatory to this application.

1. (a) Full name of applicant
(b) Residential address Telephone No.
(c) Date of birth
(d) Present occupation
(e) Name of principal
(f) Business address of principal
(g) Nature of business conducted by principal
2. Since the date of the previous application for licence or renewal, has the applicant been—
 - (a) licensed, registered or otherwise authorized to carry on any trade, business or profession, in Western Australia or elsewhere?
(Answer "Yes" or "No". If "Yes", give details.)
 - (b) refused the right to carry on any trade, business or profession, in Western Australia or elsewhere, for which specific licence, registration or other authority is required?
(Answer "Yes" or "No". If "Yes", give details.)
3. (a) Is the applicant a member or partner in a member firm of a stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)

(b) Since the date of the previous application for licence or renewal, has the applicant been—

(i) refused membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)

(ii) suspended from membership of any stock exchange?
(Answer "Yes" or "No". If "Yes", give details.)

4. Since the date of the previous application for licence or renewal, has the applicant carried on a business under, or been known by, any name other than the name given in paragraph 1 (a) of this application?

(Answer "Yes" or "No". If "Yes", give details.)

5. Since the date of the previous application for licence or renewal, has the applicant—

(a) been convicted, in Western Australia or elsewhere, of any offence other than traffic offences?

(Answer "Yes" or "No". If "Yes", give details.)

(b) had judgment given against him in any civil proceeding, in Western Australia or elsewhere, wherein fraud was alleged?

(Answer "Yes" or "No". If "Yes", give details.)

(c) been declared bankrupt or made an assignment for the benefit of his creditors, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

(d) been refused a fidelity or surety bond, in Western Australia or elsewhere?

(Answer "Yes" or "No". If "Yes", give details.)

I declare that all information given in this application and in the attached annexures (if any) is true and correct.

Dated this _____ day of _____, 19 ____ .
Signed _____

Note.—Attention is directed to section 16 of the Securities Industry Act, 1970, which provides that: "a person who in connection with an application for the renewal of a licence wilfully makes a statement false or misleading in a material particular knowing it to be false or misleading or wilfully omits to state any matter or thing without which the application is misleading in a material respect commits an offence against this Act. Penalty: \$1,000 or imprisonment for one year, or both".

Certificate of Principal.

To the Registrar:

On the basis of due and diligent enquiry made of the background of the applicant named in this form who is in my direct employment or acting for or on behalf of me, and other information available, I believe him to be of good character and reputation and to have the competence and experience to perform the functions of a representative intended to be vested in him during the next succeeding twelve months.

Dated this _____ day of _____, 19 ____ .

Principal's Licence No. _____

Signature _____

Address _____

Capacity—

(whether as licensee or as director or secretary of the corporation holding the licence).

Form 7.

Western Australia.

Securities Industry Act, 1970 (Section 68(1)).

NOTICE CALLING FOR CLAIMS AGAINST STOCK EXCHANGE FIDELITY FUND.

In the matter of _____ of _____ in the State of Western Australia.

Notice is hereby given that all persons claiming to have suffered pecuniary loss from a defalcation committed on or after the _____ day of _____ 19 _____, by the abovenamed _____ of any money or other property entrusted to or received by him are required to deliver to the Trustees of the fidelity fund of The Stock Exchange of Perth Limited particulars of their claims on or before the _____ day of _____ 19 _____.

Subject to section 68 of the Act claims not received by the Trustees of the fidelity fund on or before such date will not be admitted and no payment in respect thereof will be made from the fidelity fund.

Dated this _____ day of _____, 19 _____.

For the Trustees of the fidelity fund of The Stock Exchange of Perth Limited.

Form 8.

Western Australia.

Securities Industry Act, 1970 (Section 69(4)).

NOTICE OF DISALLOWANCE OF CLAIM AGAINST STOCK EXCHANGE FIDELITY FUND.

To:

In the matter of _____ of _____ in the State of Western Australia.

The Trustees of the fidelity fund of The Stock Exchange of Perth Limited have considered your claim against the said Fidelity Fund in respect of pecuniary loss alleged to have been suffered from a defalcation by the abovenamed * member * partner in a member firm of this exchange.

The Trustees have decided that having regard to all available evidence, the claim should be * disallowed * partly disallowed to the extent set out hereunder and you are hereby notified accordingly.

Dated this _____ day of _____ 19 _____.

Signed

for and on behalf of the Trustees.

(Note.—Attention is directed to Section 69(5) of the Securities Industry Act, 1970 which provides that: "Proceedings against a stock exchange in respect of a claim that has been disallowed by the trustees shall not be commenced after the expiration of three months from the date of service of notice of disallowance.")

* Strike out whichever is inapplicable.

Form 9.
Western Australia.
Securities Industry Act, 1970 (Section 19(1)).
NOTICE OF CESSATION OF BUSINESS.

To: Registrar of Companies

Name of Licensee

Type of Licence

Notice is hereby given that on the _____ day of _____ 19____, business ceased to be carried on in Western Australia by the abovementioned licensee in respect of which * he was licensed to carry on business.
* it

Signed at _____ this _____ day of _____ 19____ .
(a)

(Usual Signature of Licensee).

Signed at _____ by _____ * director/manager/secretary/agent
of _____ Limited on the _____ day of _____ 19____ .

(b)

(Usual Signature).

(a) Where the licensee is an individual this Statement must be signed by the licensee personally or by some other person authorised in writing to sign the Statement on his behalf.

(b) Where the licensee is a corporation the Statement is to be signed by a director, manager or secretary of the corporation or in relation to a corporation registered under Division 3 of Part XI, of the Companies Act, 1961, by the agent of the corporation appointed for the purpose of that Division.

* Strike out whichever is inapplicable.

Form 10.
Western Australia.
Securities Industry Act, 1970 (Section 19(1)).

NOTICE OF CHANGE IN ADDRESS OF PRINCIPAL PLACE OF BUSINESS.

To: Registrar of Companies

Name of Licensee

Type of Licence

Address of principal place of business

The principal place of business has been changed from

Date of change _____ to _____

Signed at _____ this _____ day of _____ 19____ .
(a)

(Usual signature).

Signed at _____ by _____ * Director/manager/secretary/agent
of _____

(b)

(Usual signature).

(a) Where the licensee is an individual this Statement must be signed by the licensee personally or by some other person authorized in writing to sign the Statement on his behalf.

(b) Where the licensee is a corporation the Statement is to be signed by a director, manager or secretary of the corporation or in relation to a corporation registered under Division 3 of Part XI, of the Companies Act, 1961, by the agent of the corporation appointed for the purpose of that Division.

* Strike out whichever is inapplicable.

Form 11.

Western Australia.

Securities Industry Act, 1970 (Section 19(2)).

NOTICE OF CESSATION OF EMPLOYMENT.

To: Registrar of Companies

Name of Licensee

Type of Licence

Name of licensed * dealer/investment adviser in respect of whom representative's licence issued.

Date on which licensee ceased to be a representative of that person.

Signed at this day of 19 .
(Usual Signature).

* Strike out whichever is inapplicable.

Form 12.

Western Australia.

Securities Industry Act, 1970 (Section 25 (1)).

REGISTER OF SECURITIES.

Name of Person having interest

Name of Corporation or body in which securities held

Class of Security

Nominal value of each unit

Paid up value of each unit

Date of Entry	Particulars*†	Unit Price	Acquired		Disposed of		Balance in units
			No. of Units	Cost	No. of Units	Proceeds	

*State in addition to nature of interest, the date when and how securities acquired or disposed of and if acquired or disposed of on the stock market, give broker's name.

†State full particulars of any change in the interest including the date of the change and the circumstances by reason of which that change has occurred.

Form 13.

Western Australia.

Securities Industry Act, 1970 (Section 26(1)).

NOTICE RELATING TO REGISTER OF SECURITIES.

To: Registrar of Companies

Name:

Capacity in which division 2 of Part III applies:

Residential Address:

Telephone No.

State whether:

*self-employed

*a member of the firm of

*employed by

Date of commencement of keeping of the register of securities:

Place at which register of securities is to be kept:

In addition the following details are to be supplied in the case of a financial journalist:

Titles of bona fide newspapers or periodicals to which advice concerning securities is contributed for publication or for which analyses or reports concerning securities are prepared.

Signed at this day of 19 .

(Usual signature).

*Strike out whichever is inapplicable.

FORM 14.

Western Australia.

Securities Industry Act, 1970 (Section 26(1)).

NOTICE OF CHANGE OF PLACE WHERE REGISTER OF SECURITIES IS KEPT.

TO: REGISTRAR OF COMPANIES

Name:

Capacity in which Division 2 of Part III applies.

Residential Address:

Business Address:

Telephone No.

Place where register of securities is now kept:

Place where register of securities was kept previously:

Date of Change:

Signed at:

this day of 19 .

(Usual signature).

FORM 15.

Western Australia.

Securities Industry Act, 1970 (Section 26(4)).

NOTICE OF CESSATION OF KEEPING OF REGISTER OF SECURITIES.

TO: REGISTRAR OF COMPANIES

Name:

Capacity in which Division 2 of Part III applies.

Residential Address:

Business Address:

Notice is hereby given that on the _____ day of _____ 19____, I ceased to be a person to whom Division 2 of Part III of the Securities Industry Act, 1970 applied and I ceased to keep a register of securities pursuant to that Act. Place where register of securities was kept prior to cessation:

Signed at _____ this _____ day of _____ 19____, (Usual signature),

FORM 16.

Western Australia.

Securities Industry Act, 1970 (Section 8 (1) and Regulation 7 (4)).

APPLICATION FOR APPROVAL OF BODY CORPORATE AS STOCK EXCHANGE.

Name of body corporate:

Date of incorporation:

Registered office:

Proposed name of stock exchange:

Place at which stock exchange will meet:

Hours of business:

Number of members of body corporate:

Number of members who will carry on business of dealing in securities independently of and in competition with each other:

Details of Individual Members

Name	Private Address	Date of Birth	Firm Name	Business Address	Business(es) Conducted by Firm	No. of years experience in dealing in securities

The Minister's approval is sought to the abovementioned body corporate as a stock exchange within the meaning of the Securities Industry Act, 1970.

Form 17.

Western Australia.

Securities Industry Act, 1970 (Regulation 9 (1)).

ACCOUNTS TO BE PREPARED BY A DEALER OTHER THAN
A CORPORATION

Name of Dealer:

Balance Sheet at 30 June, 19 .

	Last Year 19	This Year 19
	\$	\$
Proprietors' Funds	—	—
These funds are invested as follows:—		
<i>Current Assets—</i>		
Securities listed on a Stock Exchange—at lower of cost and market value (market value \$ —, last year \$ —)	—	—
Amounts owed by—		
Dealers (after providing for doubtful debts \$ —, last year \$ —)	—	—
Clients (after providing for doubtful debts \$ —, last year \$ —)	—	—
Sundry Debtors and prepayments	—	—
Deposits—		
At call	—	—
Other	—	—
Cash at bank—		
General Account	—	—
Trust Account	—	—
Cash on hand	—	—
Other current assets (specify)—		
—	—	—
—	—	—
	—	—
<i>Less Current Liabilities—</i>		
Bank overdraft	—	—
Sundry creditors	—	—
Amounts owed to—		
Dealers	—	—
Clients	—	—
Provision for—		
Deferred revenue	—	—
Staff bonus	—	—
Holiday pay	—	—
Long service leave	—	—
Other (specify)	—	—
Other current liabilities (specify)—		
—	—	—
—	—	—
	—	—
<i>Net Current Assets</i>	—	—
<i>Non-Current Assets—</i>		
Investments—		
Securities listed on a Stock Exchange—at cost (market value \$ —, last year \$ —)	—	—
Securities not listed on a Stock Exchange—at cost	—	—
Furniture, fittings, equipment, motor vehicles etc.—at cost less provision for depreciation \$ —, last year \$ —	—	—
Freehold property—at cost less provision for depreciation of buildings \$ —, last year \$ —	—	—
Other Non-Current Assets (specify)—		
—	—	—
—	—	—

Form 17—continued.

	Last Year		This Year	
	19		19	
	\$	\$	\$	\$
<i>Less Non-Current Liabilities (specify)—</i>				
—	—		—	
—	—		—	
	<u>—</u>		<u>—</u>	
	<u>—</u>		<u>—</u>	
<i>Net Non-Current Assets</i>		—		—
<i>Total Net Assets</i>		<u>—</u>		<u>—</u>

Profit and Loss Statement for the Year ended 30 June, 19

<i>Revenue—</i>				
Brokerage		—		—
Underwriting commission		—		—
Profits (losses) on trading in securities		—		—
Directors' fees		—		—
Dividends		—		—
Interest		—		—
Other revenue (specify)—				
—		—		—
—		—		—
		<u>—</u>		<u>—</u>
		<u>—</u>		<u>—</u>
<i>Less Expenses—</i>				
Bad Debts		—		—
Doubtful debts		—		—
Interest		—		—
Salaries (including bonuses but excluding partners' salaries)		—		—
Abnormal items (specify)		—		—
Other expenses		—		—
		<u>—</u>		<u>—</u>
		<u>—</u>		<u>—</u>
<i>Net Profit for the Year (before partners' salaries)....</i>		<u>—</u>		<u>—</u>

NOTES TO AND FORMING PART OF THE ACCOUNTS.

	Last Year		This Year	
	19		19	
	\$	\$	\$	\$
1. Contingent liabilities and capital commitments—				
(a) Underwritings and sub-underwritings—				
—		—		—
—		—		—
		<u>—</u>		<u>—</u>
		<u>—</u>		<u>—</u>
Less sub-underwritten amounts included above		—		—
		<u>—</u>		<u>—</u>
		<u>—</u>		<u>—</u>
(b) Options (to include endorsements and options written)		—		—
(c) Uncalled amounts on securities		—		—
(d) Other contingent liabilities—				
(a) Secured (specify)—				
—		—		—
—		—		—
		<u>—</u>		<u>—</u>
		<u>—</u>		<u>—</u>

Form 17—continued.

	Last Year		This Year	
	19		19	
	\$	\$	\$	\$
(b) Unsecured (specify)—				
—	—	—	—	—
—	—	—	—	—
(e) Capital commitments (specify)—				
—	—	—	—	—
—	—	—	—	—
2. *The balance sheet does not include as an asset seats held by the partners on (name of Stock Exchange)				
3. The balance sheet includes the following liabilities secured by assets included in the balance sheet (specify)	—	—	—	—
	—	—	—	—
4. <i>Liquid Funds</i> —				
Securities listed on a Stock Exchange (at a fair value not exceeding market value)	—	—	—	—
Amounts owed by—				
Dealers	—	—	—	—
Clients	—	—	—	—
Sundry debtors and prepayments	—	—	—	—
Deposits	—	—	—	—
Cash at bank	—	—	—	—
Other current assets not specifically excluded by Statutory Definition (specify)—	—	—	—	—
<i>Less</i> —				
Current liabilities (as per balance sheet)	—	—	—	—
Non-current liabilities (as per balance sheet)	—	—	—	—
<i>Liquid Funds</i>	—	—	—	—

* Delete if dealer(s) is/are not member(s) of a Stock Exchange.

These are the accounts of _____ at 30 June 19 ____ which have been drawn up in accordance with generally accepted accounting principles so as to show a true and fair view of the financial position at 30 June, 19 ____ and of the financial results for the year ended at that date.

** Dealer or
 ** Partners in the firm of

Dated this _____ day of _____ 19 ____ .

**To be signed by the dealer concerned or in the case of a firm by each partner in the firm or by one partner appointed in writing for this purpose by all the partners.

AUDITOR(S)' REPORT TO PROPRIETORS.

I/we report that in my/our opinion the accompanying accounts present a true and fair view of the financial position of _____ at 30 June 19 ____ and of its financial results for the year ended at that date.

Dated at _____ this _____ day of _____ 19 ____
 Auditor(s)

Form 18.

Western Australia.

Securities Industry Act, 1970 (Regulation 9(4)).

STATEMENT OF A DEALER WHICH IS A CORPORATION.

Name of Dealer:

1. The attached balance sheet and profit and loss statement, including the notes to and forming part of the accounts, are a true copy of the audited accounts of _____ for the year ended _____ and the attached auditor's report is a true copy of the auditor's report thereon.

2. The attached balance sheet and profit and loss statement have been drawn up in accordance with generally accepted accounting principles.

3. The following supplementary information is submitted in support of the attached balance sheet and profit and loss statement:—

	Last Year	This Year		
	19	19		
	\$	\$	\$	\$
(a) Debtors—				
Amounts owed by:—				
Dealers	—	—	—	—
Less provisions for doubtful debts	—	—	—	—
Clients	—	—	—	—
Less provision for doubtful debts	—	—	—	—
Other Debtors	—	—	—	—
Less provision for doubtful debts	—	—	—	—
	—	—	—	—
(b) Deposits—				
At call	—	—	—	—
Other	—	—	—	—
	—	—	—	—
(c) Cash at Bank—				
General accounts	—	—	—	—
Trust account	—	—	—	—
	—	—	—	—
(d) Creditors—				
Amounts owed to:—				
Dealers	—	—	—	—
Clients	—	—	—	—
Other creditors	—	—	—	—
	—	—	—	—
(e) Provisions—				
Income tax	—	—	—	—
Deferred revenue	—	—	—	—
Staff bonus	—	—	—	—
Holiday pay	—	—	—	—
Long service leave	—	—	—	—
Other (specify)	—	—	—	—
	—	—	—	—
(f) Profit and Loss Statement—				
<i>Revenue—</i>				
Brokerage	—	—	—	—
Underwriting commission	—	—	—	—
Profit (losses) on trading in securities	—	—	—	—
Director's fees	—	—	—	—
Dividends	—	—	—	—
Interest	—	—	—	—
Other revenue (specify)—	—	—	—	—
	—	—	—	—
	—	—	—	—

Form 18—continued.

	Last Year	This Year		
	19	19		
	\$	\$	\$	\$
<i>Less Expenses—</i>				
Bad debts	—	—		
Doubtful debts	—	—		
Interest	—	—		
Abnormal items (specify)	—	—		
Other expenses	—	—		
Profit for Year before Income Tax and Extraordinary Items...	—	—		
Less Provision for income tax	—	—		
Profit for Year before Extraordinary Items	—	—		
Extraordinary Items (specify)	—	—		
<i>Net Profit for the Year</i>	—	—		
(g) <i>Contingent Liabilities and Capital Commitments—</i>				
(i) Underwritings and subunderwritings	—	—		
Less subunderwritten amounts included above	—	—		
(ii) Options (to include endorsements and options written)	—	—		
(iii) Uncalled amounts on securities	—	—		
(iv) Other contingent liabilities and capital commitments—				
(a) secured (specify)—	—	—		
(b) unsecured (specify)—	—	—		
4. <i>Liquid Funds—</i>				
Securities listed on a Stock Exchange (at a fair value not exceeding market value)	—	—		
Amounts owed by—				
Dealers	—	—		
Clients	—	—		
Sundry debtors and prepayments	—	—		
Deposits	—	—		
Cash at bank	—	—		
Other current assets not specifically excluded by Statutory Definition (specify)—	—	—		
<i>Less—</i>				
Current liabilities (as per balance sheet)	—	—		
Non-current liabilities (as per balance sheet)	—	—		
<i>Liquid Funds</i>	—	—		

We certify that the above information is to the best of our knowledge and belief true and correct.

Director.
Dated this

day of

Principal Accounting Officer.
19

Form 18—continued.

AUDITOR'S(S)' REPORT.

I/we report that in my/our opinion the above schedule of supplementary information relating to the accounts of _____ has been properly drawn up so as to provide the information required by the Securities Industry Regulations, 1971.

Dated at _____ this _____ day of _____ 19 _____
Auditor(s).

Form 19.

Western Australia.

Securities Industry Act, 1970 (Regulation 9 (5)).

CERTIFICATE OF A DEALER OTHER THAN A STOCK BROKER
OR A CORPORATION.

I, _____ of _____
in the State of Western Australia, being the holder of Dealer's Licence No. _____
*a partner in the firm of _____
and _____
*carrying on business as _____
do certify that on 30th June, 19 _____, to the best of my knowledge and belief—
(*complete whichever is applicable.)

1. My liabilities of any nature (including the excess if any, of the estimated Income Tax payable over the provisional tax paid for the year ended 30th June 19 _____, but excluding contingent liabilities under paragraph 2 hereof) not included in the audited Balance Sheet of the firm as at 30th June, 19 _____, and signed by me, or on my behalf, did not exceed the sum of \$ _____ (in words _____ dollars).

The analysis of my liabilities in terms of the time they will fall due are as follows:

(a) due not later than one year	\$
(b) due later than one year but not later than three years	\$
(c) due later than three years	\$

2. My liabilities of a contingent nature (excluding liability for uncalled capital in a company which has paid a dividend during the preceding twelve months) not stated in the said Balance Sheet did not exceed the sum of \$ _____ (in words _____ dollars).

The analysis of my liabilities of a contingent nature in terms of the time they would be most likely to fall due (if at all) are as follows:

(a) due not later than one year	\$
(b) due later than one year but not later than three years	\$
(c) due later than three years	\$

3. The realisable value of my assets not included in the said Balance Sheet, exceeded the liabilities referred to in paragraphs 1 and 2 by at least \$ _____ (in words _____ dollars) and the required particulars are set out in the Schedule hereto.

Note.—(a) If assets exceed liabilities including the liabilities of a contingent nature referred to in paragraph 2 by more than \$50,000 then assets totalling not less than \$50,000 must be separately listed in a schedule to this declaration and where such assets are not registered in the sole name of the Dealer and unencumbered particulars of same must be given.

(b) If assets do not exceed liabilities including the liabilities of a contingent nature referred to in paragraph 2 by more than \$50,000 then all assets must be separately listed in a schedule to this declaration and where such assets are not registered in the sole name of the Dealer and unencumbered particulars of same must be given.

FORM 19—*continued*.

4. *I have not drawn from my firm's account any amount in excess of my share of the accumulated profits.

*I have drawn from my firm's account \$ _____ in excess of my share of the accumulated profits. This deficiency is covered by

*Delete whichever clause is inapplicable.

Signed at
in the State of Western Australia this
day of
One thousand nine hundred and

Before me:

FORM 20.

Western Australia.

Securities Industry Act, 1970 (Regulation 12).

AUDITOR'S REPORT FOR A STOCK BROKER AND FOR A DEALER NOT
ACTING ONLY AS A PRINCIPAL.

Name of Dealer(s)

Name of Auditor(s)

FINANCIAL YEAR ENDED

To (name of relevant authority)

1. In my/our opinion the accounting and other records kept by the dealer(s) comply with Section 39 of the Act.

**2. I/we conducted a check or test examination of—

- (a) Securities on hand and outstanding transactions including verification from statements received from members of the Stock Exchange of Limited where appropriate and confirmation from clients or other persons holding scrip.
- (b) Clients' securities held for safe custody—including confirmation from clients and vouching of withdrawals.
- (c) Clients' ledger—including the correctness of the trust account position at that date, the market value of security held for unpaid accounts and the possible incidence of any doubtful debts.
- (d) Broker's(s') agent's(s') and such other ledgers or records as I/we considered it necessary to examine.

3. I/we conducted a test examination of—

- (a) selected stocks or transactions from the point of purchase or receipt of securities to ultimate correct disposal or was/were satisfied that the securities were held by or on behalf of the dealer(s),
- (b) Clients' securities held for safe custody—including confirmation from clients and vouching of withdrawals,
- (c) the balancing of scrip accounts,
- (d) operation and control of trust account procedures.

4. The examinations referred to in paragraphs 2 and 3—

- (a) were conducted in a manner and to an extent which I believe to be in accordance with the auditing procedures and standards recommended from time to time by The Institute of Chartered Accountants in Australia and/or by the Australian Society of Accountants which are applicable to the audit of dealers' records,
- (b) were concluded to my satisfaction except for (State NIL or attach a report).

5. From my/our examinations and after making due enquiry, I am/we are of the opinion that—

- (a) internal control procedures are adequate having regard to the nature of the business of the dealer(s),
- (b) no client's securities have been pledged by the dealer(s) for a sum in excess of the client's debt therefor,

Form 20—*continued.*

(c) securities lodged by clients for sale or for safe custody (or any other purpose) or purchased for clients and paid for by them have been held unencumbered by the dealer(s),

(d) the trust account has been maintained during the year in accordance with Section 41 of the Act and the accounting therefor is adequate.

* Errors or omissions noted during my/our test examinations have been reported in accordance with Section 44 of the Act.

* No errors or omissions were noted during my/our test examinations.

6. (a) **I/We have seen Stockbrokers Professional Indemnity Insurance Policy No. _____ for \$ _____ issued by _____ in favour of the dealer(s).

(b) *I/We have inspected the dealer's(s') licence(s) and in my/our opinion any conditions or restrictions thereon have been complied with.

7. I/We enclose—

(a) the accounts of the dealer(s),

* (b) the statement(s) of the dealer(s) (being a corporation) pursuant to regulation 9 (4),

* (c) certificate(s) of the dealer(s) (not being a stockbroker or a corporation) pursuant to regulation 9 (5).

8. (a) I/We have conducted an audit of the assets and liabilities (including contingent liabilities and capital commitments) shown in the dealer's(s') balance sheet as at _____ (which has been signed by the dealer(s) or by the person(s) appointed to act on his/their behalf) and I/we have signed an unqualified report that in my/our opinion it presents a true and fair view of the financial position of the business.

(b) The assets and liabilities of any nominee company controlled by the dealer(s) are not such as to affect materially the dealer's(s') financial position.

(c) No restriction has been placed by my/our client on the scope of the audit and I/we have received all information and explanations required.

(d) No other matter has arisen during the year which would have required me/us to report to the relevant authority pursuant to Section 44 of the Act.

Note.—1. * Strike out if not applicable.

2. The phrases or paragraphs marked ** apply only to stockbrokers and member firms. Delete in other cases.

3. If the report is qualified, strike out the relevant paragraph(s) and/or sub-paragraph(s) and attach detailed separate report.

Date:

Auditor(s).

 Form 21.

Western Australia.

Securities Industry Act, 1970 (Regulation 12).

AUDITOR'S REPORT FOR A DEALER, OTHER THAN A STOCKBROKER,
ACTING ONLY AS A PRINCIPAL.

Name of Dealer(s)

Name of Auditor(s)

FINANCIAL YEAR ENDED.

To the Registrar of Companies.

1. After making due enquiry, I am/we are of the opinion that the transactions conducted by the dealer(s) during the year were on the dealer's(s') own account and were not conducted by order or on behalf of any client or principal.

2. In my/our opinion the accounting and other records kept by the dealer(s) comply with Section 39 and 41 of the Act so far as they are applicable to the type of transactions conducted by the dealer(s).

3. (a) I/We have conducted an audit of the assets and liabilities (including contingent liabilities and capital commitments) shown in the dealer's(s') balance sheet as at (which has been signed by the dealer(s) or by the person(s) appointed to act on his/their behalf) and I/we have signed an unqualified report thereon that in my/our opinion it presents a true and fair view of the financial position of the business.

(b) The assets and liabilities of any nominee company controlled by the dealer(s) are not such as to affect materially the financial position of the dealer(s).

(c) No restriction has been placed by my/our client on the scope of the audit and I/we have received all the information and explanations which I/we required.

(d) No other matter has arisen during the year which would have required me/us to report to the Registrar pursuant to Section 44 of the Act.

4. I/We have inspected the dealer's(s') licence(s) and in my/our opinion any conditions or restrictions thereon have been complied with.

5. I/We enclose—

(a) the accounts of the dealer(s),

* (b) the statement(s) of the dealer(s) (being a corporation) pursuant to regulation 9(4),

* (c) certificate(s) of the dealer(s) (not being a stockbroker or a corporation) pursuant to regulation 9(5).

Note.—1. *Strike out if not applicable.

2. If the report is qualified, strike out the relevant paragraph(s) and/or sub-paragraph(s) and attach separate detailed report.

Date:

Auditor(s).

Form 22.

WESTERN AUSTRALIA

SECURITIES INDUSTRY ACT, 1970 (s. 18 (1) (2)).

BOND.

KNOW ALL PERSONS BY THESE PRESENTS that

*1 (Cross out what does not apply.)

on the grant of a dealer's licence/on the renewal of a dealer's licence

*2 (Insert full name and address of applicant.)

to *2

*3 (Insert full name and address of surety.)

under the Securities Industry Act, 1970, *3

(hereinafter called "the surety") is firmly bound to Her Majesty and her successors in the amount of Ten thousand dollars for due payment whereof the surety is by these presents bound AND this bond enures during the term of the licence *4 and during the term of any licence to the

*4 (Optional.)

*5 (Repeat full name of applicant.)

said *5 issued in renewal or further renewal of the licence BUT is conditioned to be void upon the said *5

..... duly and according to law paying, applying and accounting for, moneys coming to his hands and punctually complying with all duties and obligations imposed on him by law in relation to those moneys.

*6 (Where surety is a company.)

*6

THE COMMON SEAL of
the abovenamed surety, was hereunto
affixed this day
of 19..... in conformity
with its Articles of Association in the
presence of—

*7 (Where surety is a natural person—if more than one add another signature clause.)

*7

SIGNED by
the abovenamed surety, this
day of 19..... in the
presence of—
