



## **FINANCIAL SERVICES PROTECTION LIMITED**

### **“FSPL”**

Thank you for your recent enquiry on the Financial Services Protection Limited (FSPL).  
Please find attached the application form.

FSPL is a member-based organization that provides information regarding defaulting clients to assist AFSL Holders with client account opening and account maintenance. In the current market climate, this service is a very useful tool to enhance your security and safety for your organisation. The database relies on your input to maintain its necessity.

14<sup>th</sup> September 2012

**FSPL Membership Application Form**

**1. Organisation Name**

Legal Name of Applicant: \_\_\_\_\_

AFSL or AR Number: \_\_\_\_\_

Business Name/Corporate Group Name (if applicable): \_\_\_\_\_

Please attach a list of licensees for whom you undertake Third Party Clearing (in accordance with the FSPL Constitution Section 7.6(e))

**2. Membership Criteria**

In accordance with section 7.6 of the FSPL Constitution, a person is permitted to become a member if it meets one of the following four membership criteria:

Criteria	Yes/No/Number
A. Australian Financial Services Licensee, or	
B. Australian Market Licencee, or	
C. Australian Clearing Settlement Facility Licencee, or	
D. A corporate entity which conducts securities or derivatives transactions and is also exempt from the requirement to hold an Australian Financial Services Licence, and Australian Market Licence or an Australian Clearing Settlement Facility Licence (e.g. an Authorised Representative of a Licensee)	

**3. Annual Fee**

Please note the annual fee for the membership year of (1 July – 30 June) is \$3,000.

A one-off \$500 (+ GST) joining administration fee applies to new members.

By making this payment, you agree to the FSPL Membership Terms & Conditions as attached.

**4. Payment Details**

Cheque Attached:  Receipt Attached:

<p><b>Electronic Funds Transfer</b>                      BSB: 332 027                      Account: 552074075                      Please include invoice number as reference                      and fax or mail remittance advice to:                      FSPL Accounts Payable                      Fax: (61 2) 9130 6301                      Mail: PO Box 7436, Bondi Beach NSW 2026</p>	<p><b>By Mail</b>                      Make your cheque payable to:                      "Financial Services Protection Limited" and                      mail together with remittance advice to:                      FSPL Accounts Payable                      PO Box 7436,                      Bondi Beach NSW 2026</p>
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**5. Applicant Declaration**

The applicant (and all Association Members) agrees to read and be bound by the terms and conditions of the FSPL Constitution and Rules (as amended from time to time).

Signed for and on behalf of the applicant by its duly authorised officer/s:

Signed: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Position: \_\_\_\_\_  
 Date: \_\_\_\_\_

Signed: \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Position: \_\_\_\_\_  
 Date: \_\_\_\_\_

**FSPL Contact Information Form**

FSPL would like to establish relevant contact points within your organization. For the purpose of updating the FSPL database, could you please complete the details below and return to the FSPL Secretariat either via fax (02 9232 4483) or email: (info@fsprotection.com.au).

**Member contact details (for provision of notices, voting, etc):**

First Name/s: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Mr/Mrs/Ms/Miss/Dr (please circle one); Job Title: \_\_\_\_\_  
Name of Organisation: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
Postal Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Postcode: \_\_\_\_\_ Email: \_\_\_\_\_  
Direct Tel: \_\_\_\_\_ Mobile Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

**Member FSPL Supervisor contact details (if different from above):**

First Name/s: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Mr/Mrs/Ms/Miss/Dr (please circle one); Job Title: \_\_\_\_\_  
Name of Organisation: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
Postal Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Postcode: \_\_\_\_\_ Email: \_\_\_\_\_  
Direct Tel: \_\_\_\_\_ Mobile Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

**Accounts Payable contact details:**

First Name/s: \_\_\_\_\_ Last Name: \_\_\_\_\_  
Mr/Mrs/Ms/Miss/Dr (please circle one); Job Title: \_\_\_\_\_  
Name of Organisation: \_\_\_\_\_  
Street Address: \_\_\_\_\_  
Postal Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ Postcode: \_\_\_\_\_ Email: \_\_\_\_\_  
Direct Tel: \_\_\_\_\_ Mobile Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

## **PRIVACY STATEMENT**

The information you provide in this form may be information which is personal information subject to the Privacy Act 1998 (Cth). The information is collect by the Financial Services Protection Limited (FSPL) to provide the database reference service (Service).

FSPL may provide your personal information to a third party service provider (such as our IT programmers) to assist FSPL in the ongoing provision and improvement of the Service.

Any personal information obtained from you is used and disclosed only for these purposes and is not disclosed to any other organization except with your consent or as permitted or required by law. If you do not provide all information required we may be unable or limited in the services that we can provide you.

You can gain access to any personal information we may hold about you by writing to the FSPL Privacy Officer at the address provided below.

Financial Services Protection Limited

Suite 2007, Level 20

109 Pitt Street

Sydney NSW 2000

Tel: 61 2 9210 2995 Fax: 61 2 9232 4483

Email: [info@fsprotection.com.au](mailto:info@fsprotection.com.au); FSPL Website: [www.fsprotection.com.au](http://www.fsprotection.com.au)