



Boutique Financial Planning Principals Group Inc.
 The Secretary
 PO Box 80, GRANGE QLD 4051
 Email: secretary@bfp.asn.au Web: www.bfp.asn.au

APPLICATION FOR MEMBERSHIP

Name of Applicant: _____
(AFS Licensee Name for Ordinary Member, or business name for Associate member)

Class of Membership: Ordinary Associate

Business Name (if different): _____

Address: _____
 _____ State _____ Postcode _____

Phone: Bus: () _____ Fax: () _____ Mob: _____

Web address: _____

Primary Contact: _____ Email: _____

Second Contact: _____ Email: _____

Name of Business Principal (or controlling individual) who is a Practitioner Member of FPA -

Name: _____ FPA Member No: _____ CFP AFP

Ordinary Member Applications

Associate Member Applications

AFS Licence No: _____

AFS Licensee: _____

Total No. Representatives: _____

AFS Licence No: _____

Estimated Date for your AFSL: _____

FPA members are required to notify the FPA within 20 days of the occurrence of a "notifiable event". Schedule D of the FPA Disciplinary Regulation 2011 is attached for your reference. If any of the events listed have occurred within the last 12 months **please provide details below and confirm you notified the FPA as required** N/A Yes No

Are any FPA members in your business currently the subject of an investigation by the FPA Conduct Review Commission and **if Yes provide details below**. Yes No

(If insufficient space, provide an annexure to the application)

CURRENT ANNUAL MEMBERSHIP FEES:

Ordinary	Associate
\$440	\$440

Membership fees cover the period 1st July to 30th June. The first year payment is pro-rated for the period from approval of the application to 30th June with an invoice for that amount provided to you when you are notified of a successful application.



APPLICATION FOR MEMBERSHIP (continued)

Your signature on this Application form, binds the Applicant to the following terms:

- You agree to abide by the rules of the BFP (Boutique Financial Planning Principals Group Inc.).
- You agree that if any information on this Application form is not correct, that the Application may be deemed invalid and Membership granted as a result of this Application may be forfeited.
- You give authority to the Financial Planning Association, ASIC and FOS or COSL to provide details about the Applicant to Boutique Financial Planning Principals Group (BFP) prior to your becoming a member and for the duration of your membership and to enable such due diligence, you have signed the 'Authority to Release Information' set out below.
- The acceptance of any organization or individual as a member is subject to the discretion of the BFP Management Committee (Executive) who have the authority to accept, reject or defer any membership application. If a decision regarding membership is delayed or deferred for more than 3 months after the date of the first Management Committee meeting which considers this application, the application will automatically lapse.
- You will not purport to represent the BFP in the media or other public forum, unless specifically authorized by the Executive.
- You understand that successful membership application does not mean automatic acceptance for coverage under BFP's PII policy facility.

Authority to Release Information to the Boutique Financial Planning Principals Group Inc.

I accept that as part of the due diligence process for membership, the BFP Executive Committee may need to obtain information relating to my proposed membership, directly from any or all of: the Financial Planning Association (FPA), the Australian Securities and Investments Commission (ASIC) and the Financial Ombudsman Service (FOS) or the Credit Ombudsman Service (COSL). This is my authority to disclose such information about me and/or my firm as the BFP (Boutique Financial Planning Principals Group Inc.) may request. This Authority stands as a complete release to any and all of the above bodies.

Signature: _____ **Date:** _____

Name: _____ **Position:** _____
(Please print)

On behalf of: _____
(The Applicant)

PRIVACY STATEMENT

The BFP respects your privacy. Information is requested when you are seeking membership of the BFP which is mainly limited to business information, but may include personal information. Any information you give us or is collected by us, will be kept confidential and held with the utmost care, and will not be sold, rented, loaned or otherwise disclosed and will not be used in ways that you have not consented to. Please note, however, that the Member's business name and a link to their website are published on the public pages of the BFP website, and the Member's name and contact details may be disclosed to organisations entering into commercial arrangements with the BFP, unless you advise us otherwise.

Proposer : * _____	Secunder: _____
Date Application Received: _____	Date Subscription Received: _____
Date Approved: _____	Date Member Notified: _____

* Should be a current BFP member – otherwise leave blank

SCHEDULE D NOTIFIABLE EVENTS

For the purposes of this Disciplinary Regulation, Notifiable Events shall include the following:

1. The Member is refused membership or expelled from membership of a statutory, professional or other body in respect of the Member's professional capacity;
2. The Member becomes the subject of disciplinary proceedings within any other professional body or FPA;
3. The Member becomes the subject of a hearing to determine whether a disciplinary order to ban the Member from practising should be made under the Corporations Act or pursuant to any other State or Commonwealth legislation;
4. The Member is the subject of a successful claim in relation to professional indemnity insurance;
5. The Member is refused professional indemnity insurance cover;
6. The Member is dismissed by the Member's Australian Financial Services Licensee because of misconduct or breach of the law;
7. The Member's ability to act as an authorised representative of an Australian Financial Services Licensee has been withdrawn, or restricted because of misconduct or breach of the law;
8. The Member has a business-related licence, registration or membership revoked, varied, restricted, denied or suspended;
9. The member is in receipt of a Notice from ASIC pursuant to sections 19, 30 or 33 of the Australian Securities and Investments Commission Act and the notice relates to an investigation into the Member's conduct.
10. The Member gives a written undertaking to the Australian Securities and Investments Commission pursuant to section 93AA of the Australian Securities and Investments Commission Act;
11. The Member breaches an undertaking referred to in the preceding paragraph;
12. The Member, being a natural person, becomes an Insolvent under Administration;
13. The Member is a director of a body corporate, that becomes an Externally Administered Body Corporate;
14. The Member is found guilty of any breach of the law punishable by imprisonment;
15. The Member becomes a defendant or respondent in any criminal, civil or regulatory proceeding or investigation.
16. There is a change of ownership or control in an FPA Professional Practice in which the Member is employed or authorised to provide financial planning services.