

## TRAINING COURSES

August 2009 –December 2009

### COURSES ON OFFER

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

- Sydney – 19 August
- Brisbane – 1 September (pm)
- Melbourne – 16 September
- Sydney – 29 October
- Melbourne – 18 November
- Sydney – 10 December

#### Responsible Manager Advanced ( ½ day)

- Melbourne – 27 August (am)
- Melbourne – 16 September (pm)
- Sydney – 29 October (pm)
- Melbourne – 18 November (pm)
- Sydney – 10 December (pm)

### 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 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 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.

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



## **GENERAL INFORMATION**

1. Venue - Cliftons  
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
3. Trainers (always 2 trainers)  
Tim Nethercote/Grant Holley/Paul Derham  
(Compact–Compliance & Corporate Training  
[www.compliance-training.com.au](http://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](mailto: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 – Wednesday 19 August, 9am – 12.30pm
- Brisbane – Tuesday 1 September, 1pm – 4.30pm
- Melbourne – 16 September, 9am – 12.30pm
- Sydney – 29 October, 9am – 12.30pm
- Melbourne – 18 November – 9am – 12.30pm
- Sydney – 10 December, 9am – 12.30pm

### Responsible Manager Advanced

- Melbourne – 27 August 9am – 12.30pm
  - Melbourne – 16 September 1pm – 4.30pm
  - Sydney – 29 October 1pm – 4.30pm
  - Melbourne – 18 November 1pm – 4.30pm
  - Sydney – 10 December, 1pm – 4.30pm
- 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.**

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: .....