



# 2010 Securities Licensing Examination Course

Self-study course notes including self-assessment exercises with examination date for 2010:-

- **28 July, 2010**
- **24 November, 2010**

The securities licensing examination course is administered by the Securities & Investments Institute Asia-Pacific (SiiA) to assess candidates' knowledge of the securities industry in Fiji and regulatory environment in which it operates. This Course is a program of studies in securities approved by Reserve Bank of Fiji towards meeting part of the educational requirements for a license to practice as a broker, dealer, investment adviser or unit trust representative in Fiji.

**To book complete the enrolment form now**

Enquiries Call: Viliame Saqusaqu on + 679 3223 432 or email: [viliames@rbf.gov.fj](mailto:viliames@rbf.gov.fj)



**SiiA**

**SECURITIES & INVESTMENTS INSTITUTE ASIA-PACIFIC**

[www.siaa.com.au](http://www.siaa.com.au)



## 2010 Securities Licensing Examination Course

### What the course contains

This self-study course will assist candidates in their preparation for the securities licensing examination. The course notes comprise of two modules that have been designed with self-assessment exercises at the end of each chapter to provide practical opportunities to reinforce key learning outcomes.

### Module 1 - Financial and Investment Analysis

- Explain the functions and operations of the South Pacific Stock Exchange (SPSE), its participants and the securities traded
- Outline the macro economic variables that affect share prices
- Describe some basic investment concepts
- Prepare a framework for a successful approach to investment using both technical and common sense methods
- Identify and interpret the liability and equity components of a statement of financial position (balance sheet)
- Identify and interpret the components of the statement of financial performance (profit and loss statement) and cash flow statement
- Use ratio techniques to assess profitability and market performance from financial statements and associated information
- Explain the factors influencing the price of interest rate securities and interpret bond trading data published by SPSE
- Use key ratios to compare key ratios to industry standards and competitors
- Outline how basic marketing/competition concepts can be used to assess companies within the confines in which they operate
- Demonstrate appropriate product knowledge to be a broker, dealer, unit trust or investment adviser in the market in Fiji
- Examine an existing portfolio and assess its suitability for a particular client
- Describe the various steps in the investment management process.

### Module 2 - Securities Law and Regulation in Fiji

- List the various sources for securities law in Fiji
- Outline the functions and roles of the organisations involved in the regulation of the stock market in Fiji
- Apply the key aspects of the law of contract and tort
- Assess the use of the different types of business structures available
- Explain the relationship between brokers and advisers and their clients
- Describe the processes for clearing, delivery and settlement of various types of transactions on the SPSE
- Outline the rules for stock exchange listing and official quotation
- Identify the types of misconduct that may occur in market transactions and describe the penalties that this misconduct incurs

### Target Audience

Any person wishing to apply for a securities licence with the **Reserve Bank of Fiji**.

The course would be useful for:

- Stockbrokers
- Dealers
- Investment Adviser/Managers
- Client Advisers
- Compliance Managers
- Unit Trust Adviser/Managers
- Back-office staff.

### Examination

SiiA administers the Securities Licensing Examination Course with the endorsement of the **Reserve Bank of Fiji**. Successful completion of the examination course meets part of the educational requirements to apply for a securities licence.

The purpose of the examination is to test your ability to interpret, analyse and apply the concepts studied throughout the two modules. Candidates must successfully complete two exams (one exam for each module) in the same day. Please note: The Securities Licensing Examination Course is independently administered by SiiA.

### Fees

AUD \$300.00 per candidate payable before course materials can be accessed.

### Deferral

Upon commencement of a program, deferral study may be approved in cases of severe or long term illness, personal or immediate family trauma for a period of up to 12 months. Appropriate documentation must be provided with the application. An administrative fee of AUD \$50.00 per module or subject will apply.

### Important dates

Both module exams must be sat on the same day.

Enrolment Cut-Off Date	Exam Date
21 May, 2010	28 July, 2010

24 September, 2010	24 November, 2010
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Please note: Enrolments will not be accepted after cut-off date to ensure candidates have sufficient preparation time for the exam. Late enrolments will be deferred to the next examination date.



# 2010 Securities Licensing Examination Course Enrolment Form

USE BLOCK LETTERS WHEN COMPLETING THIS FORM AND PLEASE KEEP A COPY

## PERSONAL INFORMATION

Title:  Mr  Ms  Mrs  Miss  Dr  Other: Preferred Name(s):

First Name:

Middle Name(s):

Last Name(s):

Gender:  Male  Female

Date of Birth:

Company Name:

Title/Position:

Department:

### CONTACT DETAILS Please tick preferred contact number

Home: ( )

Work: ( )

Mobile: ( )

Fax: ( )

Email:

Home Address:

Address:

Suburb/Town/City:

State:

Postcode:

Country:

Business Address:

Postal Address:

Street Address:

Suburb/Town/City:

State:

Postcode:

Country:

Preferred mailing address:  Home or  Business

Note: Subject notes are available in the subject rooms of SiiA's On-Line Learning System. Once enrolled, students will have access to the subject rooms and may download their course notes.

### Please choose your course examination date:

Examination Date - both module exams must be sat on the same day  28 July, 2010  
OR

Examination Date - both module exams must be sat on the same day  24 November, 2010

**PAYMENT:** Fees must be paid at the time of enrolment. Please choose carefully as it is the policy of SiiA not to refund fees once the student has been enrolled and has access to the subject rooms. Note: All fees are subject to change without notice.

Registration fee \$AUD \_\_\_\_\_ OR  Deferral or Resit Fee AUD \$ \_\_\_\_\_

**Cheque** Please find my cheque made payable to the Securities & Investments Institute Asia-Pacific attached.  
Cheque No \_\_\_\_\_

**Telegraphic Transfer** I have T/T the monies to the account of the Securities & Investments Institute Asia-Pacific  
37 Pitt Street, Sydney, 2000, NSW, Australia  
BSB 012 110  
Account No. 486812892  
Swift Code: ANZBAU3M

Note: Please complete and sign the compulsory declaration following.



## 2010 Securities Licensing Examination Course

### Compulsory Declaration

I hereby apply for enrolment in the Reserve Bank of Fiji Securities Licensing Examination Course administered by SiiA.

I agree that if this application for enrolment or assessment is accepted by SiiA, I will be bound by the rules, regulations, bylaws and procedural policies of SiiA as laid down from time to time, including any disciplinary procedures.

I confirm that the information provided by me in this form is in all respects correct and complete to the best of my knowledge and belief and I consent to it being used by SiiA in considering my enrolment application or the imposition of disciplinary procedures. I agree that SiiA may use my personal information for the purposes described in the privacy statement below.\*

I acknowledge that SiiA reserves the right to refuse my application for enrolment or assessment without providing any reason.

I acknowledge that if at any time my conduct in classes, assessment or otherwise is considered by SiiA to be inappropriate, SiiA reserves the right in its discretion to refuse me permission to attend any SiiA events or sit for any SiiA assessment, or to impose any penalty set down in SiiA's disciplinary procedures, whether or not I withdraw from the course or any subject.

I acknowledge that SiiA's determination in respect of examination and assessment results are final and will not be subject to discussion or negotiation except in accordance with SiiA's rules and policies.

I acknowledge that it is a condition of enrolment that SiiA will provide my employer with my examination results and other information concerning my performance as a student of SiiA. I understand that SiiA may permit me to access the information which has been provided to my employer, subject to the provisions of the Privacy Act 1988 (Cth).

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

### Further information

For information on the Securities Licensing Examination Course visit [www.siiA.com.au](http://www.siiA.com.au)  
Email: [info@siiA.com.au](mailto:info@siiA.com.au)

For information on Securities Licence application  
Contact: Viliame Saqusaqu  
Telephone. 322 3432 Fax. 330 1688  
Email: [viliame.s@rbf.gov.fj](mailto:viliame.s@rbf.gov.fj)

### To Enrol

Complete the enrolment form and compulsory declaration and return either by email, fax or mail to SiiA -  
GPO Box 3735  
Sydney, 2000  
NSW  
Australia  
Tel: +61 409 32 32 01  
Fax: +61 2 9665 9498  
Email: [info@siiA.com.au](mailto:info@siiA.com.au)

### Privacy

SiiA requires the information provided by you in this form to administer and manage the provision of our education and services. Additionally it will assist us in providing and improving SiiA's products and services, providing updates to you, sending you promotional and marketing material and invitations to be involved in Institute events and activities, and conducting other marketing and promotional activities. You will always have an opportunity to decline to receive marketing material. If you do not provide the required information, we may be unable to provide you with education services.

In order to deliver certain materials and information, and to otherwise deliver our products and services, SiiA may provide your personal information to third parties or agents appointed to deliver our services to you (eg. couriers, telecommunication service providers). You can access your personal information and raise any concerns you may have about SiiA's handling of your personal information by contacting SiiA by email, phone, fax or letter.

[www.siiA.com.au](http://www.siiA.com.au)



# SiiA

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