

Work and Training Professional Year Quarter 3

Candidate's name

Provisional relevant provider number

Commencement date

Completion date

Work activities hours

Structured training hours

Exam pass date

The Candidate has:

- passed the Financial Adviser Examination;
- satisfactorily completed all work activities and structured training for Quarter 3 as prescribed in their Professional Year Plan; and
- completed and maintained a logbook for their work activities and structured training for the Quarter.

During this Quarter, under my indirect supervision or that of other relevant providers I nominated, the Candidate completed work activities within the categories proposed for Quarter 3 in section 10 of the Corporations (Work and Training Professional Year Standard) Determination 2018. These are:

- model strategies and research products to determine suitability to clients' objectives, financial situations and needs;
- determine and prepare appropriate client documentation (such as statements of advice);
- complete relevant administration and 'back office' activities; and
- demonstrate a knowledge and understanding of the Code of Ethics and an ability to resolve ethical issues in an appropriate way by resolving at least two ethical dilemmas relevant to practice as a relevant provider.

I certify that I am satisfied that the Candidate has satisfactorily completed the requirements for Quarter 3 of the Professional Year and is, in my opinion, capable of completing the work activities and structured training required for Quarter 4 of their Professional Year.

Signature

AR number (from ASIC's Financial Adviser Register)

Supervisor's name

Date