

New Representative Accreditation Form



Police & Nurses Limited ABN 69 087 651 876 AFSL 240701 Australian Credit Licence 240701
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This form should be emailed or faxed back to P&N Bank prior to attendance at P&N's Induction Training. Please complete all sections.

Representative name _____ Aggregator _____

Company name _____

Street address _____

Suburb _____ State _____ Postcode _____

Phone: Work _____ Mobile _____

Email _____

BROKER REPRESENTATIVE DISCLOSURE

Brokers (individuals and representatives) may only engage in credit activities if they:

1. have registered for, or been issued with an Australian Credit License (ACL)
2. have been appointed as an Authorised Credit Representative (ACR) by an entity that has registered or been issued with an ACL, or
3. are an employee or director of an entity that has registered for or been issued an ACL.

Please tick the applicable box below and provide ACL details.

- broker is registered/licenced in own name
Registration name _____ Licence number _____
- broker is authorised as a credit representative
Broker's Credit Representative Number _____ Licence number _____
- broker is a director or employee
Entity's licence number _____ Letter from employer _____

I confirm I hold a current Certificate of one of the below qualifications:

Certificate IV Financial Services (Finance/Mortgage Broking) or yes no

Diploma of Financial Services (Finance/Mortgage Broking Management) yes no

Confirmation of completion of training in the following subjects:

AML/CTF yes no

MFAA or FBAA Certificate yes no

Have you ever:

Had accreditation declined or cancelled by P&N or another lender? yes no

If yes, please provide details

Declared bankruptcy, been declared bankrupt, or been subject to control under the Bankruptcy Act 1966 in the last 7 years? If so, has it been discharged? yes no
If yes, when was the bankruptcy discharged?

Been found guilty of any offence or crime, or charged with any offences in the last 5 years which has not been fully determined before a court or otherwise withdrawn or dismissed? yes no

Had any application for a grant or renewal of any financial services license or registration refused or declined? yes no

Had any license, registration or permission to carry a business under any enactment suspended or cancelled, or otherwise been disqualified from carrying on any occupation, profession or business? yes no

Been known by or had any other name? yes no

Been banned from holding a company directorship? yes no
If yes for any of the above, please provide details

- I understand that I must promptly inform the Bank if there is any change to my status as a credit licensee or as a director/employee/credit representative of a credit licensee
- I understand that if the bank terminates my Authority to Act, the Bank may report full details of the reasons for termination (including for dishonesty or fraud), and provide copies of relevant documents, to any appropriate body and I will not hold the Bank liable for such reporting.

BROKER DECLARATION

I hereby declare the information provided to be true and correct. I hereby consent to receiving commercial electronic communications from P&N Bank of a marketing or promotional nature, including P&N Bank products and policies.

_____ Date _____
Proposed broker signature

AGGREGATOR ACCREDITATION VERIFICATION

We have reviewed and retained the following items:

- | | | | |
|---|------------------------------|-----------------------------|------------------------------------|
| National Criminal History Check was satisfactory | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| Certificate IV Financial Services (Finance/Mortgage Broking) OR | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| Diploma of Financial Services (Finance/Mortgage Broking Management) | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| MFAA or FBAA Certificate | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| Membership to an external dispute resolution | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| PI Insurance | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| AML/CTF training completed | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| Evidence the broker is a National Credit Code Authorised person | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |
| New to industry (<2 years) mentor in place | <input type="checkbox"/> yes | <input type="checkbox"/> no | <input type="checkbox"/> N/A _____ |

AGGREGATOR DECLARATION

I hereby declare that all information listed above has been checked thoroughly and meet the requirements as specified. I acknowledge on behalf of the head group that:

- We are responsible for the above named conduct, remuneration and legislative obligations.
- We confirm that if they are a credit representative, the scope of their authority is sufficient to carry out all the services under the intermediary agreement and we will promptly notify the bank of any change in their authority.
- We will promptly inform the Bank of any change in our licence, status or authority.

Aggregator representative name _____

Aggregator representative position _____

_____ Date _____
Aggregator representative signature

OFFICE USE ONLY

This broker has:

- Completed Training Program for Mortgages covering product, process and policy (mandatory)

I hereby confirm that -

- Training has been completed as per Policy Requirements.
 ASIC registration search complete
 ID sighted and verified

Name of Faciliator _____ Name of BDM for representative _____

_____ Date _____
Facilitator / Business Development Manager signature

This registration has been authorised by

_____ Date _____
Manager Broker Services signature

Entered by _____ Checked by _____

- welcome email sent

- broker extranet updated