

Accreditation Application Form - Aggregator

Use this form to complete an application for accreditation with RACQ Bank. The form must be completed by the Broker seeking accreditation and also by an authorised representative from the Aggregator.

Broker personal and business details

Personal details

Title : Mr Mrs Ms Miss Other

Given name Middle name(s)

Surname DOB / /

Mobile phone

Residential address

Unit / Steet No Street name

Suburb/Town State Postcode

Broker/Business details

Aggregation Group Business

Your registered business/company name

ABN Trading name

Business address

Unit / Steet No Street name

Suburb/Town State Postcode

Postal address

Unit / Steet No Street name

Suburb/Town State Postcode

Business phone Business mobile

Email address

Licence/registration details - Select the appropriate option and provide details

I am a Credit Representative (CR) of a holder of an Australian Credit Licence (ACL)

ACL Registered name ACL number

Your name CR number

I have been issued with an ACL

ACL Registered Name ACL number

I am an employee of a holder of an ACL I am a director of an ACL holder

ACL Registered Name ACL number

Broker declarations

Have you ever been declared bankrupt? If yes, please provide details including the bankruptcy discharge date

- Yes - if 'Yes' please provide details below
 No

Have you ever entered into a Debt Agreement (part IX or X) within the past 10 years?

- Yes - if 'Yes' please provide details below
 No

Do you have a serious criminal record?

- Yes - if 'Yes' please provide details below
 No

Have you ever had an application for the grant or renewal of a financial services licence or registration refused or declined?

- Yes - if 'Yes' please provide details below
 No

Have you had a lender, originator or industry association decline an application or withdraw your/their accreditation of membership?

- Yes - if 'Yes' please provide details below
 No

Have you ever had any licence, registration or permission to carry on a business under any enactment suspended or cancelled, or otherwise been disqualified from carrying on any occupation, profession or business?

- Yes - if 'Yes' please provide details below
 No

Have you ever been subject to an investigation by any other Lender?

- Yes - if 'Yes' please provide details below
 No

Do you currently hold Professional Indemnity Insurance for no less than \$2 million, which includes at least 12 months PI 'run-off' cover?

- Yes
 No - if 'No' please provide details below

Are you currently a member of an External Dispute Resolution (EDR) Scheme that is overseen by the Australian Financial Complaints Authority (AFCA)?

- Yes
 No - if 'No' please provide details below

I acknowledge that I hold one, as a minimum, either Certificate IV in Finance and Mortgage Broking or a Diploma of Finance and Mortgage Broking Management.

- Yes
 No - if 'No' please provide details below

I acknowledge that I have 2+ years combined experience as a broker or relevant experience within the financial services industry.

- Yes
 No - if 'No' please provide details below

Please provide further details where you are required above.

Please read the **RACQ Bank Privacy and Credit Policy** available racq.com.au to understand how your personal information will be treated by RACQ Group.

Broker Name

Broker Signature

Date / /

Aggregator Approval and Declaration

I request that RACQ Bank accredit

to act as our credit representative/nominee in accordance with our intermediary arrangements.

I confirm that the information provided in this application is true and correct and that the broker applying for accreditation in this application meets the following criteria and has provided our office with evidence of the same;

- 1 year(s) combined experience as a broker or relevant experience within the financial services industry
- 2 Holds either Certificate IV in Finance and Mortgage Broking or Diploma of Finance and Mortgage Broking Management
- 3 Australian Citizen or Permanent Resident of Australia.

I acknowledge that

Insert Aggregator Name

- Is responsible for the Broker's conduct, remuneration and legislative obligations;
- For Credit Representatives appointed after October 2021, satisfactory adherence to the ASIC reference checking and information sharing protocol;
- Will promptly notify Members Banking Group Limited of any changes to our nominee's licensing status;
- Confirm that the credit representative/nominees scope of authority is sufficient to carry out all services under the intermediary agreement; and
- Presently hold and will maintain, as a minimum, valid industry memberships (MFAA/FBAA/AFCA), Professional Indemnity Insurance and compliance documentation for the Broker.

Name

Position

Signature

Date / /

Please ensure all below supporting documents are provided along with this application form:

- Completed RACQ Accreditation Application Form
- Identification
 - a. Current Drivers Licence or
 - b. Current passport or
 - c. Proof of age or identity photo card issued by an Australian state
- Company search for trading entity (if applicable)
- Evidence of Permanent Residency (if not an Australian citizen)
- Copy of applicable qualifications Certificate IV in Finance and Mortgage Broking or Diploma of Finance and Mortgage Broking Management
- Professional Indemnity Insurance (for no less than \$2million with minimum 12 months run-off cover). Cover must be in the registered business/company listed on this form of which you are an owner/director/employee or your own capacity as a named individual on the policy
- Copy of criminal record check dated within 12 months of the application. The following are accepted providers:
 - a. Australian Federal Police
 - b. Australian State or Territory Police
 - c. Australian Criminal Intelligence Commission accredited bodies
- Copy of current membership either in your own capacity or as owner/director/employee of the registered business/company name on this form with either:
 - a. Mortgage and Finance Association of Australia (MFAA); or
 - b. Finance Brokers Association of Australia (FBAA)
- Copy of current Australian Financial Complaints Authority (AFCA) membership either in your own capacity or as owner/director/employee of the registered business/company name on this form
- ASIC search of the authorised credit representative or credit licence number