

**Important Information:**

- Please complete this interactive form in full, sign (digital signatures only accepted when accompanied with proof of signing) and then forward to your Aggregator for authorisation.
- Handwritten copies will NOT be accepted.
- Please also supply all required supporting documentation to your Aggregator.
- After authorising, your Aggregator will forward to Auswide Bank for processing on your behalf via email to: [brokeraccreditations@auswidebank.com.au](mailto:brokeraccreditations@auswidebank.com.au).
- Visit: [www.auswidebrokers.com.au/accreditation](http://www.auswidebrokers.com.au/accreditation) for more information if required.

## SECTION 1 – SUPPORTING DOCUMENTS

Requirement <input checked="" type="checkbox"/> Please tick for a YES response	Provided
Accreditation Request Form signed by your Aggregator	<input type="checkbox"/>
Copy of Citizenship/Residency confirmation – Supply one of the following: Australian Passport; or Australian Citizenship Certificate; or Australian Birth Certificate; or proof of Permanent residency.	<input type="checkbox"/>
Digital Signature Proof of Signing such as Certificate of Completion or Evidence Summary (if this form is digitally signed)	<input type="checkbox"/>
Copy of a current MFAA or FBAA Membership Certificate	<input type="checkbox"/>
Copy of your current AFCA Membership Certificate	<input type="checkbox"/>
Copy of your AML/CTF Compliance Certificate	<input type="checkbox"/>
If an employee of an ACL holder, a letter of appointment from employer confirming authorisation to operate under their ACL	<input type="checkbox"/>
If a Director of an ACL Company, a company search with confirmation of the directorship must be provided	<input type="checkbox"/>
If your CRN is in a business name, please provide proof that you are the owner of the business	<input type="checkbox"/>
Education evidence: <ul style="list-style-type: none"> <li>• Hold a Cert IV in Finance &amp; Mortgage Broking OR</li> <li>• Hold a Diploma of Finance &amp; Mortgage Broking Management</li> </ul>	<input type="checkbox"/>
If you are a broker with less than 2 years' experience: <ul style="list-style-type: none"> <li>• Industry mentor agreement (MFAA Application-Mentor Declaration OR FBAA Mentor &amp; Mentee Declaration form OR Aggregator Mentor agreement/letter); and</li> <li>• A copy of current resume</li> </ul>	<input type="checkbox"/>

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## SECTION 2 - BROKER DETAILS

Title: \_\_\_\_\_ First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_

Surname: \_\_\_\_\_ Preferred Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Aggregation Group: \_\_\_\_\_

Business/Company Name or Employer's Company Name: \_\_\_\_\_

ABN/ACN \_\_\_\_\_ Office Number: \_\_\_\_\_

Mobile Number: \_\_\_\_\_ Email Address: \_\_\_\_\_

Business Address (Address where you are predominantly based): \_\_\_\_\_

Suburb: \_\_\_\_\_ State: \_\_\_\_\_ Post Code: \_\_\_\_\_

Mailing Address (if different to Business Address): \_\_\_\_\_

Suburb: \_\_\_\_\_ State: \_\_\_\_\_ Post Code: \_\_\_\_\_

## SECTION 3 - NCCP DETAILS

ASIC Approved EDR Scheme: \_\_\_\_\_

EDRS/AFCA No: \_\_\_\_\_ Industry Membership: \_\_\_\_\_ Aggregator Group: \_\_\_\_\_

 **Option 1** - I am an authorised Credit Representative of an Australian Credit Licence holder.

ACL Registered Name: \_\_\_\_\_ ACL Number: \_\_\_\_\_

ABN/ACN of ACL holder: \_\_\_\_\_ Credit Rep. No. (Individual): \_\_\_\_\_

 **Option 2** - I am a Director/Employee of an Australian Credit Licence holder.

 Director  Employee

Full name of ACL holder: \_\_\_\_\_

\_\_\_\_\_ ACL Number: \_\_\_\_\_ ABN/ACN of ACL holder: \_\_\_\_\_

## SECTION 4 - BROKER QUESTIONNAIRE

1. Are you applying for a New Accreditation or a transfer between Aggregation groups?

 New  Transfer (Must be within 3 months of leaving previous group)

2. Have you ever held Auswide Bank Accreditation previously?

 No  Yes - Please provide previous Broker ID: \_\_\_\_\_

3. Do you have a minimum of 2 years credit/lending experience?

 No - Please provide mentor details below:

MFAA/FBAA Accredited Mentor's name: \_\_\_\_\_ MFAA/FBAA Mentor's membership number: \_\_\_\_\_

Details of Mentor's Aggregator: \_\_\_\_\_

 Yes - Please provide details of years of credit/lending experience: \_\_\_\_\_

Details outlining experience (include dates employed, Business names and specifics of loan writing experience):

 \_\_\_\_\_  
 \_\_\_\_\_

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## SECTION 5 – BROKER DECLARATION, PRIVACY ACKNOWLEDGEMENT AND SIGNATURE

### BROKER DECLARATION

1. I declare that I will promptly inform Auswide Bank Ltd if there are any changes to my status as a Credit Licensee or as an Employee/Director or as a Credit Representative of a Credit Licensee.
2. I agree that Auswide Bank Ltd is collecting my personal information in order to assess my application for accreditation and if my application is approved, to administer my appointment. I also acknowledge that the information provided on this form may be used and disclosed to third party service providers for these purposes and in accordance with Auswide Bank Ltd's Privacy Policy. Without this information Auswide Bank Ltd may not be able to process my application for accreditation.
3. I confirm that I have met the required level of training and/or qualifications relevant to finance and/or mortgage broking (including National Consumer Credit Code, Privacy Act and Anti-Money Laundering/Counter Terrorism Financing Act).
4. I declare that I will comply with any reasonable request of Auswide Bank Ltd for information or documents required to assess compliance with any relevant law or responsible lending policy; and to promptly notify Auswide Bank Ltd of any matter regarding myself reasonably likely to affect my licensing/registration status or impact upon any relevant responsible lending policy.
5. I declare that the information and material I have provided is true and correct.

### BROKER PRIVACY ACT ACKNOWLEDGMENT

This Statement explains our privacy rights and how Auswide Bank Ltd ABN 40 087 652 060 AFSL 239686 collects, uses and discloses your personal information. Personal information is information about an identifiable individual, and includes information about credit worthiness, standing, history and capacity. You need not give us any of the personal information requested in the Broker Accreditation Request or any other document relating to the application, however without this information, we may not be able to process your application for accreditation. The giving of your personal information provides your consent for us to assess your application for accreditation as a broker.

#### Purposes for which we collect and use your personal information

You agree that personal information about you provided to us at any time in regard to broker accreditation may be held and used by us to assess and process the application, establish your instructions and, as relevant, comply with the legislative/regulatory requirements, investigate fraudulent activity, perform administrative tasks including systems development, testing, credit scoring and training, manage our rights/obligations regarding external payment systems, conduct market/customer satisfaction research, develop and administer arrangements (e.g. rewards programs) with organisations for the promotion, administration and use of our and their products/services, develop and identify products/services that may interest you, and tell you about them (unless you ask us not to). You also consent to our collection of sensitive personal information (e.g., about health, religion, or criminal record).

#### Disclosure of personal information

You agree we may disclose personal information about you, as appropriate, to our related bodies corporate, assignees, agents, contractors and external advisers, organisation for verifying your identity, your agents, advisers, referees, executor, administrator, trustee, guardian or attorney, law enforcement, regulatory and government bodies, anyone who introduces you to us, entities for reporting or ascertaining whether you have engaged in any fraudulent activity, your franchisor, payment systems operators, your and our insurers or prospective insurers and their underwriters, any person we consider necessary to execute your instructions, and other organisation with whom we have arrangements (including our related corporate bodies) and their agents for the supply and (unless you tell us not to) marketing of our respective products and services. You also agree to such disclosure to an organisation overseas which is not subject to privacy obligations equivalent to those applying to us.

#### Access your personal information, contacting us and contacting you

You may access information we hold about you at any time in accordance with the Privacy Act 1988. Please direct your request to our Privacy Officer whose details appear below. Unless you ask us not to contact you about products and services and not to disclose your information to others for that purpose, you consent to us contacting you by telephone while you hold any facility with us notwithstanding registration at any time of your telephone number on the Do Not Call Register.

The Privacy Officer  
Auswide Bank Ltd  
Reply Paid 1063,  
Bundaberg QLD 4670  
T: 1300 138 831  
E: [auswide@auswidebank.com.au](mailto:auswide@auswidebank.com.au)

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**SECTION 5 – BROKER DECLARATION, PRIVACY ACKNOWLEDGEMENT AND SIGNATURE** *Continued*

I acknowledge that once my accreditation is approved by Auswide Bank Ltd, I am obligated, when processing customer loan applications, to comply with the Privacy Act 1988 as amended from time to time. I warrant, if requested by Auswide Bank Ltd to do so, to provide satisfactory documentary evidence of my continuing compliance with the Privacy Act. Satisfactory documentary evidence could include, for example, such things as a copy of my Privacy Policy, Privacy Procedures, or an attestation from an independent auditor as to my compliance with the Privacy Act 1988 as amended from time to time. If requested, I will provide this information to Auswide Bank Ltd within a reasonable time after such request is made to me and at my cost.

Broker Name: \_\_\_\_\_ Signature: \_\_\_\_\_  Date: \_\_\_\_\_

**Please note:** Wet and digital signatures accepted. Digitally signed forms must be accompanied with a Proof of Signing such as Certificate of Completion or Evidence Summary issued by the digital signature provider. A digital signature Proof of Signing offers detailed information relating to a signer’s digital identity and document activity. It should be noted that electronically signed forms, for example electronically inserting a signature on the form are not acceptable.

**SECTION 6 - AGGREGATOR AUTHORITY AND ATTESTATION**

I am an Authorised Officer of \_\_\_\_\_ (The Aggregator). As the Aggregator we support, recommend and request Auswide Bank Ltd (The Bank) to arrange accreditation for \_\_\_\_\_ (The Broker).

We confirm that the Broker seeking accreditation will act in accordance with the Aggregators Intermediary Agreement currently in place with Auswide Bank Ltd.

We confirm that all information and material provided by the Broker or the Aggregator in relation to this Accreditation Request is true and correct, and that as the Aggregator we have verified the identity of the Broker as well as conducting a Police Check, Credit Check and Reference Checks which were deemed by us, as the Aggregator, to be satisfactory.

As the Aggregator we declare that the Broker is and will continue to be adequately trained and competent to engage in the relevant credit activities. We acknowledge that our Representative must act lawfully, in good faith, and understands that all information and material submitted to Auswide Bank (to the best of our knowledge) is correct, not misleading and with all relevant information provided. We acknowledge that we are solely responsible and liable for the conduct of our Representatives and will act promptly to inform Auswide Bank Ltd if there is any change to the Broker’s licensing / registration status, or promptly notify Auswide Bank Ltd of any matter regarding the Broker reasonably likely to affect the Broker’s licensing/registration status, impact on any relevant responsible lending policy or if the Broker is no longer engaged by or associated with the Aggregator.

The Broker also holds current Professional Indemnity Insurance in accordance with Auswide Bank Ltd’s requirements as detailed in the Aggregator’s Intermediary Agreement with Auswide Bank Ltd.

Authorised Officer’s Name \_\_\_\_\_

Authorised Officer’s Position: \_\_\_\_\_ Contact Phone No: \_\_\_\_\_

Authorised Officer’s Signature: \_\_\_\_\_  Date: \_\_\_\_\_

Signed for and on behalf of (Aggregator name): \_\_\_\_\_ 

**Please note:** Wet and eSignatures (digital and electronic) are acceptable. Digitally signed forms must be accompanied with a Proof of Signing such as Certificate of Completion or Evidence Summary issued by the digital signature provider. A digital signature Proof of Signing offers detailed information relating to a signer’s digital identity and document activity. Electronically signed forms are only acceptable when the form is received from the Aggregator’s known accreditation email address.

**AGGREGATOR REFERENCE CHECKING AND INFORMATION SHARING PROTOCOL EFFECTIVE 1 OCTOBER 2021**

Under the ASIC Reference Checking and Information Sharing Protocol that came into effect on 1 October 2021 have you obtained a satisfactory reference check?

Yes  No

If no, please provide further details to explain why.

\_\_\_\_\_  
\_\_\_\_\_