

ANZ Broker Accreditation Application Form



This form is to be used by Australia and New Zealand Banking Group Limited ABN 11 005 357 522 (ANZ) to assess whether an applicant is suitable for training and accreditation as an Accredited Broker in accordance with the ANZ Master Aggregator Agreement. This information will only be used and disclosed in accordance with the Privacy Statement. An individual referred to on this form may access this information by contacting ANZ.

The applicant seeking accreditation and the authorised Aggregator representative must complete all fields.

To be completed by the applicant applying for/transferring accreditation as a Retail and/or Commercial Broker. Please tick (✓) all appropriate options.

Request Type:	<input type="checkbox"/> New Accreditation (Complete all sections, except ONE [B])	<input type="checkbox"/> Transfer Accreditation (Complete all sections, except ONE [A]) <input type="checkbox"/> Transfer within current aggregator <u>group</u> <input type="checkbox"/> Transfer to a new aggregator <u>group</u>
Accreditation Type:	<input type="checkbox"/> Retail	<input type="checkbox"/> Commercial <input type="checkbox"/> Commercial Broker* <input type="checkbox"/> Commercial Referrer

*The approval of Commercial Broker accreditation may be subject to further assessment based on experience and background.

Please Note: If the applicant wishes to apply for new/transfer Asset Finance accreditation please ensure the separate Asset Finance application form is submitted along with this application form.

Section ONE: Broker Information

Applicant Details (All fields must be completed)

Full Legal Name

First Name

Middle Name

Last Name

Preferred Name (if applicable)

D.O.B (DD/MM/YYYY)

Mobile No.

Full Legal Entity Name

(Note: this should be the applicant's company name or their employer's company name (as relevant) registered with ASIC and NOT the name of the Aggregator)

Entity ABN

Entity ACN

Trading Name (only applicable if different to the Legal Entity Name)

Physical Business Address (Not P.O. Box)

Suburb

State

Postcode

Telephone No.

Email Address

(Please provide a unique email address. Office or shared email accounts are not acceptable)

Broker Background Information

Were you previously known by other names or aliases?

☐ Yes ☐ No

If the answer is "Yes" to the above question, please confirm your other names below

Do you have any criminal records?

☐ Yes ☐ No

If the answer is "Yes" to the above question, please provide further details

Have you or the business entity ever been declared bankrupt, insolvent or subject to a Part 10

(as per personal insolvency agreement) arrangement or other arrangement/agreement with creditors?

☐ Yes ☐ No

If the answer is "Yes" to the above question, please provide further details

Have you ever been declined by an originator/aggregator or refused accreditation by any lenders?

☐ Yes ☐ No

Have you ever been terminated/suspended from or by an originator/aggregator or other lenders?

☐ Yes ☐ No

If the answer is "Yes" to either of the above two questions, please provide further details as to the relevant circumstances

Have you ever been employed by ANZ or a related company/subsidiary?

☐ Yes ☐ No

If the answer is "Yes" to the above question, please list line manager name, area/department, year of employment termination and reason for leaving

Have you or the business entity been subject to regulatory action in the last 3 years (such as enforcement action, a penalty or other adverse conduct finding)?

☐ Yes ☐ No

Have you or the business entity been subject to media coverage in the last 3 years that would be reasonably regarded as negative?

☐ Yes ☐ No

Have you or the business entity ever been subject to a data breach or data loss event in the last 3 years (or have any complaints been made about the way you store, use or handle data relating to your business activities)?

☐ Yes ☐ No

If you have answered "Yes" to any of the questions above please provide further details below

Retail Applicants Only

**Below question is only to be answered by applicants applying for Retail Broker accreditation.*

*Have you had any missed/late payments/defaults/court actions/financial hardship indicators in the last 12 months?

☐ Yes ☐ No

If the answer is "Yes" to the above question, please provide a copy of your Personal Credit History Report (max 3 months old), with an explanation below

Section ONE (A): New Accreditation Only

Do you hold a current accreditation with ANZ or have you ever previously been accredited with ANZ? ☐ Yes ☐ No

If the answer is "Yes" to the above question, please provide your previous TPMI-SAO number:

Retail Commercial

Previous employers

Please list your previous employers over the last five years, including the employer name, your position title held and your time in the role. Alternatively, attach a copy of current resume or provide LinkedIn profile link.

Employer Name / LinkedIn Profile Link	Position title held	Time in role
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

ANZ Commercial Contact

If applicable, please provide the details of your ANZ Commercial contact (i.e. Banker and/or Broker Account Manager)

Name of ANZ Commercial contact	Location of ANZ Commercial contact
<input type="text"/>	<input type="text"/>

Mentor Details

Do you have less than 2 years industry experience? ☐ Yes ☐ No

If 'Yes', please provide *Mentor details below.

*A Mentor defined as endorsed/approved via Industry Body (MFAA/FBAA) and/or approved by your Aggregator.

Full Legal Name	Email
<input type="text"/>	<input type="text"/>
Company Name	Phone No.
<input type="text"/>	<input type="text"/>

Commercial Applicants Only

*Reference Details are only to be completed by applicants applying for Commercial Broker accreditation.

Reference Details

Professional relationship to the applicant (i.e. mentor, business partner, employer...etc.)

Note: Current employees of the aggregator company or ANZ are not considered as Professional Referees

Professional Reference One

Full Legal Name
<input type="text"/>
Phone No.
<input type="text"/>
Email
<input type="text"/>
Company Name
<input type="text"/>
Position
<input type="text"/>
Professional Relationship to Broker
<input type="text"/>

Professional Reference Two

Full Legal Name
<input type="text"/>
Phone No.
<input type="text"/>
Email
<input type="text"/>
Company Name
<input type="text"/>
Position
<input type="text"/>
Professional Relationship to Broker
<input type="text"/>

Section ONE (B): Transfer Accreditation Only

Previous TPMI-SAO Number:	Retail	Commercial	Previous Aggregator Company
	<input type="text"/>	<input type="text"/>	<input type="text"/>

Reason for leaving previous Aggregator Company

Section TWO: Aggregator Information (to be completed by authorised aggregator company representative)

Aggregator Details

Authorised Aggregator Representative Name:

Aggregator Company:

Does the applicant currently reside in Australia and have legal rights to work in Australia?

☐ Yes ☐ No

Below questions are only applicable for applications for new accreditation or transfer to a new aggregator group

Have you satisfactorily confirmed the identity of the above applicant?

☐ Yes ☐ No

Have you obtained a Reference Check* on the above applicant?

☐ Yes ☐ No

*Reference check under the [ASIC Corporations and credit \(Reference Checking and Information Sharing Protocol\) Instrument 2024/647](#).

Please provide date of the Reference Check*.

(DD/MM/YYYY)

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Were the results of the Reference Check* satisfactory

(i.e. returned no negative comments or indications of past investigations)?

☐ Yes ☐ No

Have you completed a National Police Check on the above applicant?

☐ Yes ☐ No

Were the results of the National Police Check satisfactory (i.e. returned no disclosable outcomes)?

☐ Yes ☐ No

Please provide a copy of the Police Check Report along with this application form (max 3 months old).

Does the applicant have sufficient professional indemnity insurance cover or is the applicant covered by the Aggregator's professional indemnity insurance cover?

☐ Yes ☐ No

Has the applicant avoided the following adverse events (current or historic): bankruptcy, insolvency or being subject to a Part 10 (personal insolvency agreement) arrangement or any other arrangement/agreement with creditors?

☐ Yes ☐ No

If the answer is "No", please provide a copy of the Personal Credit History report (max 3 months old).

Below question is only applicable if broker is seeking Retail accreditation

Were the results of the Personal Credit History Report satisfactory

(i.e. returned no missed payments/defaults/court actions/financial hardship indicators in the last 12 months)?

☐ Yes ☐ No

If the answer is "No" to the above question, please provide a copy of the applicant's Personal Credit History Report (max 3 months old).

Licence Information

Please confirm which of the following is applicable to the above applicant:

☐ The above applicant has been issued with an Australian Credit Licence in their own name

Please provide Australian Credit Licence Number:

☐ The above applicant is an Authorised Credit Representative of an entity that has been issued with an Australian Credit Licence

Please provide Authorised Credit Representative Number:

Please provide the entity's Licence Number:

☐ The above applicant is an employee or director of an entity that has been issued with an Australian Credit Licence

☐ Employee ☐ Director

Please provide the entity's Australian Credit Licence Number:

Section THREE: Broker And Aggregator Declaration

Broker Declaration

- ☐ I confirm that all the information provided as part of this application is true and correct.
- ☐ If I hold my own Australian Credit Licence, I agree to comply at all times with my obligations as an Australian Credit Licensee and with the conditions of my Australian Credit Licence. If the business entity owns the licence, I confirm that the entity gives that agreement in respect of its licence.
- ☐ I consent to ANZ Bank to collect, use and disclose my personal information in accordance with the Privacy Statement below.

Name

Signature

Date (DD/MM/YYYY)

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Aggregator Declaration

As the authorised Aggregator representative, I confirm: *(please tick relevant boxes below)*

New Applications	Transfer Applications	
	To a new aggregator group	Within current aggregator group
<input type="checkbox"/> All the details provided as part of this application are true and correct. <input type="checkbox"/> Identity of the applicant has been satisfactorily confirmed. <input type="checkbox"/> Above applicant has satisfactorily completed Police, Credit, Bankruptcy and Reference Checks*. <input type="checkbox"/> The Mentor provided in this application is approved (if required).	<input type="checkbox"/> All the details provided as part of this application are true and correct. <input type="checkbox"/> Identity of the applicant has been satisfactorily confirmed. <input type="checkbox"/> Above applicant has satisfactorily completed Police, Credit, Bankruptcy and Reference Checks*.	<input type="checkbox"/> All the details provided as part of this application are true and correct. <input type="checkbox"/> Identity of the applicant has been satisfactorily confirmed. <input type="checkbox"/> Above applicant holds current & valid Industry Body & AFCA Membership. <input type="checkbox"/> Continuous monitoring has been in place for the above applicant & no adverse matters have been detected.

Name

Position

Signature

Date (DD/MM/YYYY)

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The authorised Aggregator representative is required to email the completed form and all supporting documents to:

		Retail Inbox	Commercial Inbox
		origtraining@anz.com	commercialaccreditations@anz.com
Accreditation Type	Retail Only	✓	
	Retail & Commercial Combined (Including Asset Finance**)	✓	
	Commercial Only (Including Asset Finance**)		✓

**Refer to Asset Finance Application Form for accreditation requirements. The Asset Finance Application Form must be completed in addition to this form.

Supporting Documents

Please ensure all below supporting documents are provided along with this application form. Delays in providing documents may delay assessment of application.

Note: supporting documents are only required for new applications or transfers to a new aggregator group.

Supporting Documents Checklist	Accreditation Type		
	Retail Only	Retail & Commercial Combined	Commercial Only
A copy of national Police Check Report <i>(max 3 months old before the date the application is received by ANZ)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A current membership certificate for one of the following industry bodies is required: <ul style="list-style-type: none"> • Mortgage and Finance Association of Australia (MFAA), or • Finance Brokers Association of Australia Ltd (FBAA) 	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
If MFAA or FBAA membership is not held, the following industry body membership certificate is acceptable: <ul style="list-style-type: none"> • Commercial and Asset Finance Brokers Association of Australia (CAFBA) 	N/A	N/A	<input type="checkbox"/>
A legible and current copy of ID <i>(Driver's Licence or Passport)</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A current copy of membership certificate of an External Dispute Resolution Scheme (i.e. AFCA)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
A copy of Personal Credit History report <i>(max 3 months old before the date the application is received by ANZ)</i>	Only required if^	Only required if^	Only required if*

^ A copy of the Personal Credit History report is only required if the application has missed/late payments/defaults/court actions/financial hardship indicators in the last 12 months.

* A copy of Personal Credit History report is only required if the applicant has previously been declared bankrupt, insolvent or subject to a Part 10 (personal insolvency agreement) arrangement or other arrangement/agreement with creditors.

Privacy Statement

This statement explains when and how ANZ may collect, use and disclose personal information about you for the purpose of assessing your application for accreditation as a broker and during the course of your relationship with ANZ as an accredited broker. It is important that the information we hold about you is up to date. You must let us know when information you have provided to us has changed.

Collection, use and disclosure of information

You agree that ANZ may collect, use and disclose the information we collect about you for the following purposes:

- to assess and process your application for accreditation as an accredited broker;
- to establish, provide and administer the accreditation process including any ongoing, training, assessment and/or accreditation renewals;
- to manage and administer any broker arrangements you have with us and to perform administrative tasks;
- to consider any concerns or complaints you raise against us and/or to manage any legal action involving us;
- to manage and respond to any complaints, claims or legal proceedings in relation to your role or conduct as an accredited broker;
- to identify, prevent or investigate any fraud, unlawful activity or misconduct (or suspected fraud, unlawful activity or misconduct);
- to identify you or establish your tax status under any Australian or foreign legislation, regulation or treaty or pursuant to an agreement with any tax authority;
- as required by relevant laws, regulations, codes of practice and external payment systems; and
- for any other purpose under the broker arrangements that you have with us.

Providing your information to others

You agree that ANZ may provide your information to:

- any of our related entities or other organisations with whom we have arrangements (which may use the information to assess your application for accreditation as an accredited broker);
- any agent, contractor or service provider we engage to carry out or assist our functions and activities (for example, for verifying your identity);
- an organisation that assists us to identify, prevent or investigate fraud, unlawful activity or misconduct;
- regulatory bodies, government agencies, law enforcement bodies and courts;
- other parties we are authorised or required by law or court/tribunal order to disclose information to;
- other credit providers;
- any person who introduces you to us;
- your employer or the aggregator with which you engage in credit activities;
- our advisers, authorised agents and insurers;
- your advisers, authorised agents and insurers;
- service providers and our related entities which are located outside Australia and/or not established in or do not carry on business in Australia.

ANZ Privacy Policy

Collection of information from other parties

We may collect information in relation to you from other parties, including the aggregator with which you conduct credit activities, to enable us to assess your application for accreditation. This includes, but is not limited to, credit history checks, prior ANZ Employment Check (where applicable) and a National Police Check.

Our Privacy Policy (www.anz.com/privacy) contains information about;

- the circumstances in which we may collect personal information from other sources (including from a third party);
- how to access personal information and seek correction of personal information; and
- how you can raise concerns that we have breached the Privacy Act or an applicable code and how we will deal with those matters.

Absence of relevant information

If you do not provide some or all of the information requested, we may be unable to:

- assess your application for accreditation as an accredited broker;
- manage or administer your broker arrangements with ANZ;
- manage complaints or issues you have raised with us or complaints or issues that have been raised in relation to you; and
- provide you with information.

Information required by law etc.

We may be required by relevant laws to collect certain information from you. Details of laws that require us to collect information about individuals (personal information) and why these laws require us to collect personal information are contained in our Privacy Policy and at www.anz.com/privacy.

Collecting sensitive information

We will not collect sensitive information about you, such as information about your health, without your consent.