



Please complete Application form in full in black or blue pen using CAPITAL LETTERS and ☒ where appropriate. This form is to be completed by the Aggregator where a broker has previously held NAB Accreditation and is transferring Aggregators. The transferring broker must have held active NAB Accreditation within the last 6 months of application, otherwise, a new NAB Accreditation form must be completed.

Thank you for considering to transfer your NAB or Advantedge accreditation with us. **This Transfer of Accreditation request covers both** National Australia Bank Limited ABN 12 004 044 937 (**NAB**) and AFSL Nominees Pty Ltd ACN 143 937 437 and Advantedge Financial Services Pty Ltd ACN 130 012 930 (**Advantedge**). **This Transfer of Accreditation request can be used for Residential Home Lending, Commercial Lending and Equipment Finance (Asset Finance) Lending.** If your Aggregator only has an agreement with NAB (or vice versa only has an agreement with Advantedge) you will only be able to offer the respective Lender products. Application and documents to be emailed to NAB Authorisations Team prior to completion of NAB and/or Advantedge education induction by the proposed Broker.

Please send all completed applications to **Brokerauthorisations@nab.com.au**

The forms contained in this pack, along with the supporting documents we ask you to give us, are designed to ensure we hold the information we require about you to:

- consider your application to transfer your accreditation;
- meet our compliance obligations; and
- give you information, education and support to assist in developing your business
- **N.B:** This is an application only. You cannot introduce or submit finance applications to us or receive commissions on loans until you hold an active Lender authorisation with us.
- At NAB, we are committed to supporting brokers in delivering great outcomes for clients. To ensure this, we expect all brokers seeking accreditation to take the time to familiarise themselves with NAB's products, services, and relevant policies. To maintain the quality and consistency of service, NAB may, from time to time, request that accredited brokers complete refresher training, particularly where there has been a significant period since the last loan settlement.

**All sections are mandatory:**

**Aggregator Transfer**

**New Transfer**

Which NAB Accreditations do you wish to transfer?

NAB Residential ☐ Advantedge ☐ NAB Commercial ☐ NAB Asset Finance ☐

Provide your existing broker codes

NAB Residential SPID  Advantedge Lender ID  NAB Commercial Lending/ Asset Finance SPID

- Identification e.g. copy of passport or Driver's Licence with one of the following – Australian Citizenship Certificate, Australian Birth Certificate, or proof of Permanent Residency ☐

**Aggregator Details you are transferring to (as registered with ASIC)**

Name of Aggregator:

**Broker Details**

Representative/Individuals First Name:

Representative/Individuals Last Name:

Preferred Name (if applicable):

DOB (dd/mm/yyyy):

Do you have a registered Business (and are Director), &/or hold a direct agreement with the Aggregator Yes ☐ No ☐

If 'Yes' please complete the below Broker Business details. If 'No' and you are an employee/Contractor please complete the Broker Company Details section.

Broker Business Name or Company Name (as registered with ASIC):

Broker Business ABN or Company ABN (as registered with ASIC):

Broker Business or Company trading name (if different to registered name):

## Contact Details

Business address:

	State	Postcode

Postal address (if different from Business address):

	State	Postcode

Main contact phone number: Mobile number:

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Contact Email address (note: e-mail address must be an individual person's e-mail account and not an admin/ central inbox)

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## NCCP Licencing Requirements for Representatives

Please place an X in the box that is applicable and provide details.

1. ☐ Representative is licenced in own name

Licenced Number:

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2. ☐ Representative is an Authorised Credit Representative

Authorised Credit Representative Number:

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Entity's Licence Number (Please provide Entity's licence number with ACR number)

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3. ☐ Representative is a Director or Employee of a Licenced Entity

Entity's Licence Number:

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## Accreditation Criteria Requirements

AFCA Membership Number:

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## Additional Information Required to Support Your Application

The following documents must be current and provided to enable authorisation of a loan writer or broker representative

- e 1. Identification eg copy of Australian passport or Driver's Licence with one of the following – ☐  
Australian Citizenship Certificate, Australian Birth Certificate, or proof of Permanent Residency
2. If you are transferring your NAB accreditation midway through a Mentoring pathway, please provide ☐  
evidence and details of your Mentoring arrangements

Mentor full name:

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Mentoring entity name:

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Mentor Contact Number:

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Have you ever had accreditation declined or cancelled by National Australia Bank Limited another Lender or an Aggregator?

Yes ☐ No ☐

If 'Yes' provide details (this includes other NAB entities such as UBank or Advantedge)


#### Broker Attestation

I consent to receiving electronic communications from the NAB Group of a marketing, promotional or commercial nature. I agree to conduct myself in accordance with relevant provisions of the Broker Agreement. The Information and declarations made in this Application are true and correct. I have reviewed and consent to the handling of my personal information in accordance with the below Broker Privacy Notification.

I agree to appointment as a limited agent of NAB/ and or Advantedge, for the purpose of carrying out customer identification procedures of all relevant parties to the loan and mortgage, in accordance with NAB's/and or Advantedge's customer identification instructions and procedures to satisfy regulatory obligations (including those under Anti-Money Laundering/Counter-Terrorism Financing laws and verification of identity requirements in each state and territory). In verifying the identity of all relevant parties as NAB's/and or Advantedge's limited agent, I agree to collect and sight and/or certify original documents of all identity documents submitted to NAB/and or Advantedge and declare I am satisfied each applicant is the person who they claim to be and is the same person shown in the photograph of the identity document/s produced for each application (agency appointment is excluded from NAB Business Lending Products).

Proposed Representative Signature:

Date: DD/MM/YYYY

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#### Aggregator Attestation

[Aggregator]

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supports the Broker in this Application receiving NAB and Advantedge, authorisation. We confirm that the Broker seeking residential, commercial, and/or equipment finance authorisation(s) within this submission is sufficiently expert to act on our behalf, has adequate knowledge, capability and business acumen to carry out and originate (this includes Advantedge).

We acknowledge that our Representative must act lawfully, in good faith and ensure that all information and material submitted to NAB and Advantedge (to the best of our knowledge) is correct, not misleading with all relevant information provided. We acknowledge that we are solely responsible and liable for the conduct of our Representatives and we will make reasonable endeavours to ensure NAB and Advantedge are made aware as soon as any information or material submitted to NAB and Advantedge is not accurate or may be misleading and when the Broker Representative ceases to be authorised as our Representative.

Name of Aggregator's Direct Agreement Holder  
(Broker Firm) that relates to this broker:

ABN number of Aggregator's Direct Agreement Holder  
(Broker Firm) that relates to this broker:

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#### 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 reference check?

Yes ☐ No ☐

If 'No' Please explain why


Aggregator Signature:

Date: DD/MM/YYYY

✗

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Aggregator Representative Name (please print):

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National Australia Bank Limited ABN 12 004 044 937, is a member of the National Australia Bank Group ("Group"). The Group includes all of our banking, financing, funds management, financial planning, superannuation, insurance, broking and e-commerce organisations.

This policy also covers AFSH Nominees Pty Ltd ACN 143 937 437, Advantedge Financial Services Pty Ltd ACN 130 012 930 (Advantedge). Advantedge is also a member of the National Australia Bank Group.

The notification tells you how we collect your information, what we use it for and who we share it with. It also points out some key features of our Privacy Policy which is available on NAB at [www.nab.com.au/privacy](http://www.nab.com.au/privacy) and for Advantedge at [www.advantedge.com.au/privacy](http://www.advantedge.com.au/privacy).

### How we collect information from you

We'll collect your information from you directly whenever we can. We will also collect information about you from the aggregator supporting your application. We may also collect information about you from other third parties. You may not be aware that we have done so. If we collect information that can be used to identify you, we will take reasonable steps to notify you of that collection.

### How we collect information from other sources

Sometimes we will collect information about you from other sources. We do this only if it's necessary to do so. Instances of when we may need to collect information include, where:

- we can't get hold of you and we rely on publicly available information to update your contact details;
- at your request, we exchange information with your legal or financial advisers or other representatives; or
- you wish to be accredited or remain accredited as a broker or broker representative to us. In such circumstances, we will exchange information about you with the broker or the mortgage aggregator with whom you are contracted or associated.

### When the law authorises or requires us to collect information

We may collect information about you because we are required or authorised by law to collect it. There are laws that affect financial institutions, including company and tax law, which require us to collect personal information.

### How we use your information

We will collect your personal information for the purposes of making a decision on whether to accredit you as our broker, broker representative and deciding whether to enter into a broker, broker representative, arrangements with you. In deciding whether to accredit you, we will consider (amongst other things) your experience, qualification(s), employment history and the results of any police checks that are provided to us.

We may also use your personal information for other purposes, including:

- managing and administering any broker, broker representative, arrangements you have with us, including the payment of a commission or other remuneration;
- resolving complaints or issues in relation to customers that you have referred or introduced to us;
- resolving complaints or issues you have raised with us;
- managing any claims or legal proceedings relating to your conduct;
- providing information to you or your organisation about the Group product and services offered by the Group;
- telling you about other products or services that may be of interest to you, or running competitions and other promotions (this can be via email, telephone, SMS, iM, mail, or any other electronic means including via social networking forums), unless you tell us not to; and
- for any other purpose under the broker, broker representative, arrangements that you have with us.

You can let us know at any time if you no longer wish to receive direct marketing offers from the Group. We will process your request as soon

as practicable.

### What happens if you don't provide your information to us

If you don't provide your information to us, we may not be able to:

- allow you to become a broker, broker representative;
- manage or administer your broker, broker representative with us;
- pay a commission or other remuneration or handle complaints or issues relating to customers you've referred or introduced to us;
- handle complaints or issues you have raised with us;
- provide information to you or your organisation about the Group or product, or services offered by the Group; or
- let you know about other products or services from our Group.

### Sharing your information

We may share your information with other organisations and other Group members for any purpose for which we may use your information and for the other purposes noted below.

#### Sharing with the Group

We may share your personal information with other Group members including:

- to assist us to decide whether or not to accredit you as our broker, broker representative and deciding whether to enter into a broker, broker representative, with you;
- to assist us to manage and administer our relationship with you, including paying a commission or other remuneration, or handling any complaints or issues you have raised;
- to tell you about products or services offered by the Group; and
- in relation to any corporate re-organisation within the Group.

#### Sharing at your request

We may need to share your personal information with:

- your representative or any person acting on your behalf (for example your sub-contractors, lawyers or accountants); and
- any referee you nominate to us to confirm details about you.

#### Sharing with third parties

We may disclose your personal information to third parties outside of the Group, including:

- organisations involved in your becoming, or managing or administering your being, a broker, broker representative such as third-party suppliers, other Group organisations, printers, educators and trainers, professional associations, posting services, call centres, event organisers and our advisers;
- your aggregator for the purpose of identifying and monitoring issues in connection with your broker arrangement and taking necessary actions to detect, investigate and respond to instances of misconduct and to otherwise prevent poor customer outcomes;
- government or regulatory bodies (including ASIC and the Australian Tax Office) as required or authorised by law. In some instances, these bodies may share the information with relevant foreign authorities;
- organisations that maintain, review and develop our business systems, procedures and technology infrastructure, including testing or upgrading our computer systems;
- organisations involved in any re-organisation of the Group or transfer of Group assets or business;
- organisations that participate in the payments system including merchants and payment organisations;
- organisations that assist us with product planning, research and development;
- mailing houses and telemarketing agencies that assist us to communicate with you; and
- our other agents and contractors with whom we deal in the ordinary course of our business.

## Sharing outside of Australia

We run our business in Australia and overseas. We may need to share some of your information with organisations outside of Australia. You can view a list of the countries in which those overseas organisations are located at [www.nab.com.au/privacy/overseas-countries-list](http://www.nab.com.au/privacy/overseas-countries-list).

We may store your information in a cloud or other types of networked or electronic storage. As electronic or networked storage can be accessed from various countries via an internet connection, it's not always practicable to know in which country your information may be held. If your information is stored in this way, disclosures may occur in countries other than those listed at [www.nab.com.au/privacy/overseas-countries-list](http://www.nab.com.au/privacy/overseas-countries-list).

Overseas organisations may be required to disclose information we share with them under a foreign law. In those instances, we will not be responsible for that disclosure.

## Accessing your Information

You can ask us to access information that we hold about you. You can find out how to access your information by reading our Privacy Policy, available for NAB at [www.nab.com.au/privacy](http://www.nab.com.au/privacy) or by calling 1300 622 276 and for Advantedge at [www.advantedge.com.au/privacy](http://www.advantedge.com.au/privacy)

## Correcting your Information

You can ask us to correct information we hold about you. You can find out how to correct your information by reading our Privacy Policy, available for NAB at [www.nab.com.au/privacy](http://www.nab.com.au/privacy) or by calling 1300 622 276 and for Advantedge at [www.advantedge.com.au/privacy](http://www.advantedge.com.au/privacy)

## Complaints

If you have a complaint about a privacy issue, please tell us about it. You can find out how to make a complaint by reading our Privacy Policy, available for NAB at [www.nab.com.au/privacy](http://www.nab.com.au/privacy) or by calling 1300 622 276 and for Advantedge at [www.advantedge.com.au/privacy](http://www.advantedge.com.au/privacy)

## Information about other persons

If you give us information about another person (like a broker, broker representative), in relation to your arrangements with us, you must obtain the other person's consent prior to do so, and let them know that:

- we will collect their information;
- we may exchange their information with other organisations and other Group members for the above purposes;
- we handle their personal information in the way set out in our Privacy Policy and our Broker and Introducer Privacy Notice, and they can:
  - access or request a copy of that Privacy Policy or Privacy Notice; or
  - access the information we hold about them by using the contact details below.
- we may not be able to effectively administer our arrangements with you unless we obtain their information.

## Contacting us

To obtain more information about how we manage your personal information, please view our Privacy Policy for NAB at [www.nab.com.au/privacy](http://www.nab.com.au/privacy) or by calling 1300 622 276 and for Advantedge at [www.advantedge.com.au/privacy](http://www.advantedge.com.au/privacy)