

# Broker Accreditation Request



**Important Information:** Please complete interactive form, print out, sign and then email to your Aggregator for authorisation. Electronic signatures are not acceptable. The request must be typed and completed in full. **Handwritten copies will NOT be accepted.** Supply any supporting documentation required 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	Provided
Accreditation Request Form signed by your Aggregator	<input type="checkbox"/>
Copy of a current MFAA or FBAA membership certificate	<input type="checkbox"/>
Clear Letter of Separation from previous Aggregator (if previous accreditation held)	<input type="checkbox"/>
Copy of a 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 the 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: Hold a Cert IV with Finance & Mortgage Broking Hold a Diploma of Finance & Mortgage Broking Management	OR <input type="checkbox"/> <input type="checkbox"/>
If you are a broker with less than 2 year's experience: MFAA/FBAA Accredited Mentor documentation with full details of Mentor and a copy of current resume	<input type="checkbox"/>
Proof of Australian Citizenship or Permanent Residency: Current copy of Australian Passport or Foreign Passport with Visa Documentation or Australian Citizenship Certificate; Australian Birth Certificate or Visa Entitlement Verification Online Check (VEVO)	<input type="checkbox"/>

## Section 2 – Broker details

Title	First name	Middle name
<input type="text"/>	<input type="text"/>	<input type="text"/>
Surname	Preferred name	Date of birth
<input type="text"/>	<input type="text"/>	<input type="text"/>
Aggregation group	Business/company name or Employer's company name	ABN / ACN
<input type="text"/>	<input type="text"/>	<input type="text"/>
Office number	Mobile number	Email address
<input type="text"/>	<input type="text"/>	<input type="text"/>
Business Address (Address where you are predominantly based)		
<input type="text"/>		
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Mailing Address (if different to Office Address)		
<input type="text"/>		
<input type="text"/>		
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

## Section 3 – NCCP details

☐ **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 number (individual)
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ **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
<input type="text"/>	<input type="text"/>	<input type="text"/>

ASIC Approved EDR Scheme	EDRS/AFCA No	Industry Membership	Aggregator Group
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

## 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)

## Section 5 - Broker Declaration and Signature

1. I declare that I am an Australian citizen or a permanent resident of Australia. ☐
2. I declare that I have obtained passes and hold current accreditation for National Consumer Credit Code, Privacy Act and Anti-MoneyLaundering / Counter Terrorism financing Act from an approved registered training organisation.
3. 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.
4. 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's Privacy Policy. Without this information Auswide Bank Ltd may not be able to process my application for accreditation.
5. I confirm that I have met the required level of training and/or qualifications relevant to finance and/or mortgage broking.
6. I declare that I will comply with any reasonable request of Auswide Bank for information or documents required to assess compliance with any relevant law or responsible lending policy; and to promptly notify Auswide Bank of any matter regarding myself reasonably likely to affect my licensing/registration status or impact upon any relevant responsible lending policy.
7. I declare that the information and material I have provided is true and correct. ☐

**Broker's Name**

**Date**

**Broker's Signature**

## Section 6 - Aggregator Authority and Declaration

I am an Authorised Officer of  (The Aggregator) and recommend and request Auswide Bank (The Bank) to arrange accreditation for  (The Broker) to act in accordance with the Aggregator's Intermediary Agreement currently in place with Auswide Bank.


I 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.

I declare that the Broker is and will continue to be adequately trained and competent to engage in the relevant credit activities.

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

The Aggregator will promptly inform Auswide Bank if there is any change to the Broker's licensing / registration status or if the Broker is no longer engaged by or associated with The Aggregator.

The Aggregator will comply with any reasonable request of Auswide Bank for information or documents required to assess compliance with any relevant law or responsible lending policy; and to promptly notify Auswide Bank of any matter regarding the Broker reasonably likely to affect the Broker's licensing/registration status or impact upon any relevant responsible lending policy.

Authorised Officer's Name	Contact Phone No	Authorised Officer's Signature
<input type="text"/>	<input type="text"/>	<div></div>
Authorised Officer's Position	Date	
<input type="text"/>	<input type="text"/>	

Signed for and on behalf of (Aggregator name).

## Section 7 - 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)

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's Name**

**Date**

**Broker's Signature**

