

Retail Broker New Accreditation & Transfer of Accreditation Application Form.



Bankwest, a division of Commonwealth Bank of Australia
ABN 48 123 123 124 AFSL/Australian credit licence 234945

i Important Information Please email all documentation including this application, which must be typed and completed in full to your Aggregator for their approval. Your Aggregator will then forward to Bankwest for processing via email to: **bs.ops.support@bankwest.com.au**

Section 1 – Accreditation requirements

Requirement	New	Transfer
Current copy of primary photo ID i.e. Australian Passport or Foreign Passport with Visa Documentation or Australian Drivers Licence with one of the following: Australian Citizenship Certificate; Australian Birth Certificate; Visa Documentation	<input type="checkbox"/>	<input type="checkbox"/>
Current MFAA or FBAA membership certificate	<input type="checkbox"/>	<input type="checkbox"/>
Exit Letter from previous Bankwest Aggregator (if previous accreditation held)	<input type="checkbox"/>	<input type="checkbox"/>
National Police certificate less than 3 months old (required even if provided historically)	<input type="checkbox"/>	N/A
If you are an employee of an ACL holder, you must supply written confirmation from one of the Directors, confirming you are covered under their ACL	<input type="checkbox"/>	<input type="checkbox"/>
Mentor Documentation (if broker has less than 2 years' experience) MFAA/FBAA Accredited Mentor with 'Bankwest Mentoring Agreement for New to Industry Brokers' letter completed in full	<input type="checkbox"/>	<input type="checkbox"/>
Education evidence: Minimum Cert IV with Finance & Mortgage Broking with the Diploma of Finance & Mortgage Brokering Management to be provided within 12 months	<input type="checkbox"/>	<input type="checkbox"/>

Section 2 – Broker details (Name as per photo identification)

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	Phone number
<input type="text"/>	<input type="text"/>	<input type="text"/>
Facsimile number	Mobile number	Email address
<input type="text"/>	<input type="text"/>	<input type="text"/>
Office Address (Address where you are predominantly based)		
<input type="text"/>		
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>
Postal Address (if different to Office Address)		
<input type="text"/>		
State	Postcode	
<input type="text"/>	<input type="text"/>	
Residential Address		
<input type="text"/>		
Suburb	State	Postcode
<input type="text"/>	<input type="text"/>	<input type="text"/>

Section 3 – Personal Identifier

The following information is required specifically for identity authentication purposes (i.e. To confirm caller identity prior to releasing confidential information). You must take reasonable measures to keep the nominated identifier confidential.

Identifying Question:	Identifying Answer:
<input type="text"/>	<input type="text"/>

Section 4 – NCCP details

☐ **Option 1** - I am an authorised Credit Representative of an Australian Credit Licence holder
Credit Representative number (must be in individuals legal name)

☐ **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 licence holder

Section 5 – 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 Bankwest or CBA Accreditation?

- ☐ No ☐ Yes - Please provide Bankwest/CBA Broker ID:

BK BO CF

3. Have you ever been an employee of Bankwest, Commonwealth Bank and/or any other CBA Group subsidiary?

- ☐ No ☐ Yes - Please provide details below:

Name of Organisation Area/Department worked Year employment ended
Previous line manager name Reason for leaving

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

- ☐ No - Please provide mentor details below:

MFAA/FBAA Accredited Mentor's name

Supporting documents supplied as evidence

- ☐ MFAA/FBAA Accredited Mentor with 'Bankwest Mentoring Agreement for New to Industry Brokers' letter to be completed in full

- ☐ Yes - Please provide details below:

Years of credit/lending experience

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

Section 6 – Broker acknowledgement

I acknowledge that:

- This application for accreditation will be assessed by Bankwest and that approval of this accreditation is at the discretion of the Bank. The Bank will notify me of the outcome for this application within 10 working days upon receipt of this fully completed application form and all supporting documentation;
- Approval of my 'new' accreditation is subject to the completion of the Bankwest broker induction training;
- I must promptly inform the bank if there is any change to my status as a credit licensee or as a director/employee/credit representative of a credit licensee;
- If the bank terminates my accreditation, the Bank may report full details of the reasons for termination (including for dishonesty or fraud) and provide copies of relevant documents, to any Approved Industry Association and/or any government body which regulates or supervises the conduct of mortgage brokers and I will not hold the Bank liable for such reporting.

By signing this statement you agree to its terms

Name of Broker

Signature of Broker

X

Date

Section 7 - Aggregator Declaration

Full name of Aggregator

Aggregator's Staff Member Name

Aggregator's Staff Member Position

- We confirm that we are associated with the above mentioned applicant;
- We will inform Bankwest immediately if the above mentioned applicant is no longer associated with our group.
- We confirm we have checked the above mentioned applicant status regarding Bankruptcy.
- We confirm the above mentioned applicant has been onboarded in accordance with our onboarding procedures

Signature

X

Date

Section 8 - Privacy Statement and Consent to Use Your Information

This Statement explains how Bankwest, Commonwealth Bank of Australia ("CBA") and subsidiaries of CBA ("we" or "us") collect, use and disclose personal information, send communications about products and services and provides your consent for us to assess your application for accreditation as a broker.

Personal information is information about, and which identifies an individual (such as name and contact details). Your personal information includes information about who you are and your interactions with us. It may also include information about you that is publicly available, for example from public registers or made available through social media. When you give us personal information about another person, you represent that you are authorised to do so and agree to inform that person of the contents of this Statement as it relates to them.

Purposes for which we collect and use personal information

We collect your information because we are required to identify you and associated individual in accordance with the Anti-Money Laundering and Counter-Terrorism Financing Act and in order to comply with the National Consumer Protection Act 2009.

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, provide and administer the accreditation including any ongoing assessment or renewal of the accreditation and any ongoing relationship with you, for internal processes including risk management and pricing or to investigate any fraudulent activity; to meet our obligations in relation to external payment systems, Government bodies and funding arrangements; to identify and (unless you tell us not to) tell you about products that may interest you, and to comply with regulatory requirements.

If you use our website or online applications we may collect information about your location or activity (including whether you have accessed third party sites) to customise your experience.

The information we collect about you may also include sensitive information such as health or any relevant criminal record.

Exchange of personal information

We may exchange personal information about you with: our related bodies corporate, assignees, agents, contractors and external advisers, organisations for verifying your identity, your agents, advisers, referees, executors, administrators, attorneys, law enforcement, regulatory and government bodies, third parties providing fraud detection services, your franchisor, your and our insurers or prospective insurers and their underwriters, any person we consider necessary to execute your instructions; other organisations for the

supply of services and (unless you tell us not to) marketing of products; other persons where this is permitted by law; participants in a funding scheme; and other financial institutions.

In some cases, these persons or organisations may disclose your personal information for the purposes of any relationship they have with you or performing functions in relation to you.

Transfer of personal information overseas

Sometimes it may be necessary to send your information overseas – for example where we outsource functions overseas, send information to related bodies corporate, where we need to complete a transaction on your behalf or where this is required by laws and regulations in Australia or in another country. These countries include, but not limited to, New Zealand, United Kingdom, USA and Ireland.

See our Privacy Policy for more information.

Marketing

Unless you tell us not to, you consent to us using your personal information (including information collected from others) to advertise or promote products, services, or business or investment opportunities we think may interest you.

You can ask us not to contact you and not to disclose your information to others for that purpose, by calling **13 17 19**.

Otherwise, you consent to us contacting you for that purpose, including by:

- contacting you by telephone or writing to you; and
- sending commercial electronic messages to any electronic address which you provide until you withdraw your consent or unsubscribe.

Access to your personal information, contacting us and contacting you

This Statement should be read in conjunction with the Privacy Policy on our website at www.bankwest.com.au or by calling **13 17 19**.

You have rights to access your personal information from us, to request us to correct the information, and to make a complaint to us about a breach of your privacy rights in relation to the information. The Privacy Policy includes further information about how you may do this.

Consent

By signing this statement, you agree to its terms and you consent and agree to us collecting, using, exchanging and transferring overseas, your personal information as described and as set out in our Privacy Policy.

If you do not provide the above consent (other than the marketing consent), we will not be able to provide you with banking services (such as accounts).

Name of Broker

Signature of Broker

Date