

Retail Broker accreditation form



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

! Important information

Please email all documentation including this application completed in full to your Aggregator for their approval. Your Aggregator will then forward to Bankwest for processing.

Section 1 – Accreditation requirements

Requirement

Resume showing employment history for the previous 10 years

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

Note: Applicant must be a permanent resident or citizen, we are unable to accept temporary visa holders.

Current MFAA or FBAA membership certificate

Clear exit letter from previous Bankwest Aggregator (if previous accreditation held)

National Police certificate less than 6 months old (required even if provided historically - N/A Transfer)

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

Education evidence: Minimum Cert IV with Finance & Mortgage Broking with the Diploma of Finance & Mortgage Broking Management (or higher education) to be provided within 24 months

Section 2 – Broker details (PLEASE TYPE or USE CAPITAL LETTERS)

Title First name Middle name

Surname Preferred name Date of birth

Previously known as names (AKA)

Aggregation group Business/company name or Employer's company name

Business phone number Mobile number Email address

Office Address (Address where you are predominantly based - We are unable to accept a PO Box)

Suburb State Postcode

Residential Address

Suburb State Postcode

Section 3 – NCCP details

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

Credit Representative number (must be in the individuals legal name. We are unable to accept a credit representative number in a business 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 4 – Broker questionnaire

1. Have you ever held Bankwest Accreditation?

No Yes - Please provide Bankwest/Broker ID:

BK

2. 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

Year employment started

Year employment ended

Staff ID number

Reason for leaving

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

Section 5 – 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

Date

Bankwest is a division of the Commonwealth Bank of Australia (“CBA”). In this Privacy Collection Notice “we”, “us” or “the Bank” refers to Bankwest, CBA and its subsidiaries (the CommBank Group). This Privacy Collection Notice describes the main ways we collect, use and share your personal information to assess your application for accreditation as a broker.

This notice should be read in conjunction with our Privacy Statement at bankwest.com.au/privacy which explains the other ways we may collect, use, and share your personal information, how to access your personal information and correct it when it is wrong, how to make a privacy related complaint and how we’ll deal with it.

If you would like a copy of our Privacy Statement, need more information, or have a privacy concern you can call **13 17 19**. Sometimes we update our [Privacy Statement](#) and you can always find the most up to date version on the Bankwest website.

Neither this notice nor our Privacy Statement form part of any contract you have with us.

1. What personal information we collect

The personal information we collect includes:

- information about your identity, such as your name, date of birth and contact details
- information contained in identity documents or government documents
- information about your membership with industry associations such as the MFAA or FBAA
- information about your employment history including your employment record where you have previously been employed by the CommBank Group
- Information contained in a police clearance
- information about your relevant educational history
- information about your coverage under an Australian Credit Licence (ACL) (yours or your employers) including dispute resolution bodies such as AFCA
- due diligence information about you from compliance monitoring organisations.

The information we collect about you may also include sensitive information such as any relevant association memberships or any relevant criminal record contained in a police clearance. **You consent** to us collecting your sensitive personal information for the purpose of assessing your application for accreditation as a broker.

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 the Privacy Collection Notice as it relates to them.

2. Why we collect your personal information and what we use it for

The reasons we collect and use your personal information includes:

- to assess and process your application for accreditation as a broker
- to establish, provide and administer the accreditation process including any ongoing, training, assessment and/or accreditation renewals
- to manage and administer any arrangements you have with us and to perform administrative tasks
- to consider any concerns or complaints you raise with 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
- for any other purpose under the arrangements that you have with us.

3. Exchange of personal information

We may exchange personal information about you with:

- anyone you introduce to us
- our related bodies corporate, assignees, agents, contractors and external advisers
- your broker head group and their attorneys
- any relevant industry associations such as the MFAA or FBAA
- your agents, advisers, referees, executors and administrators
- law enforcement, regulatory and government bodies as well as dispute resolution bodies such as AFCA
- third parties providing fraud detection services
- 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 or other persons where this is permitted by law
- other financial institutions.

4. Consent to disclosure of information upon termination

If we terminate your accreditation, **you consent** to us providing at our discretion the full reasons for termination (including for dishonesty or fraud) and copies of relevant documents to any relevant industry association and/or government body which regulates or supervises the conduct of mortgage brokers.

5. Direct marketing messages

You consent and agree that we may send you relevant commercial electronic messages about our products and services or that of any third party. We are not required, and you expressly waive any requirement to include an unsubscribe message, or any statement to similar effect in any commercial electronic message.

6. Privacy Acknowledgement and Consent

You acknowledge the information in this Privacy Collection Notice and our Privacy Statement at bankwest.com.au/privacy.

You consent to us:

- collecting your sensitive personal information (including a police clearance) for the purpose of assessing your application for accreditation as a broker (see part 1)
- in the event that we terminate your accreditation, providing personal information related to the reasons and circumstances to relevant industry associations and government bodies (see part 4)
- sending you relevant electronic commercial messages (see part 5).

7. Application Acknowledgement

You acknowledge that:

- this application for accreditation will be assessed by Bankwest and approval of this accreditation is at the discretion of the Bank
- you must promptly inform the Bank if there is any change to your status as a credit licensee or as a director/employee/credit representative of an ACL.

If you do not acknowledge and consent to the above we may not be able assess your application for accreditation as a broker with Bankwest.

First name

Surname

Signature

Date