



1. Contact Details

Business/Trading Name: _____

Primary Contact: _____

Trading Address: _____

Mailing Address: _____

Telephone: _____ Mobile: _____

Email: _____ Web: _____

2. Entity Details

Company
Go to Section 2.1

Sole Trader
Go to Section 2.2

Partnership
Go to Section 2.3

2.1 Company

Company Name: _____

ACN: _____ ABN: _____

Nominated Director: _____ Other Directors: _____

2.2 Sole Trader

Proprietor's Name: _____

ABN: _____

2.3 Partnership

Partners: _____

ABN: _____

Acting as Trustee

Yes No

Name of Trust: _____

ABN: _____



6. Checklist

Copies of the following items are required with your application:

Attached

1. Certificate of Incorporation and/or Registration of Business Name.
2. CV/Broker's work history.
3. 3 x Business Referees.
4. Certificate IV Financial Services (Finance/Mortgage Broking) or Diploma Finance & Mortgage Broking.
5. Anti Money Laundering / Counter Terrorism Finance Certificate of Completion.
6. Professional Indemnity Insurance Policy.
Minimum cover of \$2M for any one claim and \$4M in the aggregate.
Policy must cover mortgage broking activities and access to run-off cover.
(Minimum 3 months cover remaining)
7. Current MFAA or FBAA Membership Certificate & Statement of Attainment.
(Minimum 3 months cover remaining)
8. Membership with Australian Financial Complaints Authority (AFCA)
Company Membership
Individual Membership

If Loan Writer applying as a corporate contractor, both company and individual Loan Writer will require AFCA membership. (Minimum 3 months cover remaining)
9. Completed nMB Broker/Loan Writer Identification Form
10. Completed Credit Card Authority Form.
11. Separation letter/s from previous Aggregator/s as listed in Section 4.
12. Australian Credit Licence (if applicable).
13. Broker ACL Request For Information Document (if applicable).



7. Declaration & Authority To Act

Please answer the following questions.

True False

I have not been refused the right or been restricted in the right to carry on any trade, business or profession for which an authorisation (licence, certificate, registration or other authority) is required by law.

I have not been subject to disciplinary action in relation to any such authorisation.

I have not, within Australia or overseas, been the subject of any investigations or proceedings that are current or pending and which may result in disciplinary action being taken in relation to any such authorisation.

I have not, within Australia or overseas been engaged in the management of any companies/businesses that have had a *Corporations Act 2001* (or previous or corresponding laws) licence or an Australian Credit Licence cancelled.

I have not, within Australia or overseas, been reprimanded, or disqualified or removed by a professional or regulatory body or external dispute resolution scheme in relation to matters relating to their honesty, integrity or business conduct.

I have not, within Australia or overseas, had a claim made against a professional indemnity insurance policy in relation to advice I have tendered.

I have not, within Australia or overseas, been refused professional indemnity insurance.

I have not, within Australia or overseas, been denied accreditation, or had accreditation cancelled or suspended, by a lender, mortgage manager or mortgage insurer, other than for volume reasons, or had my membership with an aggregator or franchise group terminated, or is similar action pending against me.

I have not within Australia or overseas, carried on business under any name other than the name or names shown in this certificate.

I have not within Australia or overseas, been the subject of administrative, civil or criminal proceedings or enforcement action, which were determined adversely to me (including by consenting to an order or direction, or giving an undertaking not to engage in unlawful or improper conduct) in any country.

I have not, within Australia or overseas, been declared bankrupt or insolvent under administration and no such action pending.



7. Declaration & Authority To Act - Continued

True False

I have not, within Australia or overseas, been engaged in the management of any companies/businesses that have had an external administrator appointed or which have entered a compromise or scheme of arrangement with its creditors.

I have not, within Australia or overseas, been engaged in the management of any companies/businesses that were declared insolvent.

I have not, within Australia or overseas, been engaged in the management of any companies/businesses that were declared the equivalent of insolvent under the law of an external territory or country other than Australia.

If "False" answered to any of the questions, please provide full details below.

I hereby declare the information I have supplied in this application is true and correct. I acknowledge that National Mortgage Brokers Pty Ltd., (nMB) relies on this information to consider my application. I consent to and authorise nMB and its employees to make reasonable enquiries (including probity checks), regarding this applications and to contact any business and personal referees provided or listed in this applications and attachments. Applicants completing this form are subject to assessment. nMB may in its absolute discretion refuse to approve an application.

Print Name

Signature

Date

Print Name

Signature

Date