



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: _____ Email: _____

Other Directors: _____ Email: _____

2.2 Sole Trader

Proprietor's Name: _____

ABN: _____

2.3 Partnership

Partners: _____

ABN: _____

Acting as Trustee

Yes No

Name of Trust: _____

ABN: _____



3. Australian Credit Licence (ACL) Status/Intention

☐ Applying under Own/Third Party ACL Name _____ # _____

☐ Applying for own ACL. Date applied _____

☐ Existing or previous Credit Representative details

ACL Holder: _____

ACL Number: _____

Corporate Credit Representative Number: _____

Individual Credit Representative Number: _____

☐ Request for appointment under nMB's ACL

Appointment under nMB's ACL attracts a monthly credit representative fee which covers the appointment of the Corporate Credit Representative and the Principal Broker relating to this application.

Current fee is \$150.00 + GST per month.

Place of birth required for CR appointment:

City _____

Country _____

Date AFCA Membership commenced

Personal _____

Corporate _____

4. Current/Previous Aggregator

Current Aggregator: _____

Previous Aggregator:
(If Current less than 2 years)

5. Bank Account Details

Account Name: _____

Bank Name: _____

BSB: _____ Account Number: _____

**6. Checklist**

Copies of the following items are required with your application:

				Attached
1.	Certificate of Incorporation and/or registration of business name.			<input type="checkbox"/>
2.	Brief work history or resume.			<input type="checkbox"/>
3.	3 x Business Referees.			<input type="checkbox"/>
	Name:	Business:	Email:	Contact number:
i	_____	_____	_____	_____
ii	_____	_____	_____	_____
iii	_____	_____	_____	_____
4.	Certificate IV Financial Services (Finance/Mortgage Broking) or Diploma Finance & Mortgage Broking.			<input type="checkbox"/>
5.	Anti Money Laundering / Counter Terrorism Finance Certificate of Completion. <small>If older than 2 years then refresher Certificate is required.</small>			<input type="checkbox"/>
6.	Copy of current Professional Indemnity Insurance Policy. <small>Minimum cover of \$2m for any one claim and \$6m in the aggregate. Policy must cover mortgage broking activities and access to run-off cover. Minimum 3 months cover remaining.</small>			<input type="checkbox"/>
7.	Current MFAA or FBAA Membership Certificate & Statement of Attainment. <small>Minimum 3 months membership remaining.</small>			<input type="checkbox"/>
8.	Membership with Australian Financial Complaints Authority (AFCA).			
	Company Membership			<input type="checkbox"/>
	Individual Membership			<input type="checkbox"/>
	Membership required for both company and any individual Loan Writer. National Mortgage Brokers AFCA Membership #42146			
9.	Four forms of identification as listed in nmb Identification & Probity Requirements. <small>Example: Driver's License, Passport, Medicare Card, Redacted Credit/Eftpos Card.</small>			<input type="checkbox"/>
10.	ACL holders - Copy of latest CL50 lodged with ASIC.			
11.	Separation letter/s from current/previous Aggregator/s as listed in Section 4.			

**7. Declaration & Authority To Act**

I have not within Australia or overseas:

True

False

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.

☐☐

Been been subject to disciplinary action in relation to any such authorisation.

☐☐

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.

☐☐

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.

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.

Had a claim made against a professional indemnity insurance policy in relation to advice I have tendered.

Been refused professional indemnity insurance.

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.

Carried on business under any name other than the name or names shown in this certificate.

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.

☐☐

Been declared bankrupt or insolvent under administration and no such action pending.

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.

☐☐



7. Declaration & Authority To Act - Continued

	True	False
Been engaged in the management of any companies/businesses that were declared insolvent.	<input type="checkbox"/>	<input type="checkbox"/>
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.	<input type="checkbox"/>	<input type="checkbox"/>

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., relies on this information to consider my application.

I consent to and authorise National Mortgage Brokers Pty Ltd and its employees to make any inquiries it deems necessary including under ASIC Corporations and Credit Reference & Information Sharing Protocols, Instrument 2021/429. Such inquiries may include probity checks, contact with mutual business associates and personal referees provided or listed in this applications and attachments.

National Mortgage Brokers Pty Ltd may in its absolute discretion refuse to approve this application.

Print Name	Signature	Date
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Print Name	Signature	Date
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