



## 1. Contact Details

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Business/Trading Name: \_\_\_\_\_

Primary Contact: \_\_\_\_\_

Trading Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Telephone: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email: \_\_\_\_\_ Web: \_\_\_\_\_

## 2. Entity Details

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	Company <small>Go to Section 2.1</small>	Sole Trader <small>Go to Section 2.2</small>	Partnership <small>Go to Section 2.3</small>
<b>2.1 Company</b>			

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

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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

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Current Aggregator: \_\_\_\_\_

Previous Aggregator: \_\_\_\_\_  
( If Current less than 2 years )

### 5. Bank Account Details

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Account Name: \_\_\_\_\_

Bank Name: \_\_\_\_\_

BSB: \_\_\_\_\_ Account Number: \_\_\_\_\_



## 6. Checklist

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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"/>																
<table border="0" style="width: 100%;"> <tr> <td style="width: 25%; text-align: right;">Name:</td> <td style="width: 25%; text-align: right;">Business:</td> <td style="width: 25%; text-align: right;">Email:</td> <td style="width: 25%; text-align: right;">Contact number:</td> </tr> <tr> <td>i</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>ii</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>iii</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>	Name:	Business:	Email:	Contact number:	i	_____	_____	_____	ii	_____	_____	_____	iii	_____	_____	_____	
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 cover remaining</small>	<input type="checkbox"/>																
8. Membership with Australian Financial Complaints Authority (AFCA).																	
Company Membership	<input type="checkbox"/>																
Individual Membership	<input type="checkbox"/>																
<b>Membership required for both company and any individual Loan Writer. National Mortgage Brokers AFCA Membership #42146</b>																	
9. Four forms of identification as listed in nmb Identification & Probity Requirements.	<input type="checkbox"/>																
10. ACL holders - Copy of latest CL50 lodged with ASIC.	<input type="checkbox"/>																
11. Separation letter/s from Aggregator/s as listed in section 4.	<input type="checkbox"/>																



## 7. Declaration & Authority To Act

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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.

