

ANZ MORTGAGE BROKER ACCREDITATION APPLICATION FORM



This form is to be used by Australia and New Zealand Banking Group Limited (ABN 11 005 357 522) to assess whether an applicant is suitable for training and accreditation as an Accredited Broker in accordance with the Originator Agreement. This information will only be used and disclosed in accordance with the Privacy Statement. An individual referred to on this form may access this information by contacting ANZ.

The individual seeking accreditation and the authorised company representative must complete all fields. The authorised company representative is required to email the completed form to: origtraining@anz.com

SECTION ONE: BROKER INFORMATION (TO BE COMPLETED BY INDIVIDUAL APPLYING FOR ACCREDITATION)

Broker Details

Full Legal Name

First Name

Middle Name

Last Name

Mobile

D.O.B (DD/MM/YYYY)

Registered Business Name *(Please note: this should be the registered Individual Business Name with ASIC, NOT Aggregator Name)*

ABN *(Registered Business Name)*

Trading Name *(If different to the Registered Business Name)*

Business Address

Suburb

State

Postcode

Telephone No.

Fax No.

Email Address

Broker Background Information

Were you previously known by other names or aliases?

Yes No

If the answer is 'Yes' to above question, please confirm your other names below:

Have you ever been accredited with ANZ?

Yes No

If the answer is "Yes" to above question, please provide your previous TPML code:

Have you ever been terminated/suspended from or by an originator/aggregator or other Lenders?

Yes No

If the answer is "Yes" to above question, please provide further details

Do you have any criminal records?

Yes No

If the answer is 'Yes' to above question, please provide further details:

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Have you ever been declared bankrupt?

Yes No

If the answer is 'Yes', Please provide a copy of Personal Credit History Report (Max 3 months old)

If the answer is 'Yes' to above question, please provide further details:

Have you ever been employed by the ANZ bank?

Yes No

Previous employers

Please list your previous employers for the last five years, including the name and contact number of your supervisor or manager

Reference Details

Business Reference 1

Individual Name(s) Only

First Name

Last Name

Phone No.

Business Reference 2

Individual Name(s) Only

First Name

Last Name

Phone No.

Security Questions/Answers

Security Question:

Answer:

SECTION TWO: AGGREGATOR INFORMATION (TO BE COMPLETED BY AUTHORISED COMPANY REPRESENTATIVE- AGGREGATOR)

Aggregator Details

Authorised Company Representative Name:

Aggregator Originator Company:

Have you satisfactorily confirmed the identity of the above applicant?

Yes No

Have you completed a Reference Check on the above applicant?

Yes No

Did the Reference Check result in any negative comments about the applicant?

Yes No

Have you completed a Police Check on the above applicant?

Yes No

Did the National Police Check produce any adverse findings?

Yes No

Please provide a copy of the Police Check Report along with this application form (Max 3 months old)

Have you received a copy of the Personal Credit Report for above applicant?

Yes No

Did the Personal Credit History Report produce any adverse findings or has the applicant been previously bankrupt?

Yes No

If the answer is 'Yes', Please provide a copy of the Credit History Report (Max 3 months old) along with this application form.

Please Note: If the credit history report includes a bankruptcy check, you don't need to provide a separate bankruptcy check report

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LICENCE INFORMATION

Please confirm which of the following is applicable to the above individual

The above individual has been issued with an Australian Credit Licence in own name

Please provide Licence Number:

The above individual is an Authorised Credit Representative of an entity that has been issued with an Australian Credit Licence

Please provide Authorised Credit Representative Number:

Please provide the entity's Licence Number:

The above individual is an Employee or director of an entity that has been issued with an Australian Credit Licence.

Please provide the entity's Licence Number:

Is the applicant a member of an ASIC approved External Dispute Resolution Scheme?

[e.g. Australian Financial Complaints Authority (AFCA)]

AFCA

Other

Which Industry body is the Applicant a member of? i.e: MFAA or FBAA (Specify if Other)

MFAA

FBAA

Other

AGGREGATOR DECLARATION

I confirm:

- All the details provided as part of this application are true and correct;
- Above applicant has satisfactorily completed Police, Credit, Bankruptcy and Reference checks;
- Identity of the applicant has been satisfactorily confirmed.

Authorised Company Representative Signature

Date (DD/MM/YYYY)

BROKER DECLARATION

I confirm that all the information provided as part of this application is true and correct.

I consent to ANZ Bank to collect, use and disclose my personal information in accordance with the Privacy Statement below.

Broker Signature

Date (DD/MM/YYYY)

SUPPORTING DOCUMENTS

Please ensure all below supporting documents are provided along with this application form.

A copy of Police Check Report (Max 3 months old)

A copy of Credit History report (Max 3 months old), if the Personal Credit History Report produced any adverse findings or the applicant has been previously bankrupt

A current membership certificate for one of the following industry bodies is required:

- Mortgage and Finance Association of Australia (MFAA), or
- Finance Brokers Association of Australia Ltd (FBAA)

A legible copy of ID (Driver's Licence or Passport)

A copy of Membership Certificate of an External Dispute Resolution Scheme

PRIVACY STATEMENT

This statement explains when and how ANZ may collect, use and disclose personal information about you for the purpose of assessing your application for accreditation as a broker and during the course of your relationship with ANZ as an accredited broker. It is important that the information we hold about you is up to date. You must let us know when information you have provided to us has changed.

Collection, use and disclosure of information

You agree that ANZ may collect, use and disclose the information we collect about you for the following purposes:

- to assess and process your application for accreditation as an accredited broker;

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

Providing your information to others

You agree that ANZ may provide your information to:

- any of our related entities or other organisations with whom we have arrangements (which may use the information to assess your application for accreditation as an accredited broker);
- any agent, contractor or service provider we engage to carry out or assist our functions and activities (for example, for verifying your identity);
- an organisation that assists us to identify, prevent or investigate fraud, unlawful activity or misconduct;
- regulatory bodies, government agencies, law enforcement bodies and courts;
- other parties we are authorised or required by law or court/tribunal order to disclose information to;
- other credit providers;
- any person who introduces you to us;
- your employer or the aggregator with which you engage in credit activities;
- our advisers, authorised agents and insurers;
- your advisers, authorised agents and insurers;
- service providers and our related entities which are located outside Australia and/or not established in or do not carry on business in Australia.

ANZ Privacy Policy

Collection of information from other parties

We may collect information in relation to you from other parties, including the aggregator with which you conduct credit activities, to enable us to assess your application for accreditation. This includes, but is not limited to, credit history checks and a National Police Check.

Our Privacy Policy (www.anz.com/privacy) contains information about:

- the circumstances in which we may collect personal information from other sources (including from a third party)
- how to access personal information and seek correction of personal information; and
- how you can raise concerns that we have breached the Privacy Act or an applicable code and how we will deal with those matters.

Absence of relevant information

If you do not provide some or all of the information requested, we may be unable to:

- assess your application for accreditation as an accredited broker;
- manage or administer your broker arrangements with ANZ;
- manage complaints or issues you have raised with us or complaints or issues that have been raised in relation to you; and
- provide you with information.

Information required by law etc.

We may be required by relevant laws to collect certain information from you. Details of laws that require us to collect information about individuals (personal information) and why these laws require us to collect personal information are contained in our Privacy Policy and at www.anz.com/privacy.

Collecting sensitive information

We will not collect sensitive information about you, such as information about your health, without your consent.