

Broker, Agency & Specialist Services

Application for Business Intermediary Nominee Accreditation



Please return to **commercialbroking@cba.com.au**

Accreditation Sought. Please tick (✓) all appropriate options
<input type="checkbox"/> Commercial Finance
<input type="checkbox"/> Asset Finance
<input type="checkbox"/> Commercial Connect

Section 1 – Business Intermediary (Aggregator/Head Group) request

I/We request that you approve the below mentioned to act as our Nominee in accordance with our Business Intermediary Agreement. I/We acknowledge that we are responsible for his/her conduct and remuneration.

Signed for and on behalf of ('Business Intermediary')
 (insert name of Business Intermediary)

Signature

Date

Position/capacity

Name of above signatory

Action items

Prior to returning please ensure the following items have been completed and included (please tick (✓) each box after including/completing the item):

- This Form should be completed and signed by the Business Intermediary (above) and the Business Intermediary Nominee
- **Section 1 to be complete by Business Intermediary (Aggregator)**
- **Section 2 and 3 to be completed by Business Intermediary Nominee (Broker)**

Attach copies of the following:

- Current driver's licence or passport of Business Intermediary Nominee. Please ensure that the photocopy is legible;
- Professional Indemnity insurance which covers the Business Intermediary Nominee (minimum cover \$2m unless seeking Asset Finance accreditation only, then minimum cover is \$1m);
- Business Intermediary Nominees resume;
- Approved Professional Industry memberships of the Business Intermediary Nominee;
- External Dispute Resolution Scheme membership of the Business Intermediary Nominee;
- All licences held by the Business Intermediary Nominee, including without limitation, Australian Financial Services Licence, Australian Credit Licence (or appointment as Authorised Representative), brokers licences and company and/or business name registration;

Section 2 – Business Intermediary Nominee (Broker) details (All sections must be completed)

Name of person seeking accreditation Business Intermediary Nominee (Broker)

Business name (if applicable)

Date of birth

Drivers licence number

State of issue

ACL number (if applicable)

Business address

<input type="text"/>	
State	Postcode

Residential address

<input type="text"/>	
State	Postcode

Section 2 – Business Intermediary Nominee details (All sections must be completed) (continued)

Work number Facsimile Home number Mobile

Work email address

Primary business activity

Other business activity(ies)

Principal source of commercial lending/asset finance transactions

Industry specialisation (if any)

Years in primary business

Years of commercial lending/asset finance experience (minimum 2 years experience required)

Professional Industry memberships e.g. MFAA/FBAA/CAFBA (attach copy)

Membership number

External Dispute Resolution scheme (attach copy of AFCA)

Professional Indemnity insurance (attach copy)
 Insurer Amount \$

Insurance specifically includes finance broking or origination Yes No

Business referees

Business name	Contact name	Contact number

Current financial institution accreditations (include details of monthly lending levels expressed in \$M per month)

Name of financial institution	Commercial	Asset Finance	Residential
	\$M	\$M	\$M
	\$M	\$M	\$M
	\$M	\$M	\$M

Geographic location of offices other than business address above

Have you ever been an employee of the Commonwealth Bank group?

Yes ▶ If 'yes', in what year did you terminate your employment?

No

Are you currently accredited for any other CBA program?

Yes ▶ If 'yes', please provide the relevant membership number

No

Section 2 – Business Intermediary Nominee details (All sections must be completed) (continued)

Has any accreditation from any financial institution (including any member of the Commonwealth Bank Group) been withdrawn by that financial institution?

Yes  If 'yes', please detail

No

Section 3 – Business Intermediary Nominee declaration and identification and business check authority

In accordance with the Bank's compliance procedures, to consent to appointment of Nominees by Business Intermediaries, it is a requirement that each Nominee is identified. We collect identification details and conduct company and individual searches to enable this to be done. The personal information of Nominees will only be used in connection with approval and accreditation as a Nominee. We do not use your information for direct marketing. Further, where business referees are provided, these may be contacted and this application discussed.

A copy of a driver's licence will be sufficient for identification purposes. However, should you not hold a driver's licence please arrange other suitable identification with your Business Development Executive.

Our Group Privacy Policy is available on our website at commbank.com.au (follow the **Privacy Policy** link). It contains further details about our information collection and handling practices including information about:


- other ways we may collect, use or exchange your information;
- how you may access and seek correction of the information; and
- how to make a complaint about a breach of your privacy rights and our complaint handling procedures.

Please read and sign the following declaration/consent:

- 'I agree to conduct myself in accordance with the relevant provisions of the Business Intermediary Agreement which has been executed by the Business Intermediary and the Bank. The relevant provisions relating to the performance of services and the payment of commission has been explained to me by the Business Intermediary'.
- 'I confirm I will personally interview clients prior to submitting any loan application to the Bank'.
- 'I authorise the Bank and any of its affiliates and those acting on its behalf, to verify information which I have presented in my application and to collect additional information which may be relevant to my application'.
- 'I authorise the Bank to
 - Obtain commercial credit report from a credit reporting body, and/or
 - Contact business referees named above, and/or
 - Obtain a National Criminal History Check, to enable the Bank to assess whether to consent to accreditation'.
- 'I confirm that I have never been declared bankrupt, or been subject to control under the Bankruptcy Act 1966'.
- 'I confirm that I have never been found guilty of an offence involving fraud, dishonesty, drug-trafficking, money laundering, violence, or any other criminal offence'.
- 'I confirm that I have never carried on any other occupation, profession, business that is regulated under any enactment of any State or territory of Australia and had my licence, or permission to carry on that occupation, profession, or business suspended or cancelled, or been disqualified from carrying on that occupation, profession, or business'.

Full Name of Business Intermediary Nominee (Broker)

Signature of Business Intermediary
Nominee (Broker)



Date