



**Application for issue as an AUTHORISED REPRESENTATIVE of
Interprac Financial Planning Pty Ltd**
FSR Licence No: 246638 ABN 14 076 196 650
(Part 7.3, Division 3 Corporations Act)

Section 1: Contact Details & Identification

Name of Applicant:

<i>Given Names:</i>	<i>Family Name:</i>
<i>Date of Birth:</i> _____ <i>Place of Birth:</i> _____ (dd/mm/yyyy) (country)	
<i>Drivers Licence No:</i> _____ <i>(Copy required)</i> <i>(Provide a copy of birth Cert if you do not have a drivers licence)</i>	

Contact Details:

<i>Business Phone No:</i>	<i>Mobile No:</i>
<i>Fax No:</i>	<i>Email Address:</i>

Full Business Address:

<i>(street name & no:)</i>	<i>(Suburb)</i>	<i>(state & postcode)</i>
--------------------------------	-----------------	-------------------------------

Full Residential Address:

<i>(street name & no:)</i>	<i>(Suburb)</i>	<i>(state & postcode)</i>
--------------------------------	-----------------	-------------------------------

Name of Employer or Registered Business Name

<i>Business Name:</i>	<i>Position currently held:</i>
ABN:	Registered Business No (if applicable)
<i>Full business address inc. state & postcode if different from above business address:</i>	

Section 2: Details of licences and agency agreements previously held

2.1 State if you have held a Dealers Licence or Investment Advisers Licence. **Yes / No**
(If yes, please provide details of any licences held)

	Current: <u> </u> Yes / No (circle if applicable)
--	---

2.2 State if you have held an Insurance Brokers Licence. **Yes / No**
(If yes, please provide details and advise whether this licence is current).

	Current: <u> </u> Yes / No (circle if applicable)
--	---

2.3 State whether you have held (or currently hold) an agency agreement(s) with a registered insurance broker or life company. **Yes / No**
(If yes, provide details and advise which agreement(s) are current. (Attach annexures if insufficient space.)

<u>Company</u>	<u>Rep No:</u>	<u>Current</u>	<u>Company</u>	<u>Rep No:</u>	<u>Current</u>
		<u>Yes / No</u>			<u>Yes / No</u>
		<u>Yes / No</u>			<u>Yes / No</u>
		<u>Yes / No</u>			<u>Yes / No</u>
		<u>Yes / No</u>			<u>Yes / No</u>

2.4 State whether you have held a proper authority from another securities dealer or investment adviser. *(If yes, please provide details).* **Yes / No**

2.4 State whether you currently hold an Authorised Representative agreement with another Securities Dealer or Investment Adviser. **Yes / No**

	<i>(If yes, please provide details and proof of revocation) (Copy attached) Yes / No</i>
--	--

Section 3: Education, experience and qualifications

3.1 Educational qualifications (include schooling level, degrees, diplomas etc.)

Qualification	Institution	Year Completed

NOTE: Provide proof of completion of any educational qualifications. Please note that Policy Statement 146 (or its equivalent) is required. (Any partially completed education should be included).

3.2 Financial Services Industry experience

Date From	Date To	Employer	Position Held	Position Description

NOTE: Provide at least two (2,) references from a previous or current employer(s) regarding industry experience within the last 5 years (if applicable) and good fame and character.

3.3 Membership of professional bodies within Financial Services Industry

Date From	Date To	Professional Body	Membership Category

NOTE: Please provide proof of membership of relevant professional bodies.

Section 4: Good fame and character details

4.1 State whether in the last 10 years (circle ‘yes’ or ‘no’):

- (a) you have been convicted of an offence in respect of conduct relating to the financial services industry. **Yes / No**
- (h) you have been discharged without conviction following an offence in respect of conduct relating to the financial services industry which was found proven by a court. **Yes / No**
- (c) you have been convicted of an offence in respect of dishonest conduct. **Yes / No**
- (d) you have been discharged without conviction following an offence in respect of dishonest conduct which was found proven by a court. **Yes / No**
- (e) you have had a pecuniary penalty or a civil penalty order imposed by a court, or tribunal, in respect of conduct relating to the financial services industry. **Yes / No**

If you have answered yes to any of the above, then please provide details on an attached annexure. Annexure in respect of good fame and character is attached. Yes / No / N/A

NOTE: *A conviction of an individual does not have to be disclosed if:*

- (i) the conviction was subsequently quashed or set aside by a court; or*
- (ii) the individual was subsequently granted a pardon in respect of the offence; or*
- (iii) the individual did not receive a prison sentence for the offence, and the conviction happened more than 10 years ago*
 - (or more than 5 years ago if the court dealt with the individual as a minor); or*
- (iv) the conviction was for a State offence, and under the law of the State concerned relating to spent convictions the individual is permitted not to disclose the conviction in these circumstance’s.*

An offence proven without conviction, a pecuniary penalty order or a civil penalty order need not be disclosed if it occurred more than 10 years ago (5 years ago where the person dealt with was a minor).

4.2 State whether or not you have been, or are currently, bankrupt or insolvent. Yes / No
(If yes, please provide details)

4.3 State whether or not you have been, or are currently, associated with an insurance intermediary or securities licensee whose registration was refused, suspended or cancelled or who ceased trading. Yes / No
(If yes, please provide details)

NOTE: A person is taken to be 'associated' with an insurance intermediary whose registration was refused, suspended or cancelled or who ceased trading without meeting all insurance liabilities if the person is or was:

- (a) a director or principal of that intermediary; or
- (b) an employee or agent of that intermediary who is or was in a position of influence or control over the operations of that intermediary.

4.4 State whether or not you have been the subject of a banning order by ASIC (under Part 7 Division 5 of Corporations Law) or have been a party to an enforceable undertaking.

Yes / No

(If yes, please provide detail).

Section 5: Professional Indemnity Insurance and complaints history

5.1 State whether or not you currently hold professional indemnity insurance

(If yes please provide details and attach a Certificate of Currency)

Yes / No

Certificate Number:	
Underwriters / Ins. Broker:	
Name of Assured:	
Period of Insurance:	
Limit of Indemnity:	
Excess	
Other Details:	

5.2 State whether or not you have had a complaint registered against you under a complaints resolutions scheme within the last 5 years

(If yes, please provide details)

Yes / No

5.3 State whether or not you have been the subject of a complaint within the financial services industry, irrespective of whether it was registered or not under a complaints resolution scheme. *(Please attach copy of your previous 12 months Complaint Register)*

(If yes, please provide details)

Yes / No

Section 6: Declarations and undertakings

- I declare that the information provided by me in this application is true and correct to be best of my knowledge and belief.
- I undertake to advise the Licensee, for so long as I am an authorised representative of the Licensee, of any changes to the information provided by me in this application.
- I undertake to submit to all compliance and business reviews as required by the Licensee.
- I undertake to submit to all ongoing training and education as required by the Licensee.
- I undertake to surrender my proper authority on request by the Licensee.
- I undertake to submit to all reasonable Licensee as required from time to time.

Signature:

Name of Applicant:

Dated:



<p style="text-align: center;">CHECKLIST APPLICATION for issue as an Interprac Financial Planning AUTHORISED REPRESENTATIVE</p>
--

Before submitting this application please check that you have completed each section and attached annexures where necessary. The following checklist covers the main items.

- Section 1 — Contact details & identification completed.
- Section 2 — Details of licences & agency agreements previously held completed
- Section 3 — Education, experience & qualification's completed.
- Section 4 — Good fame & character details completed.
- Section 5 — Professional Indemnity Insurance & complaints history
- Section 6 — Declarations and undertakings
- Copy of drivers licence attached (or copy of birth certificate)
- Proof of revocation of proper authority attached (where applicable,).
- Details of current agency agreement(s) completed (where applicable).
- Copies of relevant educational qualifications obtained.
- At least 2 references as to industry experience, qualifications and good fame and character.
- Proof of membership of relevant professional bodies.
- Annexure in respect of good fame and character attached (where applicable).
- PII Certificate of Currency (where applicable).
- Individuals Australian Business Number supplied
- ASIC FS30 completed and attached
- Copy of Training Register for previous 24 months
- Copy of Complaints & No Contact Registers for previous 12 months