

Registered Business No. (if applicable)

ABN

Grid for business number and ABN

Position currently held

Grid for position details

SECTION 2: DETAILS OF LICENCES AND AGENCY AGREEMENTS PREVIOUSLY HELD

PLEASE TICK

- 2.1 Have you held a Dealers Licence or Investment Advisers Licence? [Y] [N]

If yes, please provide details of any licences held and advise if this is current.

current: yes/no

_____ current: yes/no

_____ current: yes/no

- 2.2 Have you held an Insurance Brokers Licence? [Y] [N]

If yes, please provide details and advise if this is current.

current: yes/no

_____ current: yes/no

_____ current: yes/no

- 2.3 Have you held (or currently hold) and agency agreement(s) with a registered insurance broker or life company? [Y] [N]

If yes, please provide details and advise if this is current.

Table with columns: Company, Rep No, Current. Rows for agency agreements.

- 2.4 Have you held a proper authority from another securities dealer or investment adviser? [Y] [N]

If yes, please provide details.

Horizontal lines for providing details for question 2.4

- 2.5 Do you currently hold an Authorised Representative agreement with another Securities Dealer or Investment Adviser? [Y] [N]

If yes, please provide details and proof of revocation

Horizontal lines for providing details for question 2.5

SECTION 3: EDUCATION, EXPERIENCE AND QUALIFICATIONS

PLEASE LIST

- 3.1 Please list your educational qualifications (include schooling level, degrees, diplomas etc).

| <i>Qualification</i> | <i>Institution</i> | <i>Year Completed</i> |
|----------------------|--------------------|-----------------------|
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NOTE: Provide proof of completion of any educational qualifications. The minimum education requirement is the RG146, or equivalent.

- 3.2 Please list your Financial Services Industry experience.

| <i>Date from</i> | <i>Date to</i> | <i>Employer</i> | <i>Position</i> | <i>Description</i> |
|------------------|----------------|-----------------|-----------------|--------------------|
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NOTE: Provide at least 2 references from previous or current employer(s) regarding industry experience within the last 5 years (if applicable) and good fame and character.

- 3.3 Please list the professional bodies within the Financial Services Industry with whom you have a membership with.

| <i>Date from</i> | <i>Date to</i> | <i>Professional Body</i> | <i>Membership Category</i> |
|------------------|----------------|--------------------------|----------------------------|
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NOTE: Provide proof of membership of relevant professional bodies.

SECTION 4: GOOD FAME AND CHARACTER DETAILS

PLEASE TICK

▪ **4.1 State whether in the last 10 years:**

- (a) You have been convicted of an offence in respect of conduct relating to the financial services industry; Y N
- (b) 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; Y N
- (c) You have been convicted of an offence in respect of dishonest conduct; Y N
- (d) You have been discharged without conviction following an offence in respect of dishonest conduct which was found proven by a court; Y N
- (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. Y N

IF YOU HAVE ANSWERED YES TO ANY OF THE ABOVE THEN PLEASE PROVIDE FURTHER DETAILS AS AN ATTACHED DOCUMENT.

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 you have ever been, or are currently bankrupt or insolvent.** *If yes, please provide details.* Y N
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- **4.3 State whether you have ever been, or are currently associate with an insurance intermediary or securities licensee whose registration was refused, suspended or cancelled or who ceased trading** *If yes, please provide details.* Y N
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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:

(i) a director or principal of that intermediary; or

(ii) 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 you have ever been the subject of a banning order by ASIC, or have been a party to an enforceable undertaking**
If yes, please provide details.

 Y N

SECTION 5: PROFESSIONAL INDEMNITY INSURANCE AND COMPLAINTS HISTORY

- **5.1 State whether you currently hold professional indemnity insurance**
If yes, please provide details of the Certificate of Currency.

 Y N

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

- **5.2 Have you ever had a complaint registered against you under a complaints resolution scheme within the last 5 years?**

 Y N

If yes, please provide details.

- **5.3 Have you ever been the subject of a complaint within the financial services industry, irrespective of whether it was registered or not under a complaints resolution scheme?**

 Y N

If yes, please attach a copy of your previous 12 months Complaints register.

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:



CHECK LIST

Before submitting this application please check that you have completed each section and attached annexures where necessary.

- 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

HAVE A QUESTION?

If you have any questions or need clarification of what we require please don't hesitate to contact Emily Obouhoff on (03) 9209 9777.