Commonwealth Bank
Commonwealth Bank of Australia
ABN 48 123 123 124
Australian credit licence 234945

Broker, Agency & Specialist Services

Application for Transfer Business Intermediary Nominee Accreditation

Transfer Sought.

Please tick (✔) all appropriate options:

- ☐ Commercial Finance
- ☐ Asset Finance

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.

I/We confirm the Business Intermediary Nominee:

- Has not left previous Business Intermediary with adverse findings.
- Is insured with appropriate Professional Indemnity Insurance (minimum cover $2m unless seeking Asset Finance transfer only, then minimum cover is $1m).
- Is a member of a recognised Industry Body.
  Industry Body name _____ Membership number _____
- Is a member of the External Dispute Resolution Scheme.
  AFCA Membership number _____

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

Signature _____ Date (DD/MM/YYYY) _____

Name of above signatory _____ Position/capacity _____

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

Broker's name _____ Business name (if applicable) _____

BIN number _____ Date of birth _____ Driver's licence number _____ Mobile number _____ ACL number (if held) _____

Email _____

Business address _____

State _____ Postcode _____

Residential address _____

State _____ Postcode _____

Section 3 – Business Intermediary Nominee declaration/consent

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 agree to tell my clients that I am an independent contractor and that I am not an agent of the Commonwealth Bank.
- 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; and/or
  - Obtain a National Criminal History Check, to enable the Bank to assess whether to consent to accreditation.
- I declare that I have never been bankrupt, or been subject to control under the Bankruptcy Act 1966.
- I declare that I have never been found guilty of an offence involving fraud, dishonesty, drug-trafficking, money laundering, violence, or any other criminal offence.
- I declare that I will act in full compliance with all applicable Anti-Corruption and Anti-Tax Evasion Laws.
- I declare that I will comply with the Code of Conduct and Disciplinary rules of the professional industry body of which I am a member.
- I declare 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.
- I confirm that I maintain a workplace culture that considers environmental and social risks and opportunities.
- I declare that I will always consider, and take steps to avoid or mitigate, any actual, perceived, or potential conflicts of interest; and that I will immediately fully disclose to the Bank at **CommercialBroking@cba.com.au**, and any Customer, if any such conflict arises.
- I agree to the Bank sending me commercial electronic messages including messages about the Bank's products and services as well as those of third parties. I agree that the Bank need not include an unsubscribe facility, message, or statement (as otherwise required by s18(1) of the Spam Act 2003) in any commercial electronic message sent to me.
- I acknowledge that, as a CommBank accredited broker, I am required to receive CommBank Broker communications to stay informed about products, policies, and processes. I understand that unsubscribing from CommBank customer communications does not withdraw my consent to receive Business Banking Broker Communications. If I have any questions, I can contact my Business Development Executive.
- For details of how any personal information you may have provided is handled by us, please visit our Group Privacy Statement at **commbank.com.au/support/privacy**. 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.

Full Name of Business Intermediary Nominee (Broker)

Signature of Business Intermediary Nominee (Broker)

X

Date (DD/MM/YYYY)



Please return completed form to **CommercialBroking@cba.com.au**