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

Broker, Agency & Specialist Services

Application for Business Intermediary Nominee Accreditation

Please note

- To enable prompt processing of this application, please ensure that it is completed by both the Business Intermediary Nominee (Broker) and the Business Intermediary (Aggregator) in its entirety before lodging.
- The application is to be submitted by the Business Intermediary (Aggregator) with all supporting documentation to commercialbroking@cba.com.au

Call to Action

- Sections 1–4 to be completed by the Business Intermediary Nominee (Broker)
- Section 5 to be completed by Business Intermediary (Aggregator)

Section 1 – Business Intermediary Nominee details (All sections must be completed)

Name of person seeking accreditation Business Intermediary Nominee (Broker)

Any other name(s) by which you are known

Business name (if applicable, name must read exactly the same as listed on your supporting documentation)

Do you hold residential accreditation with CBA? ☐ Yes ☐ No
(if yes, please provide accreditation number)

Date of birth | Driver's licence number | State of issue

Business address

State Postcode

Residential address

State Postcode

Work number | Mobile number

Work email address

Primary business activity

Industry specialisation (if any)

Referral sources for new/existing business

Referral entity (accountants, other sources, etc)	Contact name	Contact number

Section 1 – Business Intermediary Nominee details (All sections must be completed) (continued)

Years in primary business

Business referees

Business name	Contact name	Contact number

Geographic location of offices other than business address above

Are there any current or previous professional/personal relationships with any Commonwealth Bank Group representative that may be considered as a 'conflict of interest'?

☐ Yes ▸ If '**yes**', please send details on a separate email to CommercialBroking@cba.com.au

☐ No

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

☐ Yes ▸ If '**yes**', in what year did you terminate your employment?

☐ No

Has any accreditation from any financial institution (including any member of the Commonwealth Bank Group) been withdrawn by that financial institution?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 2 – Commercial Accreditation request

☐ Please tick if you want to obtain Commercial Accreditation

Current pipeline for Commercial transactions:

Approx. value $		Number of transactions	

Section 3 – Asset Finance Accreditation request

☐ Please tick if you want to obtain Asset Finance Accreditation

Current pipeline for Asset Finance transactions:

Approx. value $		Number of transactions	

Section 4 – 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, and for the purposes of independently obtaining your feedback on our products and services. 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.

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.

Please read and sign the following declaration/consent:

- I agree to the collection and handling procedures of my personal information I have provided in this application. I understand that I am able to withdraw my consent at any time, and as a consequence my accreditation will need to be withdrawn. Should I wish to withdrawn such consent, I agree to inform the Bank at **CommercialBroking@cba.com.au**.
- 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 named above; 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, nor do I have any such action pending.
- 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, nor do I have any such charges pending.
- I declare that I have never had any claim made against my Professional Indemnity Insurance, nor is any such action pending, nor have I ever been refused such insurance.
- I declare that I will act in full compliance with all applicable Anti-Corruption and Anti-Tax Evasion Laws.
- 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 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, nor do I have any such action pending.
- 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.
- I confirm that I maintain a workplace culture that considers environmental and social risks and opportunities.

NOTE: If you are unable attest to any of the above declarations, please provide a description of the event(s) and surrounding circumstances below.

Full name of Business Intermediary Nominee (Broker)

Signature of Business Intermediary Nominee (Broker)

X

Date

Digital signatures are not accepted. Please note that your signature should match your driver's licence.

Call to Action

Please send this form to your Business Intermediary (Aggregator) to complete Section 5.

Section 5 – Business Intermediary (Aggregator/Head Group) request

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

I/We will inform CBA immediately if the abovementioned person is no longer operating under our Business Intermediary Agreement.

The below based on our records, is considered a fair and reasonable representation of the major business levels generated by our accredited broker through this aggregation in the past 12 months.

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

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

(insert name of Business Intermediary)

Signature

Date (DD/MM/YYYY)

Name of above signatory

Position/capacity

Action items

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), other broker licences and company and/or business name registration;
- ☐ Business Plan*

* Business Plan is only required for Brokers new to the Industry with less than 12 months' experience as a broker.

Submit:

Forward application forms and ALL supporting documents to:

email: Commercialbroking@cba.com.au