



# Accreditation Transfer Form

## Commercial or Equipment Finance Intermediary Application

This application form is to be used to transfer an existing accredited Intermediary between Aggregators.

**Please ensure you:**

- Attach **ALL** relevant documents
- Complete **ALL** sections of this form
- Once completed, print out, sign, scan and email this application and all supporting documents to [Commercial Intermediaries -WBC -STG -BOM -BSA@westpac.com.au](mailto:CommercialIntermediaries-WBC-STG-BOM-BSA@westpac.com.au) for all Westpac, St George, Bank of Melbourne and Bank SA Commercial Accreditation transfers  
**AND/OR**  
[Westpac3rdPartyEquipmentFinanceWBC@westpac.com.au](mailto:Westpac3rdPartyEquipmentFinanceWBC@westpac.com.au) for all Westpac Equipment Finance, and CFAL accreditation transfers.

Current Aggregator: (outgoing)

New Aggregator: (transferred to)

Please confirm the Business units that you are currently accredited with:

STG/BOM/BSA Commercial

Westpac Commercial

Westpac Equipment Finance

CFAL

# Section 1: Individual Intermediary Transfer

Accreditation to be transferred (please complete a separate form for each applicable accreditation)

Commercial Accreditation  OR Equipment Finance Accreditation

Please provide your existing Westpac, St George or CFAL ID as applicable:

## Part 1. Intermediary: Details (Applicant to complete)

Given Name / Middle Name  Surname  DOB

Any other name(s) by which you are known  Gender

Personal Address (No PO Boxes)

Street:  Postcode:

City/ Suburb:  State:  Country:

Mobile  Office Number

Email

Principal Place of Business (Where you work from)

Country:  State:  Postcode:

ABN  ACN  ARBN (If applicable)

**Part 2. Confirmation by the entity that has an Agreement with Westpac Group**

**Aggregator Representative or Direct Agreement Holder Signoff only:**

I will inform Westpac Group immediately if the above mentioned individual is no longer operating under our agreement, so that the allocated Intermediary ID may be deactivated.  
(NOTE: ID numbers cannot be transferred between individuals).

Entity that has the Agreement with Westpac Group - Your Company Name *(Full Legal Name)*

Name:

Position:

Signature:

Date:

***NOTE: A digital signature is accepted above and is applicable to representatives of direct agreement holders only.***

# Section 2: Applicant Personal Declaration

In relation to the last 10 years, whether as an individual or a director of a company have you ever (please tick relevant box):

YES NO

- a. Had an industry or business licence, issued by a proper authority, either refused, suspended, withdrawn, cancelled or been subject to a banning order, or do you have any of these actions pending?
- b. Been convicted of or found to have committed an offence concerning fraud or dishonesty or do you have a charge pending involving fraud or dishonesty?
- c. Been subject to an investigation by ASIC or by any other regulatory or official body in relation to any aspect of its business or are you currently subject to such an investigation by any of these bodies?
- d. Been a director of a company that has gone into voluntary liquidation or had a Receiver, Professional Liquidator, Liquidator, Scheme Manager, or an Official Manager appointed, or do you have such action pending?
- e. Been declared bankrupt or are you presently an un-discharged bankrupt or do you have any such action pending?
- f. Been a partner of a firm which has been placed into voluntary liquidation or had a Receiver, Professional Liquidator, Liquidator, Scheme Manager, or an Official Manager appointed, or do you have such action pending?
- g. Been refused membership of a statutory, professional, or other body in respect of your professional capacity, or do you have any such action pending?
- h. Been subject to disciplinary proceedings or banned, disqualified, or expelled by a statutory, professional, or other body in respect of your professional capacity, or do you have any such action pending?
- i. Been dismissed, or had any proper authority including any licence withdrawn on ethical or legal grounds, or any disciplinary proceedings pending?
- j. Had any past, present or pending claim made against your Professional Indemnity Insurance under which you operate in relation to advice you have provided?
- k. Been refused Professional Indemnity Insurance?
- l. Had your accreditation cancelled or suspended by a Lender, Mortgage Manager, or a Mortgage Insurer, other than for volume reasons, or had a membership of an Aggregator or franchise group terminated, or is similar action pending against you.

If you answered YES to any of these questions, please attach details of the circumstance and any supporting documentation you may wish to disclose.

# Section 3: Privacy Policy and Statement

We are bound by the Privacy Act 1988 (Cth) and will protect your personal information in accordance with the Australian Privacy Principles. These principles govern how we can collect, use, hold and disclose your personal information, including ensuring the quality and security of your personal information.

This privacy policy explains how we manage your personal information when you apply to become a broker/referrer/aggregator ("Intermediary ") of Westpac Group.

## **What kinds of personal information we collect and hold and why we do we do so?**

When you apply to become an Intermediary, we may ask you to provide personal information (being any information or opinion about you or information from which you can be identified) to process your application. This could include your name, address, contact details, date of birth, education details and work history.

In general, will collect all personal information directly from you, although, we may verify information you provide from third party sources if your application is successful. We collect further information in the course of your acting as an Intermediary.

We collect, hold, and use your information:

- to assess your application and eligibility to be appointed as an Intermediary;
- to allow you access to our computer systems (as necessary) so that you may perform your responsibilities in your capacity as an Intermediary;
- for administration and management of customer relationships with us and other members of the Westpac Group, including but not limited to providing you with appropriate training on our products and services, monitoring your performance as Intermediary s and the investigation and resolution of any complaints; and
- to facilitate our internal business operations, including but not limited to payment of commissions and fulfilment of any legal obligations.

We may use your information to comply with legislative or regulatory requirements in any jurisdiction, prevent fraud, crime or other activity that may cause harm in relation to our products or services and help us run our business.

## **Who do we disclose your personal information to and why, and do we disclose personal information overseas?**

We may disclose your personal information to other members of the Westpac Group to analyse customer needs and develop new services.

We may also disclose your personal information to your financial or legal adviser if you give an authority for your financial or legal adviser to obtain information from us.

We may disclose your personal information to a recipient which is located outside Australia. This includes:

- Westpac Group companies located in China, India, Singapore, New Zealand, United Kingdom, United States; and
- Westpac Group's service providers which are likely to be located in India.

As a financial services licensee and credit licensee, we have obligations to disclose personal information to government agencies and regulators in Australia and overseas. For example, some of the information we collect about you is required to be disclosed to the Australian Securities and Investments Commission under the

National Consumer Credit and Protection Act 2009 (Cth) or the Corporations Act 2001 (Cth).

We are not able to ensure that foreign government agencies or regulators will comply with Australian privacy laws, although they may have their own privacy laws. By agreeing to be appointed as an Intermediary, you consent to these disclosures.

## **How do we hold your personal information?**

Much of the personal information we hold will be stored electronically in secure Westpac Group owned data centres. These data centres are located in Australia. Some information we hold about you will be stored in paper files. We use a range of security measures to protect the personal information we hold.

For example:

- access to our data centres is controlled through identity and access management;
- employees are bound by internal information security policies that require employees to keep information secure and undertake training about information security; and
- we regularly monitor and review our compliance with internal policies and industry best practice.

We take reasonable steps to destroy or permanently de-identify any personal information after it can no longer be used in accordance with this policy.

### Your consent

You understand and agree that:

- the Westpac Group may use your personal information for the purposes described above; and
- we may disclose the information you supply to us in the ways described above.

If you choose not to consent or you do not provide all the information we request, we may not be able to process or properly consider your application to be appointed as an Intermediary.

### Access to and correction of personal information

You can request access to the personal information we hold about you. You can also ask for corrections to be made. To do so, please contact your Relationship Manager.

There is no fee for requesting that your personal information is corrected or for us to make corrections. In processing your request for access to your personal information, a reasonable cost may be charged. This charge covers such things as locating the information and supplying it to you.

There are some circumstances in which we are not required to give you access to your personal information.

If we refuse to give you access to or to correct your personal information, we will give you a notice explaining our reasons except where it would be unreasonable to do so.

If we refuse your request to correct your personal information, you also have the right to request that a statement be associated with your personal information noting that you disagree with its accuracy.

If we refuse your request to access or correct your personal information, we will also provide you with information on how you can complain about the refusal.

### Resolving your privacy concerns and complaints

If you are concerned about how your personal information is being handled or if you have a complaint about a breach by us of the Australian Privacy Principles, please contact your Relationship Manager.

We will acknowledge your complaint as soon as we can after receipt of your complaint. We will let you know if we need any further information from you to resolve your complaint.

We aim to resolve complaints as quickly as possible. We strive to resolve complaints within five business days but some complaints take longer to resolve. If your complaint is taking longer, we will let you know what is happening and a date by which you can reasonably expect a response.

### If you are unhappy with our response, there are other bodies you can go to.

Under the Privacy Act you may complain to the Office of the Australian Information Commissioner about the way we handle your personal information. The Commissioner can be contacted at:

GPO Box 5218

Sydney NSW 2001

Phone: 1300 363 992

Email: [enquiries@oaic.gov.au](mailto:enquiries@oaic.gov.au)

[www.oaic.gov.au](http://www.oaic.gov.au)

We will update our privacy policy from time to time for any reason.

### Declaration:

I have read and understood the above Privacy Policy and Privacy Statement and I consent to the collection, use and disclosure of personal information in accordance with this document. Where I have provided information about another individual, I declare that the individual has been made aware of that fact and the contents of the Privacy Policy and Privacy Statement. By signing this form, you authorise us to collect, use, hold and disclose your personal information in the manner set out in this privacy statement.

<b>SIGNED:</b> Applicant		<b>DATE:</b> <input type="text"/>
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**NOTE: Digital signatures are NOT accepted for applicant declaration**

# Section 4: Application Checklist

Application form completed:	YES	NO
Personal Declaration completed ( <i>Section 2</i> ):	YES	NO
Privacy Consent Signed ( <i>Section 3</i> ):	YES	NO

## SUPPORTING DOCUMENTATION:

Please complete all sections relevant to your application and attach the required evidence.

Broker Association membership (which includes Cert IV/Diploma as a pre-requisite)  
**MANDATORY for Equipment Finance and Commercial Intermediaries/Broker applications**  
 FBAA accreditation (Finance & Mortgage Brokers) **OR**  
 CAFBA associate (Commercial and Asset Finance Brokers) **OR**  
 MFAA full membership (Mortgage & Finance Association of Australia)  
*Provide: A copy of your current membership*

**MANDATORY for all Commercial Referrer applications only:**

Degree qualified professional.  
*Provide: Copy of degree; or letter from institution confirming degree was obtained; or Membership number of a recognised Professional Association.*

**OR**

Association and Membership Number:

Broker with 2 years plus experience.  
*(Your assigned Senior Partnership Manager will verify your experience)*

**Please provide details if applicable:**

An Australian Credit Licence (ACL) Holder.

**OR**

An Authorised Credit Representative of an ACL Holder

Business Banker with 2 years plus experience.  
*(Your assigned Senior Partnership Manager or BDM will verify your experience)*

## PLEASE ATTACH:

- |                          |  |           |
|--------------------------|--|-----------|
| <input type="checkbox"/> | Current Photo ID (1 form) - Drivers Licence/Passport             | MANDATORY |
| <input type="checkbox"/> | Police clearance certificate. ( <i>Not older than 180 days</i> ) | MANDATORY |
| <input type="checkbox"/> | Release letter from current Aggregator (Outgoing)                | MANDATORY |

# Section 5: Intermediary Business Review

This section is for Commercial Broker and Equipment Finance applications only.

<p>Please state your commercial banking and or equipment finance experience including institutions and years in role.</p>	
<p>In the past 12 months what was the total value of your commercial and or equipment finance settlements written with all institutions?</p>	