

## NEW AUTHORISED REPRESENTATIVE (AR) – APPOINTMENT CHECKLIST

### Application Form

1	<p>Completed &amp; Signed Application forms received including copies of required documentation as follows:</p> <ul style="list-style-type: none"> <li>- Australian Federal Police-National Police Check</li> <li>- Bankruptcy Check</li> </ul> <p>Note: Go to <a href="https://www.nationalcrimecheck.com.au/">https://www.nationalcrimecheck.com.au/</a> to apply for the Federal Police and Bankruptcy checks</p> <ul style="list-style-type: none"> <li>- Certified copies of 100-point ID (driver's Licence, passport, birth certificate, etc.)</li> <li>- Educational Qualifications (including Transcripts)</li> </ul>	Yes	No
2	Certificate of Company Registration	Yes	No
3	Details of Director/Secretaries etc	Yes	No
4	Full copy of Trust Deed received ( <i>if being set up as a Trust</i> )	Yes	No
5	Full copy of Partnership Agreement received ( <i>if being set up as a Partnership</i> )	Yes	No
<b>Where Previously Authorised:</b>			
1	Provide copies of:		
2	Adviser Code Listing	Yes	No
3	Client Listing	Yes	No
4	Commission Reports (last 3 months)	Yes	No
5	CPD/Training Register (last 2 years)	Yes	No
6	Compliance Audit Reports (last 2 reports)	Yes	No
7	Previous FSG (Adviser Profile), if possible	Yes	No
8	Contact details of Exiting Licensee ( <i>list below in notes</i> )	Yes	No
9	Transfer Agreement/Deed	Yes	No
10	Letter of Release	Yes	No
11	Cross-endorsement Agreement ( <i>if with another Licensee, if required</i> )	Yes	No
12	- System transition – e.g. financial planning software, CRM, etc.	Yes	No

