

## THIRD PARTY DECLARATION

This declaration is to be completed and signed by either a mentor, licensee, aggregator or supervisor.  
A simple “yes” can be typed in the place provided or an explanation can be given according to the individuals circumstances.

|                           |   |  |
|---------------------------|---|--|
| Approved Credit Providers | You have discussed with the broker the Lenders on your panel  |  |
| Software                  | You have provided training on the software your organisation uses.  |  |
| Compliance                | You have discussed the culture of your organisation and the required level of adherence and consequences of non compliance  |  |
| Products                  | You have provided examples of products available  |  |
| Policies and Procedures   | You have explained the steps that are required to be adhered to at all times, within your organisation  |  |
| Training                  | You have explained the ongoing training that is required  |  |
| Loan applications         | You have supervised 3 complex scenarios and explained the areas of concern for the client.<br>Did the broker provide an appropriate level of notes?   |  |
| Business Plan             | You have discussed the brokers plan for a successful career. Does the plan include <ol style="list-style-type: none"> <li>1. Executive summary</li> <li>2. Business description</li> <li>3. Market analysis and strategy</li> <li>4. Marketing and sales plan</li> <li>5. Competitive analysis</li> <li>6. Management and organisation description</li> <li>7. Products and services description</li> <li>8. Operating Plan</li> <li>9. Financial projection and needs</li> <li>10. Exhibits and appendices</li> </ol>  |  |
| Chain of Command          | Has the chain of command in your organisation been explained in detail?   |  |
| Process                   | Is the broker competent to follow process?<br>The areas of competency are x3 different scenarios that demonstrate: <ul style="list-style-type: none"> <li>• rapport building (KYC)</li> <li>• identification and consideration of special financial needs, risk issues and tolerances</li> <li>• explanation of IDR &amp; EDR process</li> <li>• use of communication tools (such as email protocol, excel worksheets, text)</li> <li>• understanding and explanation of prescribed docs to arrive at a Preliminary Assessment that meets the customers Best Interest.</li> </ul> |  |
| Key Fact Sheets           | The broker understands and can demonstrate correct use of KFS   |  |

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| Name of Broker                                     |  |
| Name of Supervisor<br>Position of Supervisor       |  |
| Signature of Supervisor and<br>Date of Declaration |  |