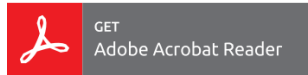


# New Application

## Real Estate / Business Settlement Agent's

## Licence & Triennial Certificate (Body Corporate/Company)

USE ADOBE ACROBAT READER WITH THIS FORM



This form is designed to be used with the FREE Adobe Acrobat Reader application.  
[Click here to download Acrobat Reader.](#) Alternatively the form can be printed and completed by hand, scanned and submitted (with all attached documents).

### Application Checklist

Your application can only be processed if **ALL** of the relevant information and supporting documentation is provided. Use this checklist to ensure that you complete all parts of your application and have all necessary supporting documents ready to attach. Please check that:

- all sections of this form are complete;
- the Australian police check/s for each relevant person is/are ready to attach;
- the two (2) business references for each relevant person have been completed using the pro forma available on the website, and are ready to attach;
- a copy of the Certificate of Insurance is ready to attach;
- payment of the prescribed fee is ready to be made.

### Duration of licence

If granted, the Triennial Certificate will be issued for a period of up to three (3) years.

### Application fee

Please refer to our website for the [current prescribed fees](#).

The total fee payable includes a non-refundable triennial certificate/licence fee and a contribution to the fidelity guarantee account. It is exempt from GST and subject to change without notice. Part payment cannot be accepted. Cheques should be made payable to the Commissioner for Consumer Protection.

**If you are submitting this form online**, you will be able to make payment using the Department's secure payment gateway.

**If you are submitting this form by post and making payment by credit card**, you must also complete the [Application Payment Form](#) and attach it to your application.

### Lodgement options

You may lodge your completed application **ONLINE** or:

#### In person

Customer Service  
Level 1, Mason Bird Building  
303 Sevenoaks Street CANNINGTON  
Hours: 8:30am to 4:30pm, Monday to Friday

#### By post

Licensing Services  
Department of Local Government, Industry Regulation and Safety  
Locked Bag 14  
CLOISTERS SQUARE WA 6850

### Enquiries

Licensing Advice Line: 1300 304 064  
General Enquiries: 1300 304 054  
Overseas Callers: +61 8 6251 2969  
Licensing Email: [cplicensing@lgirs.wa.gov.au](mailto:cplicensing@lgirs.wa.gov.au)  
Website: [www.wa.gov.au/organisation/service-delivery/consumer-protection-licensing-and-registration](http://www.wa.gov.au/organisation/service-delivery/consumer-protection-licensing-and-registration)

Office use only		
Total fee	Department code	Chart Description
\$	<input type="checkbox"/> SA <input type="checkbox"/> SB	<input type="checkbox"/> FRE Agents Fidelity Contribution <input type="checkbox"/> New app – Settlement Agents Body Corp

# New Application: Real Estate / Business Settlement Agent's Licence and Triennial Certificate (Body Corporate)

## General Information

In this form, 'the Act' means the *Settlement Agents Act 1981* and 'the Commissioner' means the Commissioner for Consumer Protection. 'Relevant persons' means all the directors and any other natural persons involved in the management or control of that body corporate/company, and includes the person in *bona fide* control of the business.

## Licence category

Which settlement agent's licence(s) are you applying for?

- Real Estate Settlement Agent  
 Business Settlement Agent

## Details of applicant

Name of body corporate/company:

ACN / ABN:

Business email address:

Business contact number:  
(mobile number preferred)

**We use email/SMS for contact purposes and to send courtesy renewal reminders, so it is important that you notify the Commissioner should your electronic contact details change.**

Person in *bona fide* control:

Business name (if applicable):

**NOTE:** A licensee who intends to carry on business under a business name must have registered that business name with ASIC under the *Business Names Registration Act 2011*. For further information or to register a business name, visit [www.asic.gov.au](http://www.asic.gov.au).

## Relevant persons of the body corporate/company

**Provide the details of all relevant persons of the body corporate.**

**NOTE:** Where there are up to three (3) directors, at least one (1) must be a licensed real estate settlement agent (SA) and/or business settlement agent (SB). Where there are four (4) or more directors, at least two (2) must be licensed.

Full name	Date of birth	Email address	SA/SB number (if applicable)
			SA/SB
			SA/SB
			SA/SB
			SA/SB
			SA/SB

# New Application: Real Estate / Business Settlement Agent's Licence and Triennial Certificate (Body Corporate)

## Business references

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Each relevant person must provide two (2) business references using the pro forma titled [Settlement Agent Business Reference Template](#) which is available to download from our website under the heading 'Business reference'.

## Character and Fitness of applicant and relevant persons

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Each relevant person must provide an Australian police check in their full legal name which is less than three (3) months old. Information about our [current police check requirements](#) can be found on our website.

Please answer either 'Yes' or 'No' to the following questions. If the answer to any of the questions is 'Yes', you may be contacted to provide additional information as part of the application process.

### Has/is the applicant or any relevant person of the applicant:

1. been convicted or found guilty of **any** offences, including convictions which resulted in a suspended sentence? Yes  No

*Include all offences which went to Court, including traffic offences. Do not include spent convictions.*

2. aware of **any** legal proceedings currently pending against you for an offence, including proceedings by way of appeal or review? Yes  No

3. been the subject of **any** adverse findings by a Government Board, Tribunal or Agency (e.g. the Corruption and Crime Commission)? Yes  No

4. had **any** occupational licence or application refused, cancelled or suspended? Yes  No

5. been disqualified from holding **any** occupational licence? Yes  No

6. been subject to **any** disciplinary action by a licensing authority? Yes  No

7. had **any** investigations or legal proceedings commenced against you or an associated entity which may result in action being taken in relation to an occupational licence currently held? Yes  No

8. in liquidation, under official management or an undischarged bankrupt? Yes  No

9. having affairs administered under **any** bankruptcy laws? Yes  No

10. a director of a corporation, which has been subject to **any** form of insolvency administration? Yes  No

# New Application: Real Estate / Business Settlement Agent's Licence and Triennial Certificate (Body Corporate)

## Business address details

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### Principal Place of Business:

Street address:

Suburb:

State:

Postcode:

### Postal address (if different to above)

Street address:

Suburb:

State:

Postcode:

### Address for the service of notices (cannot be a PO Box):

Street address:

Suburb:

State:

Postcode:

### Branch address (if applicable)

Street address:

Suburb:

State:

Postcode:

Name of Branch Manager:

SA/SB number of Branch Manager

## Financial information

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The Commissioner cannot grant a licence and triennial certificate unless satisfied that the body corporate has sufficient material and financial resources available to comply with the requirements of the Act. To assist with this assessment, a credit report will be obtained as part of the application process. You must also answer/complete the following:

1. Do you believe that the body corporate has sufficient financial resources to enable it to carry on business as an agent and to comply with the requirements of the Act?  YES  NO
2. A **confidential** Statement of Assets and Liabilities:  
(only provide figures for the body corporate, not individual directors)

<b>Assets</b>	\$
<b>Liabilities</b>	\$
<b>Net Worth</b>	\$

# New Application: Real Estate / Business Settlement Agent's Licence and Triennial Certificate (Body Corporate)

## Professional Indemnity Insurance (PII)

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In accordance with section 35 of the Act, each triennial certificate holder that is trading in their own right or acting as the person in *bona fide* control or branch manager of a licensed settlement agency must at all times be insured and hold a current certificate of insurance under the Commissioner's Master Policy Agreement. For information about obtaining insurance under the Master Policy Agreement, email Marsh Insurance Brokers at [kylie.zoghbi@marsh.com](mailto:kylie.zoghbi@marsh.com).

You **must** attach a copy of the current certificate of insurance for the body corporate/company. Ensure the certificate of insurance also includes the names of the person in *bona fide* control and any branch managers as the "Insured", along with the name of the body corporate/company.

## Authorisation and Declaration

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### This section must be completed by ALL relevant persons

In order to assist with the determination of this application, I authorise the Commissioner, or persons so directed, to obtain on my behalf any document, record, file or information that may be necessary and relevant to consider my character and repute, and my fitness to be concerned as a director of, or in the management and control of, an agent's business. This includes but is not limited to records relating to my criminal history or current/previous occupational licences or other relevant information.

I confirm that I understand fully the duties and obligations imposed on the body corporate under the Act, Regulations and associated Code of Conduct.

I understand that providing false or misleading information to the Commissioner or Chief Executive Officer is an offence under section 111A of the Act.

Full name of Director / Person in <i>bona fide</i> control	Signature	Date

**IMPORTANT NOTE:** Prior to commencing to carry on business as an agent you will need to complete and submit the [Notification of Commencement to Trade](#) form.