



# Uptain Accreditation Form

Email form to: [accreditation@uptain.com.au](mailto:accreditation@uptain.com.au)

Ver 2.0 | January 2024

Please complete all fields in this application form.

## 1 ACCREDITATION REQUIREMENTS

Provide copies of the following:

- Bank statement confirming the account where the commissions will be paid to
- Certified copy of 100% ID (Passport and Driver Licence)
- MFAA or FBAA membership
- AFCA membership certificate
- Certificate of currency for PI insurance (including evidence of run off period)

Face to face meeting held with  Yes  No Please record name of team member and date

If No, select one of the following and provide the required Identification:

- For individual accreditation:** Copy of completed Uptain Verification of Identity Form.
- For company accreditation:** Copy of completed Uptain Verification of Identity Form for each Director/Beneficial Owner who ultimately owns 25% or more of the company's issued share capital (through direct or indirect shareholdings).

If you serve as a Credit Representative for an Australian Credit Licence (ACL) Holder, kindly fulfill one of the options below:

- Provide an approval letter from the ACL Holder permitting the submission of a Loan Application to Uptain.
- As the broker, I confirm that by submitting a Loan Application to Uptain, I am in full compliance with my agreement obligations to my ACL Holder. I accept complete responsibility for any potential consequences that may arise from my ACL Holder regarding the submission of Loan Applications to Uptain.

## 2 PERSONAL DETAILS

Title:	Mr	Mrs	Ms	Miss	Other:	
First Name	<input type="text"/>				Last Name:	<input type="text"/>
Preferred Name (if applicable):	<input type="text"/>					
Nationality:	<input type="text"/>			Date of Birth:	<input type="text"/>	
Passport number:	<input type="text"/>			Driver's Licence Number:	<input type="text"/>	
Residential Address:	<input type="text"/>					
Phone Number:	<input type="text"/>			Email Address:	<input type="text"/>	

## 3 BUSINESS DETAILS

Registered Company Name	<input type="text"/>			Trading/Business Name	<input type="text"/>	
ABN / ACN	<input type="text"/>	Registered for GST	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Registered Company Address: (Post office box address is not acceptable)	<input type="text"/>			Business Address (if applicable): (Post office box address is not acceptable)	<input type="text"/>	



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Contact Name		Nature of Business	
Company Email Address			
Aggregator		Time under same aggregator	
Is your company an Australian Credit Licence Holder (ACL):	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
ACL number			
Is your company a credit representative (ACR):	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
ACL number		CR number	

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## DIRECTOR AND BENEFICIAL OWNER DETAILS

**(Only complete if applying for accreditation on behalf of a registered company)**

Note: all Directors and Beneficial Owners must be listed. If additional Directors or Beneficial Owners are required to be listed, copy this page and list

### Director / Beneficial Owner 1

Title: Mr Mrs Ms Miss Other:

First Name:		Last Name:	
Preferred Name (if applicable):			
Nationality:		Date of Birth:	
Passport number:		Driver's Licence Number:	
Residential Address:			
Phone Number:		Email Address:	

### Director / Beneficial Owner 2

Title: Mr Mrs Ms Miss Other:

First Name:		Last Name:	
Preferred Name (if applicable):			
Nationality:		Date of Birth:	
Passport number:		Driver's Licence Number:	
Residential Address:			
Phone Number:		Email Address:	



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## 5 BANK DETAILS FOR COMMISSION PAYMENTS

Bank Name:

BSB/Branch Code:

Payee Name:

Account Number:

Payee Address:

SWIFT Code:

## 6 ACKNOWLEDGEMENTS AND DECLARATIONS

**Note: all Directors and Beneficial Owners must be listed. If additional Directors or Beneficial Owners are required to be listed, copy this page and list.**

	Director / Beneficial Owner 1		Director / Beneficial Owner 2	
1. Have you been known by another name?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2. Have you ever held a high-ranking public position in the political/governmental/judicial or military field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3. Are you connected to any person who holds or held a high ranking public position in the political/governmental/ judicial or military field?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
4. Have you, or any associated party in your business ever been declared bankrupt or been subject to any form of insolvency administration? Confirm date of discharge ____ / ____ / ____	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
5. Have you, or any associated party in your business been found guilty of an offence, or have been charged with any offence which has not been finally determined before a court or otherwise withdrawn or dismissed?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6. Have you or any associated party in your business had: i) an applicant for the grant or the renewal of a finance broker's licence, or registration to engage in credit/financial activities refused?; or ii) your accreditation or membership with a Lender/Originator declined, canceled or withdrawn?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
7. Have you ever been banned from holding a company directorship?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8. Have you ever been prosecuted or have any pending investigation or enquiry by any government department, ombudsman or regulatory body?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
9. Have you ever been involved in any litigation or subjected to any impending lawsuits or had any judgments lodged against you?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Please provide further details where you have answered YES to any of the above:**

(Please use a separate sheet of paper if you need more space)



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## PRIVACY STATEMENT

### What this statement is about

Your right to privacy is important to us. The Privacy Act 1988 regulates the way Uptain (“we”, “our” or “us”) uses personal information. This statement explains your privacy rights and our rights and obligations in relation to personal information about you. Please read it carefully.

We collect personal information to assist us in processing Applications for Introducer Accreditation. Generally, we collect such personal information directly, but we may also collect this from regulators and other agencies assisting us with verifying your identity (see below under **Disclosure of personal information about you**). If you do not provide us with sufficient personal information about you, we may not be able to enter into formal arrangements with you. Our Privacy Policy is available on our website <https://uptain.com.au/privacy-policy-3/>

The Privacy Policy sets out how you can access and seek correction to personal information about you; how you may make a complaint regarding a privacy breach and how we deal with privacy complaints.

### How we may use personal information about you

We use personal information about you to:

- assess whether to accept your Application for Accreditation
- administer and manage our relationship with you
- facilitate our internal business operations, including fulfillment of any legal requirements and confidential systems maintenance and testing, and
- inform you of products and services provided by us which we consider may be of value or interest to your clients.

### Disclosure of personal information about you

We may disclose your personal information if it is necessary to do so in the following circumstances:

- to any regulatory body
- to any reporting agency to obtain personal or trade reference and other commercial information about you to consider your Application for Accreditation
- to our external service providers that provide services for the purposes only of our business, on a confidential basis, for example legal advisers and mailing houses
- to any persons acting on your behalf, including a solicitor or accountant, unless you tell us not to
- to any party acquiring an interest in any business and
- if you request us to do so or if you consent or where the law requires or permits us to do so.

We may share your information with credit reporting bodies for this application or your loan. Currently, we work with Equifax. Their contact details are in the schedule, and you can find their credit reporting policies on their website. If you suspect fraud or want to opt out of direct marketing, contact the credit reporting body directly.

Schedule 1 - Mortgage Manager:  
MCP Credit Pty Ltd t/as UPTAIN  
Australian Credit Licence 527652  
Level 4, 488 Bourke Street, Melbourne VIC 3000, Australia  
Web: [www.uptain.com.au](http://www.uptain.com.au)  
Privacy Policy: <https://uptain.com.au/privacy-policy-3/>

Credit Reporting Body:  
Equifax Pty Ltd  
Tel: 1300 762 207  
Web: [www.mycreditfile.com.au](http://www.mycreditfile.com.au)  
Privacy Policy: <http://www.equifax.com.au/privacy>

**I declare that the information provided in this form and any supporting documents is true, correct and is not misleading or deceptive by statement or omission, and I consent to the Privacy Statement above.**

### To be signed by the Introducer

Name		Signature	
Date			

### To be signed by each Director (please attach a separate page if there are more than 2 Directors)

<b>Director 1</b> Name, Signature and Date	<b>Director 2</b> Name, Signature and Date
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### To be signed by each Beneficial Owner (please attach a separate page if there are more than 2 Beneficial Owners)

<b>Beneficial Owner 1</b> Name, Signature and Date	<b>Beneficial Owner 2</b> Name, Signature and Date
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