

AFS and credit licence applications: Template certification that relevant people are fit and proper persons

This template is for applicants for a new or varied Australian financial services (AFS) licence or Australian credit licence (credit licence). You may provide a certification that a subset of your fit and proper people are fit and proper to perform one or more of the functions relevant to their position.

Note: We refer to the people who ASIC must have no reason to believe are not ‘fit and proper persons’ as your ‘fit and proper people’.

We will accept a certification for officers, partners, trustees and senior managers of a controller of the applicant: see sections 913BA(1)(e)–(f) of the *Corporations Act 2001* and section 37A(1)(e)–(f) of the *National Consumer Credit Protection Act 2009*.

We will not accept a certification for the officers of any ultimate holding company of the applicant.

Please note, we may subsequently request further information (including police and bankruptcy checks) on one or more of your fit and proper people when assessing the application.

Please complete the table below and sign the certification.

## Officers, partners, trustees and senior managers of any controllers of applicant (not including a controller that is the ultimate holding company of the applicant)

| Controlling entity name | Controlling entity type | Full name of relevant person | Position and short description of duties | Residential address |
| --- | --- | --- | --- | --- |
| *[Controlling entity 1]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 1]* | *[Relevant person 1 position and description of duties]* | *[Relevant person 1 residential address]* |
| *[Controlling entity 2]* | *[Natural person, body corporate, partnership, multiple trustees of trust]* | *[Relevant person 2]* | *[Relevant person 2 position and description of duties]* | *[Relevant person 2 residential address]* |

Note: Add more rows to table as needed.

## Applicant’s declaration:

*[Insert applicant’s name]*

(the applicant) declares that to the best of the applicant’s knowledge, the above information is true and correct and that:

1. to the best of the applicant’s knowledge, each person is a fit and proper person to perform one or more functions relevant to their position; and
2. the applicant is not aware of any misconduct matters relevant to determining whether any of these relevant persons are fit and proper to perform one or more functions relevant to their position.

|  |  |
| --- | --- |
| Signature of applicant |  |
| Print name |  |
| Date |  |