

Good Fame & Character Declaration

I _____ declare that within the last ten years, within Australia or Overseas, I have not been:

- refused the right, or been restricted in the right, to carry on any trade, business or profession for which a license, registration, or authority is required by Law
- suspended from membership, or disciplined, by any securities, stock, futures, commodity, or other exchange
- refused membership by any securities, stock, futures, commodity, or other exchange
- refused membership of, or disciplined by, any professional body
- the subject of any findings, judgement or current proceeding, including findings, in relation to fraud, misrepresentation or dishonesty, in any administrative, civil, or criminal proceeding in any country
- convicted of an offence pursuant to the Corporations Act, or ASIC Act (or previous corresponding laws)
- the subject of any ASIC banning order, disqualification, or enforceable undertaking
- found not to be of good fame & character by ASIC (s. 913B), or any other regulatory agency relating to financial services
- engaged in the management of any company/business that have had a Corporations Act 2001 licence (or previous corresponding laws) registration revoked or suspended
- found to have hindered, obstructed or misled, or was not candid or truthful with, a regulatory agency relating to financial services
- found to be obstructive, misleading or untruthful in dealing with a court, tribunal, official inquiry, complaints handling body, dispute resolution body, or professional or industry body relating to financial services
- declared bankrupt

Applicant Signature _____ Date _____

Witness

Name _____

Address _____

Signature _____ Date _____