

# SUBSCRIBER COMPLIANCE EXAMINATION CHECKLIST

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| <b>Registry Instrument / Document:</b>                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Client Authorisation - refer to <a href="#">MPR guidance note # 1</a></b>                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <input type="checkbox"/>                                                                                                                | Copy of Client Authorisation provided                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |
| <input type="checkbox"/>                                                                                                                | Written details of the steps (including the timing of the steps) taken to ensure Client Authorisation form signed by the Client/Client Agent                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <input type="checkbox"/>                                                                                                                | Any supporting evidence of the steps taken provided                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <input type="checkbox"/>                                                                                                                | Written details of the steps taken (including the timing of the steps) to verify the authority of each Person entering into a Client Authorisation on behalf of a Client to both bind the Client to the Client Authorisation and to the Conveyancing Transaction(s) the subject of the Client Authorisation                                                                                                                                                                                                                                                                                                         |
| <input type="checkbox"/>                                                                                                                | Any supporting evidence of the steps taken provided                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Verification of Identity – refer to <a href="#">MPR guidance note # 2</a></b>                                                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <input type="checkbox"/>                                                                                                                | Written details of the steps taken (including the timing of the steps) to verify identity of each (i) Client (ii) Client Agent or (iii) person signing the Client Authorisation on behalf of a Client (as applicable) including any relating to a justification for a change of name<br><br>If the Verification of Identity Standard has not been applied, a written description of the reasonable steps taken and why they were reasonable must be provided                                                                                                                                                        |
| <input type="checkbox"/>                                                                                                                | Any supporting evidence of the steps taken provided, including: <ul style="list-style-type: none"> <li>• where the Verification of Identity Standard has been applied – copies of the identity documents and copies of any Identifier Declarations or statutory declarations relied upon</li> <li>• where an Identity Agent was appointed – a copy of the Identity Agent Certification and a copy of the written appointment of the Identity Agent</li> <li>• where the Verification of Identity Standard has not been applied – copies of the identity documents or other evidence relied upon (if any)</li> </ul> |
| For a mortgage or an amendment or variation of mortgage– for the verification of identity of each mortgagor or mortgagor agent, either: |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <input type="checkbox"/>                                                                                                                | Written details of the steps (including the timing of the steps) taken to verify the identity of each mortgagor or mortgagor’s agent.<br><br>If the Verification of Identity Standard has not been applied, a written description of the reasonable steps taken and why they were reasonable must be provided.                                                                                                                                                                                                                                                                                                      |
| <input type="checkbox"/>                                                                                                                | Any supporting evidence of the steps taken provided, including: <ul style="list-style-type: none"> <li>• where the Verification of Identity Standard has been applied – copies of the identity documents and copies of any Identifier Declarations or statutory declarations relied upon</li> <li>• where an Identity Agent was appointed – a copy of the Identity Agent Certification and a copy of the written appointment of the Identity Agent</li> <li>• where the Verification of Identity Standard has not been applied – copies of the identity documents or other evidence relied upon (if any)</li> </ul> |
| OR                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <input type="checkbox"/>                                                                                                                | Where the Subscriber represents a mortgagee and was reasonably satisfied that the mortgagee has taken reasonable steps to verify the identity of each mortgagor or mortgagor’s agent – written details of the basis on which the Subscriber was reasonably satisfied.                                                                                                                                                                                                                                                                                                                                               |
| <input type="checkbox"/>                                                                                                                | Any supporting evidence of the steps taken provided                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |

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| <input type="checkbox"/><br><br><input type="checkbox"/>                                                                                                             | <p>For a transfer of mortgage – for the verification of identity of each mortgagor or mortgagor’s agent:</p> <p>Written details of the steps (including the timing of the steps) taken to ensure the transferee mortgagee has complied with the requirements under the Land Titles Legislation and any Prescribed Requirements of the Jurisdiction in which the land the subject of the Conveyancing Transaction is situated</p> <p>Any supporting evidence of the steps taken provided</p>                                                                                                                              |
| <p><b>Verification of Right to Deal – refer to <a href="#">MPR guidance note # 4</a></b></p>                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <input type="checkbox"/><br><br><input type="checkbox"/>                                                                                                             | <p>Written details of the steps taken (including the timing of those steps) to verify right to deal of the Client(s)</p> <p>Any supporting evidence of the steps taken provided</p>                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <p>For a mortgage – for the verification of the right to deal of the mortgagor, either:</p>                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <input type="checkbox"/><br><br><input type="checkbox"/>                                                                                                             | <p>Written details of the steps (including the timing of the steps) taken to verify the right to deal of the mortgagor(s)</p> <p>Any supporting evidence of the steps taken provided</p>                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| <p>OR</p>                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <input type="checkbox"/><br><br><input type="checkbox"/>                                                                                                             | <p>Where a Subscriber represents a mortgagee and was reasonably satisfied that the mortgagee has taken steps to verify the right to deal of the mortgagor(s) – written details of the basis on which the Subscriber was reasonably satisfied</p> <p>Any supporting evidence of the steps taken provided</p>                                                                                                                                                                                                                                                                                                              |
| <p><b>Supporting evidence</b></p>                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/><br><input type="checkbox"/> | <p>Copies of all other supporting evidence provided including:</p> <p>Any evidence required by the Duty Authority</p> <p>If applicable, a copy of any mortgage granted by the mortgagor</p> <p>Any evidence required by Prescribed Requirements</p> <p>Jurisdiction specific requirements:</p> <p>If applicable, any evidence supporting a dealing requirement*</p> <p>If applicable, evidence of the steps taken to retrieve and either securely destroy or make invalid the Certificates of Title(s) for the folio(s) of the Register listed in the Registry Instrument/Document*</p> <p>*delete if not applicable</p> |

I certify that the Documents and/or information provided in accordance with this checklist are to the Subscriber's knowledge, information and belief correct, complete and not false or misleading.

**Name:**

**Subscriber Name:**

**Signature:**

**Date:**