

Sub-Broker Appointment Checklist

1. Purpose and scope

This form is to be used by licensed or applicant Brokers seeking to engage Sub-Brokers, to provide supporting information required under clause 16.2 of the Title Product Broker Agreement and assist Landgate's assessment against its Qualitative Criteria.

The checklist should be completed for each Sub-Broker and returned to licensing@landgate.wa.gov.au for Landgate to assess and approve the appointment.

Landgate collects personal information where required by law or to provide services to you. Further information is available via landgate.wa.gov.au/privacy-policy.

2. Company details

Please complete the details below and provide the supporting information requested in this section.

Broker company name (Legal entity name)	
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Sub-Broker details	
Legal entity name	
Office locations	
Key office bearers	
ABN	
Contact person	
Registered street address for service of notices	
Telephone	
Mobile	
Email address	
Web address (main)	
Additional web address(es) where Title Products will be available	

Supporting information:

- 2.1 Please provide details of the Sub-Broker's principal activities, and the anticipated markets or customer segments to which they supply the Title Products.
- 2.2 Please provide information on the corporate structure of the Sub-Broker (including details of any related bodies, subsidiaries, parents, connected entities, joint ventures etc, including any diagrams or charts that may assist).
- 2.3 Please provide information on the relevant experience of key office bearers and Sub-Broker organisation in the provision of online and/or location information services.

3. Checklist

	Yes	No
1. Can the Sub-Broker meet the insurance requirements, as set out in Clause 18 and Item 15 of the Principal Terms?	☐	☐
2. Does the Sub-Broker have an acceptable credit risk rating (B or higher with a reputable credit rating agency)?	☐	☐
3. Has there been any adverse litigation, prosecution, conviction for fraud or dishonesty, or commercial disputes against the Sub-Broker, or any of its principals, directors, partners, officers, or employees?	☐	☐
4. Has the Sub-Broker or any of its principals, directors, partners or officers been disqualified from managing a body corporate under the Corporations Act?	☐	☐
5. Has the Sub-Broker or any of its principals, directors, partners or officers been declared insolvent within the last five years?	☐	☐
6. Has the Sub-Broker or any of its principals, directors, partners, officers or employees been the subject of any disciplinary action of any government or government authority, agency or any regulatory authority of a financial market?	☐	☐
7. Do any of the matters set out in numbers 3 – 6 above apply to the Sub-Broker's related or connected entities?	☐	☐
8. Are there any potential or actual conflicts of interest between the Sub-Broker's key office bearers and Landgate?	☐	☐
9. Has the Sub-Broker demonstrated technical capability and the ability to provide reliable access to customers?	☐	☐

10. Has the Sub-Broker demonstrated the ability to maintain customer and transaction audit trail information?	☐	☐
11. Has the Sub-Broker acknowledged the requirement to identify and log all transactions?	☐	☐
12. Will the Sub-Broker process and store (for backup purposes only) the Title Products in Australia?	☐	☐
13. Does the Sub-Broker have appropriate security, protocols and encryption in place to protect the Title Products?	☐	☐

4. Declaration

Broker declaration – As the licensing entity responsible for the Sub-Broker's acts and/or omissions in connection with the Title Product Broker Agreement, I/we declare that the information above is true and correct.	
Name of authorised officer	
Title of authorised officer	
Signature of authorised officer	
Date:	

Landgate approval	Approved ☐ Not approved ☐
Name of authorised officer	
Title of authorised officer	
Signature of authorised officer	
Date:	