



## Application for Renewal for a Real Estate/Business Settlement Agent Triennial Certificate - Individual

### General Information

In this form reference to “**the Act**” means the *Settlement Agents Act 1981* and “**the Commissioner**” means the Commissioner for Consumer Protection.

**Your application can not be assessed unless ALL sections are completed and ALL information is provided. It is essential that you DO NOT LEAVE ANY SECTION BLANK – Use ‘N/A’ or ‘Nil’ where appropriate unless otherwise directed.**

This application **must** also be accompanied by the prescribed fee (see [www.commerce.wa.gov.au/CP/licensingfees](http://www.commerce.wa.gov.au/CP/licensingfees)) and those additional items listed in the Application Checklist.

### 1. Licensee Details

Licence Number: SA/SB

Title: Mr  Mrs  Miss  Ms  Other

Last Name:

Other Names:

Since the grant of your licence or since your last renewal, whichever is later, have you changed your name (e.g. by marriage, alias, deed poll)?

Yes  No

**If yes**, please attach evidence confirming the change of name.

Residential Address:

Postal Address:   
 (If different from above)

Address for the purpose of the Register:   
 (see section 37 of the Act)

Phone: ( )  Work phone: ( )  Mobile:

Preferred Email address:

Department of Mines, Industry Regulation and Safety  
 Consumer Protection Licensing  
 Level 1, Mason Bird Building  
 303 Sevenoaks Street  
 CANNINGTON WA 6107

Locked Bag 14  
 Cloisters Square WA 6850

Licensing Advice Line  
 Tel: 1300 304 064

[cplicensing@dmirs.wa.gov.au](mailto:cplicensing@dmirs.wa.gov.au)

Overseas Callers  
 +61 8 6251 2931

Web Site  
[www.commerce.wa.gov.au/CP/licences](http://www.commerce.wa.gov.au/CP/licences)

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## 2. Employment Details

Are you a sole trader? Yes  No

### Certificate of Insurance

The Commissioner cannot renew a triennial certificate unless the applicant is insured in accordance with section 35 of the Act. Please attach a current copy of your Professional Indemnity and Fidelity Insurance Coverage from the Professional Indemnity and Fidelity Master Policy. For information about obtaining insurance under the Master Policy Agreement, contact Jardine Lloyd Thompson on (08) 9426 0444 or visit [www.jlta.com.au](http://www.jlta.com.au).

Are you currently employed? Yes  No

If yes,  
Employer's Name:

Trading Name (if applicable):

In what capacity are you employed? (select multiple options if applicable)

Person in bona fide control	<input type="checkbox"/>	Director	<input type="checkbox"/>
Branch Manager	<input type="checkbox"/>	Conveyancer/Employee	<input type="checkbox"/>

Employer's Business Address:

## 3. Character and Fitness

**National Police Certificate:** To enable the Commissioner to consider whether an applicant is of good character and repute, and a fit and proper person to hold a licence, please attach to this application **an original Australian police check**. The certificate must be **no more than three months old** at the time it is lodged with the Commissioner. Please note that *State Records Act 2000* requirements mean we cannot return the original document. However, a certified copy can be made available upon request.

Please see [www.commerce.wa.gov.au/cp/policechecks](http://www.commerce.wa.gov.au/cp/policechecks) for a list of accepted Australian police checks.

Please answer either 'Yes' or 'No' to the following questions.

Since the grant of your licence or last renewal (whichever is later), have/are you:	Yes or No
(a) been convicted, or found guilty of <b>any</b> offences, including convictions which resulted in a suspended sentence? <i>(Include all offences which went to Court, including traffic offences. Do not include spent convictions.)</i>	
(b) aware of <b>any</b> legal proceedings currently pending against you for an offence, including proceedings by way of appeal or review?	
(c) been the subject of <b>any</b> adverse finding by a Government Board, Tribunal or Agency, e.g. the Corruption and Crime Commission?	
(d) had <b>any</b> occupational licence or application refused, cancelled or suspended?	
(e) been disqualified from holding <b>any</b> occupational licence?	
(f) been subject to <b>any</b> disciplinary action by a licensing authority?	
(g) had <b>any</b> investigations or legal proceedings commenced against you or an associated entity, which may result in action being taken in relation to an occupational licence currently held?	
(h) in liquidation, under official management or an undischarged bankrupt?	
(i) having affairs administered under <b>any</b> bankruptcy laws?	
(j) a director of a corporation, which has been subject to <b>any</b> form of insolvency administration?	

If the answer to any of the above items was 'Yes', full details must be provided on a separate attached sheet of paper.

#### 4. Incomplete Compulsory Professional Development (“CPD”) Points

As part of the assessment of your renewal application, your compliance with the CPD requirements for the three years prior to your triennial certificate expiry date will be reviewed. If you have not completed all required CPD training points for the previous three years, please provide a written explanation below of the reasons for your non-compliance:

**Provide as much information as possible. If you have been out of the industry, provide specific dates.**

<i>Attach additional details if required</i>

If you have not completed all of the required CPD points for the previous three years, the Commissioner **may refuse to renew your triennial certificate**. Alternatively, where there are reasonable grounds the Commissioner may grant you an extension of time to complete any outstanding CPD points and your renewal may be approved subject to a special condition that you complete outstanding points within a specified timeframe.

**If you are unsure whether or not you have completed all required CPD points, please contact the CPD Compliance Team on 1300 30 40 64 (option 8) for clarification.**

#### 5. Late Renewal Applications (this section is **mandatory** if you are lodging a late renewal application)

If your renewal application is lodged after the expiry date of your triennial certificate, the following will occur:

Applications lodged within one month of the expiry date of your triennial certificate

- the renewal shall be deemed to take effect for the period of 3 years on and from the day next succeeding the day on which the triennial certificate expired.

Applications lodged more than one month but not more than 12 months after the expiry of your triennial certificate

- You are required to satisfy the Commissioner that there is reasonable cause for the lateness of the application in order for the renewal to be deemed to take effect for the period of 3 years from the day after the triennial certificate expired.

Applications lodged more than 12 months after the expiry of your triennial certificate

- If you would like your renewal to take effect within a month, please provide an explanation of the reasonable cause for the lateness of the application and the urgency of the renewal.

- Normally a renewal is granted from a date at least one month after the date on which the application is lodged.

**Please provide details below.**

<i>Attach additional details if required</i>

## 6. Financial Information

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The Commissioner cannot grant renewal of a triennial certificate unless (s)he is satisfied that the applicant has sufficient material and financial resources to comply with the requirements of the Act.

### Confidential Statement of Assets and Liabilities

*To assist in determining whether you have sufficient material and financial resources a credit history check will be obtained as part of the application process.*

<b>Assets</b>	\$
<b>Liabilities</b>	\$
<b>Net Worth</b>	\$

In addition to completing the above, please answer the following question:

	Yes	No
Do you believe that you have sufficient financial resources to enable you to carry on the business as an agent and to comply with the requirements of the Act?		

## 7. Authorisation and Declaration

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In order to assist with the determination of this application, I authorise the Commissioner, or persons so directed, to obtain on my behalf any document, record, file or information that may be necessary and relevant to consider my fitness and propriety to hold a licence, including but not limited to records relating to my criminal history or current/previous occupational licences or other relevant information.

I confirm I understand fully the duties and obligations imposed on me under the Act, Regulations, and associated Code of Conduct.

I understand that providing a false or misleading statement in an application is an offence under section 111A of the Act.

Applicant's full name:

Signature of applicant:

Date:

## Application Checklist

Prior to submitting your application, please complete this checklist, attaching your application and supporting documentation in the order set out below.

Prescribed fee (please complete the credit card details below or make cheque payable to the Commissioner for Consumer Protection)	
Licence Renewal Form – Individual (together with any attached pages providing further information)	
Current copy of your Professional Indemnity and Fidelity Insurance Coverage from the Professional Indemnity and Fidelity Master Policy	
An original or certified copy of an Australian police check (not more than three months old)	

### Your completed application may be lodged

**By post** addressed to:

Consumer Protection Licensing  
Department of Mines, Industry  
Regulation and Safety  
Locked Bag 14  
CLOISTERS SQUARE WA 6850

**In person** at:

Department of Mines, Industry  
Regulation and Safety  
Level 2, Gordon Stephenson House  
140 William Street  
PERTH

**In person** at:

Consumer Protection Licensing  
Level 1, Mason Bird Building  
303 Sevenoaks Street  
CANNINGTON

**DROP OFF ONLY**

**An incomplete or inaccurate application cannot be assessed. If you need help completing this form please contact the Licensing Advice Line on 1300 304 064.**

## Application Fee

The total fee payable includes a triennial certificate/licence fee and a contribution to the fidelity guarantee fund.

A list of current fees is available on our website at [www.commerce.wa.gov.au/CP/licensingfees](http://www.commerce.wa.gov.au/CP/licensingfees).

Cheques should be made payable to the Commissioner for Consumer Protection. For payment by credit card, please complete the following:

### CREDIT CARD PAYMENT DETAILS - Application for renewal of a settlement agents licence (individual)

Card Type      Visa     Mastercard     (Only Visa and Mastercard accepted)

Card Number

<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
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Card Holder

<input type="text"/>	Please print
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Expiry Date

<input type="text"/>	<input type="text"/>	/	<input type="text"/>	<input type="text"/>
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*I authorise the Department to deduct the current prescribed fee for an application for renewal of a settlement agents licence for an individual.*

Cardholder's signature

<input type="text"/>
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Date

<input type="text"/>
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