

# Broker Accreditation Application

(Must be affiliated/employed with a Pepper Accredited Introducer)

I would like to apply to be an accredited broker for Pepper New Zealand Limited ('Pepper'). Being a Pepper-accredited broker gives me the opportunity to refer applications for specified finance products offered by Pepper from time to time, and for the Introducer with which I am affiliated to earn commissions, on terms and conditions set out in the Introducer Agreement.

I understand that:

- I need to be accredited, and remain accredited at all times, in order to be a Pepper-accredited broker
- I must read and agree to take steps to satisfy Pepper's current accreditation criteria and requirements as notified to me from time to time.
- Failure to maintain accreditation might give rise to negative consequences affecting me and/or the Introducer I am employed by or affiliated with, including non- payment of commission, or suspension or cancellation of my and/or the Introducer's status as a Pepper-accredited broker/Introducer.
- Completion and return of this application does not guarantee that the application will be successful.
- If my application is successful, it will only be effective for so long as I maintain affiliation with a Pepper accredited Introducer.
- Any commission payable as a result of any application for finance I refer to Pepper will be paid to the Introducer with which I am affiliated, with Pepper having no further obligation in relation to that commission.

**Please note:** All information and supporting documentation (where applicable) requested in this application form must be provided in order for the application to be considered.

I am affiliated with the following Introducer:

## I. INDIVIDUAL DETAILS

Full name	<input type="text"/>	Date of birth	<input type="text"/>
Other names / aliases	<input type="text"/>		
Current residential address (please include post code)	<input type="text"/>		
Phone number	<input type="text"/>		
Email	<input type="text"/>		

**II. FINANCIAL SERVICES PROVIDER REGISTRATION INFORMATION – ALL INDIVIDUAL BROKERS MUST BE REGISTERED AS A FINANCIAL SERVICES PROVIDER (FSP)**

FSP #

Are there any limitations or restrictions on your FSP registration?

**III. IDENTIFICATION**

**Please provide a copy of current Photo ID e.g. a New Zealand Drivers' licence or New Zealand Passport**

**IV. INDUSTRY HISTORY AND EXPERIENCE**

**EXPERIENCE**

Please indicate how many years' experience you have had in the following roles (as applicable)

Mortgage adviser/broker  Mortgage lender

Have you ever been dismissed as an employee, agent, or representative?  Yes  No

If Yes, Please provide details

Have you ever been convicted of any crime involving dishonesty or fraud, an offence resulting in a term of imprisonment, or an offence against the Fair Trading Act 1986?  Yes  No

If Yes, Please provide details

# Privacy Statement

This application collects personal information about you. Under the Privacy Act 2020, you have the right of access to, and to request correction of, this information. The information will be used by Pepper New Zealand Limited (company number 3416551, 'Pepper') and its related companies, and their respective employees, officers and advisers to assess the application and administer any resulting or related broker arrangement. The information may be given by Pepper to third parties who provide us with services in order to assess your accreditation, or as otherwise required by law. The information is held by Pepper in Australia.

It is important to our relationship that the personal information we hold about you is accurate and up to date. We will generally rely on you to inform us if the information we hold about you is inaccurate or incomplete.

By signing this document or otherwise accepting this consent, you consent to Pepper, its related companies and service providers collecting, using, holding and disclosing personal information about you as set out in Pepper's Privacy Policy available at [pepper.com.au/privacy](http://pepper.com.au/privacy). The Privacy Policy contains information about how you may access or seek correction of your personal information and how you may complain about a breach of your privacy and how that complaint will be dealt with.

## Declarations

I declare that:

- I will comply with the Financial Service Providers (Registration and Dispute Resolution) Act 2008 and Financial Advisers Act 2008, and all other current and future laws and regulations relevant to me and to a mortgage broking and advisory business operating in New Zealand, and will discharge my functions relevant to my accreditation with due care, diligence and skill.
- I will maintain a current working knowledge of Pepper's products, policies and processes, so that I am able to properly advise existing and potential customers on the relevant Pepper products.
- I will maintain a current working knowledge of the Anti-Money Laundering and Countering Financing of Terrorism Act 2009 and Pepper's AML Risk Assessment and Compliance Programme (as notified to me). I will comply with the requirements of Pepper's AML Compliance Programme (as notified to me) at all times, and will provide Pepper with all customer information it reasonably requires in relation to any finance application I submit.
- In assisting any customer with a finance application, I will consider and prioritise the customer's interests and use reasonable endeavours to facilitate a good customer outcome from the process.
- I have read, understood, completed and signed this Application, and hereby declare that the information and representations provided by me in this Application, its attachments and accompanying supporting documents is complete, true and correct to the best of my knowledge.
- I am not aware of any other matter relevant to the assessment of my competency that I should bring to the attention of Pepper, including any crime involving dishonesty or fraud, an offence resulting in a term of imprisonment, or an offence against the Fair Trading Act 1986.
- I authorise the investigation and verification of all statements and representations made by me with respect to this Application.

Individual Broker Signature

Date

## Approval of Individual Broker Accreditation Application by Introducer

- I/we approve the above individual broker's application to act as our representative in accordance with Pepper's Introducer Agreement.
- I/we acknowledge that the Introducer is responsible for the conduct, remuneration and all legislative obligations of the individual broker.

Signed for an on behalf of Introducer:

Name of Person Signing:

Position

Date

Please email the completed application form and supporting documentation to Pepper at [adviseraccreditation@peppermoney.co.nz](mailto:adviseraccreditation@peppermoney.co.nz)