

CORPORATE CUSTOMS BROKER LICENCE APPLICATION CHECKLIST

- Read this checklist and the advice it contains carefully before lodging an application.
- Submit the required documents in the order in which they appear in the checklist.
- Please do not submit your application in parts, but instead ensure that you submit all the required documents at the same time.
- Make sure that you submit a completed copy of this checklist with the application.

Please do not bind or staple any documents

Item No.	Document	Attached
1	<p>Form B1086 Application for Corporate Customs Broker Licence</p> <p>When completing this form please ensure that:</p> <ul style="list-style-type: none"> • the full legal name of the applicant is shown – eg, XYZ Pty Ltd or the X, Y and Z Partnership or the Trustee for the ABC Trust – if you wish, you can add “trading as [a Registered Business Name]” but do not show only a Registered Business Name as the applicant; • the listed ABN is in fact registered to the applicant; • all intended nominees are listed – a licensed corporate brokerage can only operate as such through one or more employees who are themselves licensed as nominee customs brokers; and • the Company Declaration or Partnership Declaration section of the form is fully completed. 	<input type="checkbox"/>
2	<p>For a company applicant and a trustee for a trust:</p> <ul style="list-style-type: none"> • a full Current & Historical Company Extract issued by the Australian Securities and Investments Commission (ASIC) for the applicant company; • a full ASIC Current & Historical Company Extract for any company that is shown on the above Extract as a shareholder in the applicant company; • a full ASIC Current & Historical Company Extract for any company that is shown as a shareholder in a shareholder company of the applicant company: <ul style="list-style-type: none"> ○ this process must be repeated up successive layers of the applicant company’s corporate “family tree” until all the natural persons who, as directors, shareholders or trustees, may have a capacity to directly or indirectly influence the activities of the applicant company, have been identified; ○ where any company identified in this process is not registered as an Australian company, the foreign equivalent of an ASIC Current & Historical Company Extract must be provided; • a copy of the Certificate of Registration for any and each Registered Business Name under which the applicant company has traded or is entitled to trade. • A full copy of the Constitution or Trust Deed. 	<input type="checkbox"/>
3	<p>For a partnership applicant:</p> <ul style="list-style-type: none"> • a full copy of the partnership’s constituent deed, agreement or other similar document; • a complete list of all current members of the partnership; • if the partnership is incorporated under State or Territory law, a copy of its certificate of incorporation; • where any member of the partnership is a company, the ASIC Current & Historical Company Extracts (or foreign equivalents) that would be required under Item 3 above if that company was applying for a corporate customs broker licence; and • a copy of the Certificate of Registration for any and each Registered Business Name under which the applicant partnership has traded or is entitled to trade. 	<input type="checkbox"/>

4	<p>A separate <i>Privacy Notice and General Consent form</i> completed and signed by each individual who:</p> <ul style="list-style-type: none"> • is listed as a director, secretary, officer, shareholder of a company or the trustee of a trust for which an ASIC Current & Historical Company Extract is provided under Items 2 or 3 above; • is listed as partner in the applicant partnership; • is listed on the application form as a proposed nominee customs broker of the applicant company or partnership; • would otherwise make or participate in the making of decisions that affect the whole or a substantial part of the business of the applicant company or partnership, or in accordance with whose wishes or instructions the directors of the applicant company or partners in the applicant partnership are obliged or accustomed to act; • will otherwise participate in the work of the proposed brokerage if it is licensed. <p>These forms provide us with consent to collect personal information for the purposes of performing integrity and background checks for every person who may be in a position to control or influence the activities of the proposed licensee.</p>	□
5	<p><i>Proof of Identity Requirements</i> for each person who provides a <i>Privacy Notice and General Consent form</i> required under Item 4 above.</p>	□
6	<p>Documentation for any personal name changes by any person who provides a <i>Privacy Notice and General Consent form</i> required under Item 4 above.</p>	□
7	<p>Where the applicant company, partnership or trustee of a trust is currently arranging and billing its clients for customs broker services provided by other third party licensed customs broker(s), a statement detailing those arrangements (including the volume and cost of those third party services).</p>	□



CORPORATE CUSTOMS BROKER BENCHMARK CHECKLIST

- The checklist below lists the benchmark criteria which NCBLAC considers would be met by a qualified applicant for a corporate customs broker licence.
- Read this checklist and the benchmark criteria it contains carefully before lodging an application.
- For each benchmark indicate whether the applicant company, partnership or trustee of a trust meets or does not meet the benchmark.
- Where you indicate that the applicant company, partnership or trustee of a trust meets a benchmark, attach documentation to support this claim.
- Where you indicate that the applicant company, partnership or trustee of a trust does not meet a benchmark, attach documentation to explain the extent to which the applicant fails to meet the benchmark and/or why you consider the applicant should not be expected to meet the benchmark.
- The documentation you attach should be clearly marked with the Item Number indicated for the benchmark in the checklist below.
- Include a copy of this completed checklist with the application.

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Item No.	Benchmark	Benchmark Met
1	The applicant has a level of working capital that is apparently adequate for the conduct of the volume and nature of the proposed customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
2	The applicant has established access to additional funds should they be required.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
3	For a company applicant or the trustee of a trust: <ul style="list-style-type: none">• Where the company has only a nominal amount of issued and paid up capital, its shareholders have issued appropriate guarantees to indemnify the company in respect of default of obligations to creditors. For a partnership applicant: <ul style="list-style-type: none">• Where the partnership is incorporated under a law limiting the liability of partners, its members have issued appropriate guarantees to indemnify the partnership in respect of default of obligations to creditors.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
4	The applicant holds appropriate levels of insurance for, at least, professional indemnity and public liability.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
5	The curriculum vitae of directors, nominee brokers, trustees and other management of the applicant demonstrate adequate experience in the running of a comparable business venture.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
6	The applicant has established access to relevant advisory services, such as accounting and legal services.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
7	The applicant has a clear record of compliance under the <i>Customs Act 1901</i> (Cth); alternatively, where there has been previous non-compliance, procedures have been put in place to render a recurrence unlikely or there has been a significant subsequent period of compliance.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met

8	The applicant has a clear record of compliance with other applicable laws such as the <i>Corporations Act 2001 (Cth)</i> , the <i>Competition and Consumer Act 2010 (Cth)</i> and State or Territory Fair Trading Laws; alternatively, where there has been previous non-compliance, procedures have been put in place to render a recurrence unlikely or there has been a significant subsequent period of compliance.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
9	If it is already trading, the applicant has an established successful trading history of relevance to the function of a customs brokerage as evidenced by: <ul style="list-style-type: none"> • its bank statements for the last 3 months; • its Profit and Loss Statement for the current financial year to date; and • its Balance Sheets and Profit and Loss Statements since it commenced trading or for the last two financial years (whichever is the lesser period). 	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
10	The applicant has a detailed and apparently rational business plan for the conduct of its proposed business as a customs broker and has a list of current and target clients (for whom it may already hold an Authority to Act).	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
11	The applicant has access to expert and auditable IT systems necessary or appropriate for the conduct of the business of a customs broker.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
12	The applicant has detailed and well-documented procedures for the conduct of all activities that will be undertaken as part of its customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
13	The applicant has established procedures for monitoring, checking and auditing the work of its nominee customs brokers.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
14	The applicant has adopted a clearly expressed statement outlining the scope of authority of its nominee customs brokers that recognises their capacity to fulfil their obligations under their own broker licence without undue direction from the applicant's management.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
15	The ratio of nominee customs brokers to other staff performing customs-related functions within the applicant would not prevent a nominee customs broker from exercising adequate control and supervision of staff in respect of those customs-related functions.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
16	The applicant has adequate other staff with relevant training and experience for the conduct of its proposed customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
17	The applicant has established contingency arrangements to meet client needs in the event of illness, leave or vacancy amongst its nominee brokers.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
18	The applicant has established and clearly documented terms of trade for the provision of its proposed customs broker service.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
19	The applicant has established quality assurance mechanisms to ensure its compliance with procedures for, and legal obligations in respect of, the conduct of its proposed customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
20	The applicant has established and clearly documented procedures for conducting "fit and proper person" background checks on current and any new personnel who will participate in the work of the customs brokerage if it is licensed. These procedures include provisions to ensure that the Comptroller-General of Customs is notified within 30 days of relevant personnel changes, completed checks and changes in circumstances required to be notified under the conditions attached to a corporate customs broker licence.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met