

ORANGE CREDIT UNION LIMITED

Declaration by Applicant for Responsible Person Position – Initial Assessment

Full Name of Applicant
'the Applicant'

Responsible Person
Position being
considered for
'the Position'

I, THE APPLICANT, DO SOLEMNLY AND SINCERELY DECLARE AS FOLLOWS:

1. I am applying for the Position.
2. I have been provided with copies of the following documents which I have read:
 - (a) Bank Orange's Fit and Proper Policies
 - (b) Prudential Standard CPS 520 'Fit and Proper Requirements'
 - (c) Guidance Note AGN 520.1 'Fit and Proper Requirements'
 - (d) this Declaration including 'Information for Applicants' and my completed Questionnaire.
 - (e) APP Privacy Policy for Director Nomination Candidates
3. The answers given in my completed Questionnaire, and any other information that I have given to Bank Orange in connection with my application for the Position, are complete and accurate as at today's date.
4. I authorise Bank Orange to collect the information and make enquiries to assess my fitness and propriety for the Position.
5. I acknowledge the requirement to meet the minimum on-going Continual Professional Development training hours (please provide written confirmation with the "Action Required" items, not for existing Directors).

Declared at

City/Town

State/Territory

Signature of applicant

Before me

Signature of witness

Name of witness

Address of witness

Qualification of witness

Date

Information for Applicants

Persons who apply for a responsible person position of Bank Orange must provide the following:

- a completed Questionnaire
- Australian federal Police Criminal History Check Application Form

Bank Orange collects this personal information from you for these purposes:

- to assess your application for a responsible person position of Bank Orange
- to verify information contained in your completed Questionnaire
- to assess whether you are a fit and proper person to be a responsible person of Bank Orange as an Authorised Deposit-taking Institution under the Banking Act

We also collect information about you from:

- the character referees you nominate in your completed Questionnaire
- other persons and organisations disclosed in your completed Questionnaire, such as previous employees, professional and industry bodies of which you may have been a member, business associates, educational institutions
- the Australian Federal Police

If you do not give us the personal information we require we will not be able to assess your application.

If your application is not successful we will immediately destroy your personal information. If your application is successful:

- the law requires us to retain this information for 7 years
- we may disclose your information to the Australian Prudential Regulation Authority.

By submitting the completed Questionnaire, you consent to our collection and use of your personal information as disclosed above.

Questionnaire

Your Personal Details

Family Name	<input type="text"/>		
Given Names	<input type="text"/>		
Have you ever been known by another name?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If Yes, by what other names?	<input type="text"/>		
When?	<input type="text"/>		
Sex	Male <input type="checkbox"/>	Female <input type="checkbox"/>	
Date of Birth	<input type="text"/> / <input type="text"/> / <input type="text"/>		
Town/City of birth	<input type="text"/>		
Country of birth	<input type="text"/>		
Are you a member of Bank Orange?	Yes <input type="checkbox"/>	No <input type="checkbox"/>	
If Yes, what is your membership number?	<input type="text"/>		

Your Contact Details

Telephone	Home	(<input type="text"/>) <input type="text"/>	Business	(<input type="text"/>) <input type="text"/>
	Mobile	<input type="text"/>		
Email	<input type="text"/>			
Residential address	<input type="text"/>	<input type="text"/>		
Suburb	<input type="text"/>			
Postcode	<input type="text"/>			

Your Employment Details

Your occupation	<input type="text"/>		
Your employer	<input type="text"/>		
Business address	<input type="text"/>	<input type="text"/>	
Suburb	<input type="text"/>		
Postcode	<input type="text"/>		

Your Employment History

Please provide details of your employment history by completing the Detailed Employment History section at pages 7 – 9.

Your Knowledge, Skill & Experience

1. Do you have any tertiary qualifications?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details at page 8
2. Have you ever been a director or manager of a company?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details at page 10
3. Have you ever been the director or employee of, or professional consultant to, an Authorised Deposit Taking Institution (ADI)?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details at page 11
4. Have you ever been a member of a professional services firm?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details at page 13
5. Have you ever been a member of a professional or industry body?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details at page 14
6. Do you have any other qualifications or experience which makes you suitable to be a responsible person of the credit union?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details below:
7. Refer to the relevant protocol annexed to the Credit Union's Fit and Proper Policy and state whether you believe that you have the specified competencies. Please provide written evidence to demonstrate, not for existing Directors.	No <input type="checkbox"/> Identify any deficiencies and training needs below	Yes <input type="checkbox"/> Please provide written evidence demonstrating the required competencies

Your Propriety

8. Have you ever been convicted of a criminal offence under the laws of Australia or of a foreign country?	No <input type="checkbox"/>	Yes <input type="checkbox"/> Provide details below:

9. Have you ever been bankrupt under the laws of Australia or of a foreign country?

No ☐

Yes ☐

Provide details below:

10. Have you ever executed a deed or arrangement, or accepted a composition with your creditors under the Bankruptcy Act, 1966 (Cth) or a similar law of a foreign country?

No ☐

Yes ☐

Provide details below:

11. Have you ever been disqualified from managing or directing a corporation?

No ☐

Yes ☐

Provide details below:

12. Has the Australian Prudential Regulation Authority ('APRA') ever disqualified you from being or acting as a director or senior manager of an authorised deposit taking institution or a authorised non-operating holding company, or a senior manager of the Australian operations of a foreign authorised deposit-taking institution?

No ☐

Yes ☐

Provide details below:

13. Have you ever been disqualified under the law of a foreign country from managing, or taking part in the management of an entity that carries on the business of banking or insurance or otherwise deals in financial matters?

No ☐

Yes ☐

Provide details below:

14. Has a personal representative or trustee ever been appointed to administer your property on the grounds of mental incapacity?

No ☐

Yes ☐

Provide details below:

15. Are there any unsatisfied judgments against you in any court of law?

No ☐

Yes ☐

Provide details below:

16. Are you able to pay your debts as and when they fall due?

No ☐

Yes ☐

17. Are you aware of any other matters which may be relevant to an assessment of your character, diligence, honesty, integrity or judgment?

No ☐

Yes ☐

Provide details below:

Conflicts of Interest

18. Do you have any interest in a contract or a proposed contract with Bank Orange?

No ☐

Yes ☐

Provide details below:

19. Do you hold an office or have an interest, whereby, whether directly or indirectly, a conflict could arise with your duties and interests as a director of Bank Orange?

No ☐

Yes ☐

Provide details below:

Character References

Provide the names and contact details of 3 people who are prepared to give a character reference about you, along with written references **(Not required for existing Directors/Associate Directors)** from the 3 referees, specifically addressing the essential attributes of honesty, integrity, and reputation.

Reference 1

Family Name

Given Names

Telephone

Home

()

Business

()

Mobile

Reference 2

Family Name

Given Names

Telephone

Home

()

Business

()

Mobile

Reference 3

Family Name

Given Names

Telephone

Home

()

Business

()

Mobile

Your Employment History

Details of your employment history:

(For more than 4 past employers, provide details on an attached sheet)

Employer 1

Address

Period of employment

 / / to / /

Position held

Please provide specific details of your key duties and areas of accountability

Reason for leaving

Employer 2**Address****Period of employment****Position held**

Please provide specific details of your key duties and areas of accountability

Reason for leaving**Employer 3****Address****Period of employment****Position held**

Please provide specific details of your key duties and areas of accountability

Reason for leaving**Employer 4****Address****Period of employment****Position held**

Please provide specific details of your key duties and areas of accountability

Reason for leaving

Details of Tertiary Qualifications for Question 1

(For more than 4 past employers, provide details on an attached sheet)

Qualification 1 - attach a copy of your academic transcript

What is the name of the qualification?

Which institution conferred the qualification?

When was the qualification conferred?

Qualification 2 - attach a copy of your academic transcript

What is the name of the qualification?

Which institution conferred the qualification?

When was the qualification conferred?

Qualification 3 - attach a copy of your academic transcript

What is the name of the qualification?

Which institution conferred the qualification?

When was the qualification conferred?

Qualification 4 - attach a copy of your academic transcript

What is the name of the qualification?

Which institution conferred the qualification?

When was the qualification conferred?

Details of Directorships or Management of Companies for Question 2

(For more than 4 companies, provide details on an attached sheet)

Company 1

What was the name of the company?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Company 2

What was the name of the company?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Company 3

What was the name of the company?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Company 4

What was the name of the company?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Details of Directorship, Employment or Consultancy of an ADI for Question 3

(For more than 4 ADIs, provide details on an attached sheet)

ADI 1

What was the name of the ADI?

What was your role?

During what periods did you have this role?

Please provide specific details of your key duties and areas of accountability:

ADI 2

What was the name of the ADI?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

ADI 3

What was the name of the ADI?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

ADI 4

What was the name of the ADI?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Details of Membership of a Professional Services Firm for Question 4

(For more than 4 Professional Services Firms, provide details on an attached sheet)

Professional Services Firm 1

What was the name of the Professional Services Firm?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Professional Services Firm 2

What was the name of the Professional Services Firm?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Professional Services Firm 3

What was the name of the Professional Services Firm?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Professional Services Firm 4

What was the name of the Professional Services Firm?

What was your role?

Please provide specific details of your key duties and areas of accountability:

During what periods did you have this role?

Details of Membership of a Professional or Industry Body for Question 5

(For more than 4 Professional or Industry Bodies, provide details on an attached sheet)

Professional or Industry Body 1

What was the name of the Professional or Industry Body?

During what periods were you a member?

Professional or Industry Body 2

What was the name of the Professional or Industry Body?

During what periods were you a member?

Professional or Industry Body 3

What was the name of the Professional or Industry Body?

During what periods were you a member?

Professional or Industry Body 4

What was the name of the Professional or Industry Body?

During what periods were you a member?