



# Community Underwriting

## Financial Advice

(Supplementary to the Insurance Quotation Request)

1. Name of Organisation:																			
2. How many people are employed / engaged by you to provide financial advice / services	<input type="text"/>																		
3. Do you have an Australian Financial Services Licence or act as an Authorised Representative of any AFS Licence holder? No <input type="checkbox"/> Yes <input type="checkbox"/> If yes, please provide details including the date your first began providing these services:																			
4. Has any AFS licence or Authorised Representative arrangement been cancelled or restricted	<input type="checkbox"/> No <input type="checkbox"/> Yes																		
5. Do you provide financial advice to clients for a fee?	<input type="checkbox"/> No <input type="checkbox"/> Yes																		
If 'yes', please provide an estimate of the revenue generated from specific services:																			
	<table border="1"><thead><tr><th></th><th>Last Year</th><th>Next Year</th></tr></thead><tbody><tr><td>Financial planning / portfolio management</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td>Life insurance</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td>Mortgage / finance broking</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td>Tax advice, budgeting, refinancing</td><td><input type="text"/></td><td><input type="text"/></td></tr><tr><td>Microfinance, no interest or low interest loan facility</td><td><input type="text"/></td><td><input type="text"/></td></tr></tbody></table>		Last Year	Next Year	Financial planning / portfolio management	<input type="text"/>	<input type="text"/>	Life insurance	<input type="text"/>	<input type="text"/>	Mortgage / finance broking	<input type="text"/>	<input type="text"/>	Tax advice, budgeting, refinancing	<input type="text"/>	<input type="text"/>	Microfinance, no interest or low interest loan facility	<input type="text"/>	<input type="text"/>
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Are eligibility reviews, loan assessment and approvals undertaken by a third party finance provider that assumes any credit license exposures and responsibilities?																			
<input type="checkbox"/> No <input type="checkbox"/> Yes																			
6. Do you have a documented risk management and compliance program?	<input type="checkbox"/> No <input type="checkbox"/> Yes																		
7. Does the risk management program include regular audits / client reviews?	<input type="checkbox"/> No <input type="checkbox"/> Yes																		
If Yes by whom and how often	<input type="text"/>																		

Community Underwriting Agency Pty Ltd - AFS License No 448274 (Community Underwriting) acts under a binding authority as Agent for Berkley Insurance Australia (ABN 53 126 559 706) to issue, vary and cancel policies on Berkley's behalf. In all aspects of this Policy, Community Underwriting acts as an agent for the insurer and not for the insured.