

### SOLETRADER 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 <a href="#">B1276 Application for Sole Trader Customs Broker Licence</a></p> <ul style="list-style-type: none"> <li>• When completing this form please ensure that:</li> <li>• your full legal name is shown – if you wish, you can add “trading as [a Registered Business Name]” but do not show only a Registered Business Name as the applicant;</li> <li>• the listed ABN is in fact registered to you;</li> <li>• all intended nominees are listed – a licensed sole trader brokerage business can only operate as such through one or more persons who are themselves licensed as nominee customs brokers;</li> <li>• The Persons of Authority and Declaration sections of the form are fully completed.</li> </ul>	<input type="checkbox"/>
2	<p>A separate <a href="#">Privacy Notice and General Consent form</a> and <a href="#">Customs Broker Licence Application Personal information form</a> completed and signed by:</p> <ul style="list-style-type: none"> <li>• the applicant</li> <li>• each other person of authority listed on the application form;</li> <li>• each nominee customs broker;</li> <li>• any person who would otherwise make or participate in the making of decisions that affect the whole or a substantial part of the business of the applicant, or in accordance with whose wishes or instructions the applicant is obliged or accustomed to act;</li> <li>• any other person who will otherwise participate in the work of the proposed brokerage if it is licensed.</li> </ul> <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>	<input type="checkbox"/>
3	<p><a href="#">Proof of Identity Requirements</a> for each person who provides a <i>Privacy Notice and General Consent form</i> required under Item 2 above.</p>	<input type="checkbox"/>

4	Documentation for any personal name changes by any person who provides a <i>Privacy Notice and General Consent form</i> required under Item 2 above.	<input type="checkbox"/>
5	A Business Name Registration certificate for any business name that has been registered by the applicant.	<input type="checkbox"/>
6	Where the applicant is currently arranging and billing their 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).	<input type="checkbox"/>
If you ARE NOT already a licensed nominee Customs Broker, please also provide the following:		
<b>Academic Qualifications</b>		
7	A copy of your Diploma of Customs Broking, or other relevant accepted qualification as issued by a registered training organisation.	<input type="checkbox"/>
8	Your academic transcript detailing all the units successfully completed in your approved course.	<input type="checkbox"/>
9	If you have previously undertaken the National Examination conducted by the IFCBAA or the Customs Broking Experience Assessment conducted by My Freight Career, please provide a statement detailing the date/s and the result/s of each attempt.	<input type="checkbox"/>
10	If you are seeking an exemption from all or part of the approved course requirements, attach a detailed statement explaining the basis for your request and justification for an exemption.	<input type="checkbox"/>
<b>Acquired experience and knowledge</b>		
11	<p>Your current CV. This should include:</p> <ul style="list-style-type: none"> <li>the names and addresses of each employer for whom you have performed duties relevant to those of a customs broker;</li> <li>the periods during which you were employed by each employer;</li> <li>your roles and responsibilities while you were employed there;</li> <li>the names and contact details of the persons who supervised you in each period of employment;</li> <li>an explanation of any significant breaks in your work history.</li> </ul>	<input type="checkbox"/>
12	<p>A Statement detailing your <u>Acquired Experience</u> which demonstrates the breadth and depth of your experience and responsibility in performing broker-like functions and how you applied due diligence in doing so.</p> <p>There is no prescribed format that you must use for your <i>Statement of Acquired Experience</i> – it simply needs to describe in sufficient detail your experience in performing broker-like activities. However, your <i>Statement of Acquired Experience</i> is likely to be more convincing if it includes examples of work you have undertaken. You may find it useful to use the STAR model outlined below to clearly outline your role in an example.</p> <p>Using this model, think about the following steps to write a description of each of your examples:</p> <ul style="list-style-type: none"> <li><b>Situation</b> – Set the context by describing the circumstance where you used the skills or qualities and gained the experience you wish to claim.</li> <li><b>Task</b> – Describe what your role was in dealing with the situation.</li> <li><b>Actions</b> – Explain what you did and how you did it.</li> <li><b>Results</b> – State what you achieved and what was the end result.</li> </ul> <p>Focus on examples where you:</p> <ul style="list-style-type: none"> <li>applied detailed technical knowledge;</li> <li>demonstrated honest and ethical behaviour;</li> <li>researched a complex issue;</li> <li>applied multiple layers of assessment and advice;</li> <li>had to make a judgement call.</li> </ul> <p>In the examples, you provide, you need to make sure that you explain what role you played in the task and what you achieved.</p>	<input type="checkbox"/>

	<p>Please note that we are not asking that you attach pages of emails, commercial documents and entries as examples. Rather, your examples should be written descriptions of tasks you have undertaken.</p> <p>It is very important that you put thought and effort into preparing your <i>Statement of Acquired Experience</i>.</p>	
13	A short statement explaining your understanding of the <a href="#">Licence Conditions</a> that apply to licensed nominee customs brokers.	<input type="checkbox"/>
14	<p>Two written professional references.</p> <p>These references will be used to support your claims. Wherever possible you need to obtain references from customs brokers who have directly supervised you in your performance of duties relevant to the functions of a nominee customs broker. Your referees need to attest to your integrity, and the breadth and depth of experience. Your referees will be asked to confirm that they have read your <i>Statement of Acquired Experience</i> and that it is a fair and accurate representation of your grounds for the grant of a licence.</p> <p>More information about what is required of your referees can be found in the <a href="#">Referee guideline for nominee broker licence applications</a>. You need to provide your referees with a copy of the Referee Guideline, to assist them in the preparation of the references.</p>	<input type="checkbox"/>
15	Any other documents or information you feel should be considered in assessing your application.	<input type="checkbox"/>

#### SOLE TRADER CUSTOMS BROKER BENCHMARK CHECKLIST

- The checklist below lists the benchmark criteria which NCBLAC considers would be met by a qualified applicant for a sole trader customs broker licence.
- Failing to meet one or more benchmarks does not necessarily mean that an application will be unsuccessful. Rather, NCBLAC may still recommend that a licence be granted where it considers that the degree of departure from the benchmarks would not give rise to unacceptable risk to the Commonwealth, importers or the community if the applicant were licensed.
- Read this checklist and the benchmark criteria it contains carefully before lodging an application.
- For each benchmark indicate whether you meet or do not meet the benchmark.
- Where you indicate that you meet a benchmark, attach documentation to support this claim
- Where you indicate that you do not meet a benchmark, attach documentation to explain the extent to which you fail to meet the benchmark and/or why you consider you 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	The applicant holds appropriate levels of insurance for, at least, professional indemnity and public liability.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
4	The curriculum vitae of the applicant, nominee brokers and other management of the proposed brokerage business demonstrate adequate experience in the running of a comparable business venture.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
5	The applicant has established access to relevant advisory services, such as accounting and legal services.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
6	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
7	The applicant has a clear record of compliance with other applicable laws such as the <i>Corporations Act 2001</i> (Cth), the <i>Competition and Consumer Act 2010</i> (Cth), 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
8	If 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"> <li>• bank statements for the last 3 months;</li> <li>• profit and loss statement for the current financial year to date; and</li> <li>• financial statements since the applicant commenced trading or for the last two financial years (whichever is the lesser period).</li> </ul>	<input type="checkbox"/> Met <input type="checkbox"/> Not Met

9	The applicant has a detailed and apparently rational business plan for the conduct of their 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
10	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
11	The applicant has detailed and well-documented procedures for the conduct of all activities that will be undertaken as part of their customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
12	The applicant has established procedures for monitoring, checking and auditing the work of any employed nominee customs brokers.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
13	The applicant has adopted a clearly expressed statement outlining the scope of authority of any employed nominee customs brokers that recognises their capacity to fulfil their obligations under their own broker licence without undue direction from the applicant.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
14	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
15	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
16	The applicant has established contingency arrangements to meet client needs in the event of illness, leave or vacancy amongst their nominee brokers.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
17	The applicant has established and clearly documented terms of trade for the provision of their proposed customs broker service.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
18	The applicant has established quality assurance mechanisms to ensure their compliance with procedures for, and legal obligations in respect of, the conduct of their proposed customs brokerage business.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met
19	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 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 sole trader customs broker licence.	<input type="checkbox"/> Met <input type="checkbox"/> Not Met