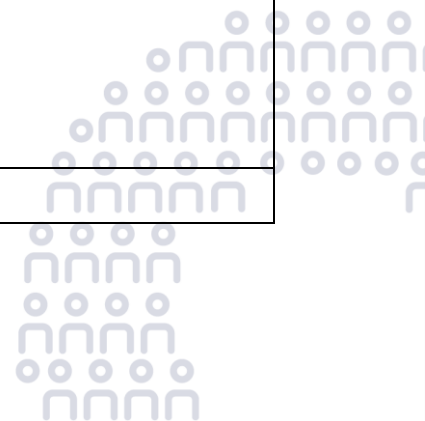


## Compliance Checklist (Mentor) – Consumer Lending

Date:	Name of Broker:
Applicant(s):	
Lender:	Loan Amount:

Requirement	Provided?	Notes
Credit Guide provided to all applicant(s). If not through MyCRM then the email containing the Credit Guide needs to be attached to MyCRM.	Y / N	
Privacy Consent accepted by all applicant(s) if a credit check has been saved on file. Electronic acceptance via MyCRM or a signed Credit Guide/Privacy Statement document is acceptable.	Y / N / NA	
Fact Find completed via MyCRM or MQ Questionnaire completed, saved to 'Documents' and data updated in MyCRM (if not completed through the initial request, then sufficient notes to be left by broker from further discussions with applicants).	Y / N	
Living Expenses summary completed and updated in MyCRM (via MyCRM Fact Find or using the Living Expenses Excel sheet). If MLE in AOL differs from Game Plan then has commentary been noted as to why? Evidence provided to MyCRM as to how living expenses have been verified?	Y / N	
Income supporting documents provided and saved to MyCRM.	Y / N	
Salary account statements/transactions provided and saved to MyCRM.	Y / N	
Savings account statements/transactions provided and saved to MyCRM (for purchase applications only).	Y / N / NA	
Liability account statements/transactions provided and saved to MyCRM.	Y / N / NA	
Evidence of any undisclosed liabilities not entered into Game Plan or AOL?	Y / N	
Identification documents provided for all applicants/guarantors and saved to MyCRM – Drivers Licence, Medicare Card and any other required document (or sufficient alternatives based on lender requirements if these cannot be provided).	Y / N	
Notes indicating applicant(s) have been interviewed detailing the following... - Date, time and location of interview	Y / N	
Tax File Numbers redacted from all documents (if applicable).	Y / N / NA	



Requirement	Provided?	Notes
Best Interests Duty notes captured in MyCRM? - Sufficient explanation as to the loan purpose? - Reason why loan product has been chosen? - Reason why loan term reset to a term greater than the current loan term? - Notes if chosen lender not the cheapest option? - Exit Strategy? - 3 lenders chosen in product comparison? If not are there comments why there are less than 3 lenders?	Y / N Y / N Y / N / NA Y / N / NA Y / N / NA Y / N / NA	
<b>Loan File Validation (to be completed by Mentor)</b>		
<b>Quality of Submission</b>	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Good <input type="checkbox"/> Excellent	
<b>General Comments</b>		
<b>Mentor Name</b>	<b>Date</b>	
<b>Mentor Signature</b>		

