SUBSCRIBER CHECKLIST

Client Authorisation

Has the client authorisation form been fully completed **before** transacting?

- ☐ Have you ensured that the client(s) and yourself have signed and dated the form?
- ☐ Have you selected the appropriate Authority Type?
- ☐ Do the transaction details match the documents to be lodged?
- ☐ Does the land description match the dealing form? (Specific Authority only)
- ☐ Have you or your agent conducted verification of identity of client(s)? (See below)

Verification of Identity

How have you verified the identity of your client(s)?

- ☐ Have you used the Verification of Identity Standard to verify the identity of your client(s)?

or

- ☐ Did you otherwise take reasonable steps?
    - Reasonable steps are defined Participation Rule 6.5.1;
- ☐ Do you have any doubts regarding the identity of you clients?
    - If so further investigation is required.
- ☐ Did you use a 3rd party identity agent?
    - Did you retain any evidence?
- ☐ Do the names of your clients match the lodged registry instruments?

Right to Deal

Have you checked that your client(s) have the legal entitlement to be a particular party to the conveyancing transaction?

Acting for a Transferor

- ☐ What documents have you obtained to establish right to deal?
    - Refer to Guidance Note #4 point 5.2 for suggested documents

Acting for a transferee

- ☐ Have you retained a copy of the contract of sale?

Acting for a mortgagee

- ☐ Have you retained copies of the loan documentation?
- ☐ Do you, or the mortgagee, hold a counterpart mortgage?

Retention of Evidence

Have you retained all the evidence from the transaction?

- ☐ Is the evidence accessible, legible, and safely and securely stored?