### Record of Compliance

(To be completed by Subscriber and returned to the Land Titles Office in response to a Compliance Examination notice)

For additional information on Compliance Examinations, please refer to the [Compliance Examination webpage](https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements/conveyancing-process-for-professionals/compliance-examinations) on the Land Titles Office, NRE Tas website (https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements).

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| Subscriber: **Sproal Property Law & Conveyancing**  Registry Instrument or other Document: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

| **Client Authorisation** – refer to [Client Authorisation webpage](https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements/conveyancing-process-for-professionals/client-authorisation) | | | **Mark** if applicable |
| --- | --- | --- | --- |
| - | Copy of appropriate current version Client Authorisation Form used, completed prior to the signing of any Registry Instruments and / or other Documents | |  |
| - | Written details of when and how the Client Authorisation Form was completed, including in person or via other means | |  |
| - | Written details of the steps (including timing) taken to ensure the Client Authorisation Form was signed by the Client / Client Agent, including specifically whether or not the Client Authorisation Form was signed at the same time as Verification of Identity was undertaken | |  |
|  |  | Any supporting evidence of the steps taken |  |
| - | Written details of the steps taken (including timing of the steps) to verify the authority of each Person entering into the Client Authorisation on behalf of a Client to both bind the Client to the Client Authorisation and to the Conveyancing Transaction(s) which are the subject of the Client Authorisation Form | |  |
|  |  | Any supporting evidence of the steps taken |  |
| - | Evidence that the signatory signing the Client Authorisation Form on behalf of the Representative or Representative Agent has been authorised to do so and evidence of the extent of that authorisation i.e., specific Conveyancing Transaction, or any Conveyancing Transaction | |  |
| List the Documents and evidence relied upon for the purposes of undertaking Client Authorisation:  -  -  -  -  -  - | | | |

| **Verification of Identity** – refer to [Verification of Identity webpage](https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements/conveyancing-process-for-professionals/verification-of-identity) | | | | | **Mark** if applicable |
| --- | --- | --- | --- | --- | --- |
| - | Written details of the steps taken (including timing of the steps) to verify the identity of each (i) Client (ii) Client Agent or (iii) person signing the Client Authorisation on behalf of a Client (as applicable) including any steps relating to a justification for a change of name | | | |  |
| - | Written details of how Verification of Identity was undertaken, either: | | | |  |
|  |  | | applying the Verification of Identity Standard, or | |  |
|  |  | | verifying the identity of a Person in some other way that constitutes the taking of reasonable steps | |  |
| - | ***If using the Verification of Identity Standard*,** a written description of the steps taken in using the Verification of Identity Standard including face to face requirements, categories of documents used and the sighting of original Documents | | | |  |
|  | - Any supporting evidence of the steps taken including: | | | |  |
|  | - *Minimum Document requirements* | | | |  |
|  |  | | | Category 1 Minimum Documents |  |
|  |  | | | Category 1 Minimum Documents |  |
|  |  | | | Category 2 Minimum Documents |  |
|  |  | | | Category 3 Minimum Documents |  |
|  |  | | | Category 4 Minimum Documents |  |
|  |  | | | Category 5 Minimum Documents |  |
|  |  | | | Category 6 Minimum Documents |  |
|  |  | | | copies of any Identifier Declarations or statutory declarations relied upon |  |
|  | - *where an Identity Agent was appointed* | | | |  |
|  |  | | | a copy of the Identity Agent Certification and a copy of the written appointment of the Identity Agent |  |
|  |  | | | written details of the confirmation of receiving copies of the documents from the Identity Agent which were produced to verify the identity of the person being identified |  |
|  |  | | | written details of the steps taken to verify the identity of the person further to appointment of an Identity Agent (i.e., review of Identity Agent’s process, further review of documents received by Identity Agent) |  |
| - | ***If not using the Verification of Identity Standard***, a written description of the reasonable steps taken and why they were reasonable | | | |  |
|  | - Any supporting evidence of the steps taken including: | | | |  |
|  |  | | | copies of any identity documents and / or other evidence relied upon |  |
| - | Evidence that the Person undertaking Verification of Identity on behalf of the Subscriber is authorised by the Subscriber to do so | | | |  |
| **For a mortgage or an amendment or variation of mortgage – for the Verification of Identity of each mortgagor or mortgagor’s agent, either:** | | | | | |
| **EITHER** | | | | |  |
|  | - | Written details of the steps (including timing of the steps) taken to verify the identity of each mortgagor or mortgagor’s agent | | |  |
|  | - | Written details of how Verification of Identity was undertaken, either: | | |  |
|  |  | | applying the Verification of Identity Standard, or | |  |
|  |  | | verifying the identity of a Person in some other way that constitutes the taking of reasonable steps | |  |
|  | - | ***If using the Verification of Identity Standard***, a written description of the steps taken to meet the Verification of Identity Standard including face to face requirements, categories of documents used and the sighting of original Documents | | |  |
|  |  | - Any supporting evidence of the steps taken including: | | |  |
|  | - *Minimum Document requirements* | | | |  |
|  |  | | | Category 1 Minimum Documents |  |
|  |  | | | Category 1 Minimum Documents |  |
|  |  | | | Category 2 Minimum Documents |  |
|  |  | | | Category 3 Minimum Documents |  |
|  |  | | | Category 4 Minimum Documents |  |
|  |  | | | Category 5 Minimum Documents |  |
|  |  | | | Category 6 Minimum Documents |  |
|  |  | | | copies of any Identifier Declarations or statutory declarations relied upon |  |
|  | - *where an Identity Agent was appointed* | | | |  |
|  |  | | | a copy of the Identity Agent Certification and a copy of the written appointment of the Identity Agent |  |
|  |  | | | written details of the confirmation of receiving copies of the documents from the Identity Agent which were produced to verify the identity of the person being identified |  |
|  |  | | | written details of the steps taken to verify the identity of the person further to appointment of an Identity Agent (i.e., review of Identity Agent’s process, further review of documents received by Identity Agent) |  |
|  | - | ***If not using the Verification of Identity Standard***, a written description of the reasonable steps taken and why they were reasonable | | |  |
|  |  | - Any supporting evidence of the steps taken including: | | |  |
|  |  | | | copies of any identity documents and / or other evidence relied upon |  |
|  | - | Evidence that the Person undertaking Verification of Identity on behalf of the Subscriber is authorised to do so | | |  |
| **OR** | | | | |  |
|  | - | Where the Subscriber represents a mortgagee and was reasonably satisfied that the mortgagee has taken reasonable steps to verify the identity of each mortgagor or mortgagor’s agent – written details of the basis on which the Subscriber was reasonably satisfied | | |  |
|  | - | Any supporting evidence of the steps taken | | |  |
|  | - | Evidence that the Person undertaking Verification of Identity on behalf of the Subscriber is authorised to do so | | |  |
| **For a transfer of mortgage – for the Verification of Identity of each mortgagor or mortgagor’s agent:** | | | | | |
| - | Written details of the steps (including the timing of the steps) taken to ensure the transferee mortgagee has complied with the requirements under the relevant law and any Prescribed Requirements | | | |  |
| - | Any supporting evidence of the steps taken | | | |  |
| - | Evidence that the Person undertaking Verification of Identity on behalf of the Subscriber is authorised to do so | | | |  |

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| List the Documents and evidence relied upon for the purposes of undertaking Verification of Identity:  -  -  -  -  -  - |

| **Verification of Right to Deal** – refer to [Verification of Right to Deal webpage](https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements/conveyancing-process-for-professionals/verification-of-right-to-deal) | | | | | **Mark** if applicable |
| --- | --- | --- | --- | --- | --- |
| - | Written details of the steps (including the timing of the steps) taken to verify the right to deal of the Client(s) | | | |  |
| - | Where applicable, evidence that the Client Details match the details contained in the Titles Register and / or the Registry Instruments and other Documents lodged | | | |  |
| - | A written description of the reasonable steps taken, and why they were reasonable, including: | | | |  |
|  |  | | Verification that the Client is a legal person | |  |
|  |  | | Linking the Client to the estate or interest in land | |  |
|  |  | | Linking the Client to the conveyancing transaction | |  |
|  |  | | Verifying the Client’s capacity and authority to participate in the conveyancing transaction | |  |
|  |  | | Timing of Verification of Right to Deal | |  |
|  |  | | The documents and evidence relied upon | |  |
| - | Supporting evidence of the steps taken to assist in establishing right to deal, including but not limited to: | | | |  |
|  | * Current land tax assessment notice * Current local government rates notice * Current utility bills for the property * Loan documentation * Contract of sale * Mortgage granted * Power of Attorney details | | | * ASIC searches * Bankruptcy searches * Any further enquiries made in relation to verifying right to deal * Mortgagee’s consent (if necessary) * Caveator’s consent (if necessary) * Any other evidence supporting the Registry Instrument or other Document |  |
| - | Evidence that the Person undertaking Verification of Right to Deal on behalf of the Subscriber is authorised to do so | | | |  |
| **For a mortgage or an amendment or variation of mortgage – for the verification of identity of each mortgagor or mortgagor’s agent, either:** | | | | | |
| **EITHER** | | | | |  |
|  | - | Written details of the steps (including the timing of the steps) taken to verify the right to deal of the mortgagor(s), including: | | |  |
|  |  | | Verification that the Client is a legal person | |  |
|  |  | | Linking the Client to the estate or interest in land | |  |
|  |  | | Linking the Client to the conveyancing transaction | |  |
|  |  | | Verifying the Client’s capacity and authority to participate in the conveyancing transaction | |  |
|  |  | | Timing of Verification of Right to Deal | |  |
|  |  | | The documents and evidence relied upon | |  |
|  | - | Supporting evidence of the steps taken provided to assist in establishing right to deal, including but not limited to:  • Loan documentation  • Contract of sale  • Bankruptcy searches  • Any other evidence supporting the Registry Instrument or other Document | | |  |
|  | - | Evidence that the Person undertaking Verification of Right to Deal on behalf of the Subscriber is authorised to do so | | |  |
| **OR** | | | | |  |
|  | - | Where a Subscriber represents a mortgagee and was reasonably satisfied that the mortgagee has taken steps to verify the right to deal of the mortgagor(s) – written details of the basis on which the Subscriber was reasonably satisfied | | |  |
|  | - | Any supporting evidence of the steps taken provided to assist in establishing right to deal | | |  |
|  | - | Evidence that the Person undertaking Verification of Right to Deal on behalf of the Subscriber is authorised to do so | | |  |
| List the Documents and evidence relied upon for the purposes of undertaking Verification of Right to Deal:  -  -  -  -  -  - | | | | | |

| **Supporting Evidence** – refer to [Retention of Evidence webpage](https://nre.tas.gov.au/land-tasmania/land-titles-office/lodgment-requirements/conveyancing-process-for-professionals/retention-of-evidence) | | | **Mark** if applicable |
| --- | --- | --- | --- |
| - | Copies of all other supporting evidence provided, including: | |  |
|  |  | If applicable, a copy of any mortgage granted by the mortgagor |  |
|  |  | Any additional evidence required by the Recorder’s Directions, or other Prescribed Requirements |  |
|  |  | If applicable, any additional evidence supporting a Registry Instrument (or other Document) requirement as required by legislation |  |

I certify that the Documents and / or information provided in accordance with this Record of Compliance are to the Subscriber's knowledge, information and belief correct, complete and not false or misleading.

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| Name: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Role: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Subscriber Name: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Signature: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| Date: | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |