

# Reference Checking Arrangements

1 October 2021 (Version 1)

## Overview

This policy explains how you can contact us for reference checking and information sharing purposes where you are a recruiting licensee seeking to employ a current or previous representative of Halpin Wealth Partners Pty Ltd as a prospective financial adviser.

The purpose of this policy is to set out the process we must follow to ensure we are complying with our obligations as per the *Reference checking and information sharing protocol* set out in [ASIC Corporations and Credit \(Reference Checking and Information Sharing Protocol\) Instrument 2021/429](#) (ASIC protocol).

## How to request a reference?

In order to assist with your request, you (“the recruiting licensee”) must provide us (“the referee licensee”) the following documents:

- A valid written consent (Schedule 1 - Template Consent Form) from the prospective representative to request a reference from us in our capacity as “the referee licensee”.
- Schedule 2 - Template Reference Request

You can lodge your request by sending the above documents to us via the following methods:

|                  |   |
|------------------|---|
| ✉ <b>Email</b>   | Attention: Compliance Manager<br><a href="mailto:advice@halpinwealth.com.au">advice@halpinwealth.com.au</a> |
| ✉ <b>Writing</b> | Compliance Manager<br>Halpin Wealth Partners Pty Ltd<br>GPO Box 2005<br>Adelaide SA 5001                    |

## How we will deal with your request

### *Acknowledgement*

We will acknowledge receipt of your request, and

- complete it (and any subsequent clarification or update request) and provide to you within 10 business days beginning on the day after we receive the request from you; or
- within such longer period as agreed between you (the recruiting licensee) and us (referee licensee), provided the period is no longer than 30 business days beginning on the day after receiving your request.

### *Limitation*

We are not required to give information in relation to conduct of the prospective representative that occurred more than 5 years before the reference is given to the recruiting licensee.

We must not give a reference (including a clarification of, or update to, a reference) about a prospective representative to where you have given a notice to us stating that the prospective representative has withdrawn their consent or that the consent has ceased.