



INSTITUTE OF MERCANTILE AGENTS

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APPROVED SECURITY INDUSTRY ASSOCIATION SERVICE (ASIAS) [QUEENSLAND]

The Institute of Mercantile Agents Limited (IMA) has approval from the Queensland Office of Fair Trading (OFT) to provide a service as an Approved Security Industry Association to current financial members licensed as a Security Firm pursuant to the Queensland Security Providers Act, 1993 (the Act) and the Security Providers Regulation 2008 (the Regulation).

The Application Kit required for the provision by IMA of its Approved Security Industry Association Service (ASIAS) to a prospective member comprises of the following documents:

1. **ASIAS Application** form including **Consent to Audit**
2. **Authority to IMA to engage Independent Accountant to attend and conduct Audit**
3. **Code of Conduct for Security Firms**

Completed **ASIAS Application** and **Authority to IMA** must be accompanied by a completed **Membership Application** (available at www.imal.com.au). The IMA reserves the right to request further information if required.

The current annual fee payable by a member for subscribing to the IMA to provide ASIAS in addition to annual membership fees is:

Service	Fee	GST	Total Payable
Approved Security Industry Association Service (ASIAS)	\$300.00	\$30.00	\$330.00
Please note all payments by credit card will incur a 2.0% surcharge.			

Payment must accompany your initial application and thereafter fees and disbursements for compliance audits shall be invoiced to the member on an annual continuing basis.

All enquiries for subscribing to and the provision of ASIAS should be directed to the IMA's National Office by telephoning (02) 4927 0477 or emailing admin@imal.com.au.

Yours faithfully,
INSTITUTE OF MERCANTILE AGENTS

Alan Harries
EXECUTIVE DIRECTOR



APPLICATION to the Institute of Mercantile Agents Limited (IMA) for continuing provision of services as an “APPROVED SECURITY INDUSTRY ASSOCIATION” pursuant to Security Providers Act 1993 (Act) and Security Providers Regulation 2008 (Regulation)

Full name (entity holding licence as a Security Firm under the Act)

_____ ABN: _____ (the Applicant)

Licence Function: SECURITY FIRM (CLASS 1) Licence No: _____

Principal place of business: _____

IMA membership name: _____

IMA membership contact: _____

Postal address: _____

Telephone: _____ Facsimile: _____

Mobile: _____ Email: _____

Name of Applicant's external accounting firm: _____

(The IMA requires this as it is obliged under the Regulation to appoint an independent accounting firm to attend to Applicant's onsite audit)

Name of previous Approved Security Industry Association (if applicable): _____

Date of last satisfactory compliance audit: _____ (Attach a copy of such audit report)

The Applicant hereby:

1. Appoints the IMA to provide the Applicant with services as an Approved Security Industry Association pursuant to the Act and Regulation (the Services) **on a continuing basis** until the Applicant notifies the IMA in writing to cease providing the Services.
2. Acknowledges the IMA shall only provide the Services whilst the Applicant remains a financial member of the IMA.
3. Acknowledges and agrees the IMA shall charge the Applicant an annual fee for the provision of the Services in addition to the annual IMA membership fees payable by the Applicant.
4. Acknowledges and agrees to reimburse the IMA for it's out of pocket disbursement to an independent accounting firm to attend and undertake a tri-annual onsite compliance audit at the Applicant's Principal Place of Business.
5. Agrees to be bound by the IMA's Code of Conduct and Code of Ethics and Code of Conduct for Security Firms and acknowledges copies of the Codes are available to the Applicant on the IMA website, www.imal.com.au.

NATIONAL OFFICE

Ph: 02 4927 0477

Fax: 02 4927 0677

Email: admin@imal.com.au

www.imal.com.au

PO BOX 233

WARATAH

NSW 2298

ABN 94 000 514 483

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APPLICATION to the Institute of Mercantile Agents Limited (IMA) for continuing provision of services as an "APPROVED SECURITY INDUSTRY ASSOCIATION" pursuant to Security Providers Act 1993 (Act) and Security Providers Regulation 2008 (Regulation)

APPLICATION made for and on behalf of:

Name of entity _____

SIGNED BY: Name of person signing _____

Capacity of Signatory _____

Signature X _____

Dated / /

COPY OF SECURITY LICENCE:

A copy of the Applicant's current licence is attached.

OR

A copy of the Applicant's licence will be provided once it is issued.

PAYMENT DETAILS FOR INITIAL FEE:

- Direct deposit of \$_____ (incl GST) has been made to:
 Institute of Mercantile Agents Limited
 BSB No: 650 000
 Account No: 966 508 400

OR Please debit my MASTERCARD VISA

in the amount of \$_____ (incl GST and 2% credit card payment surcharge)

Card Number _____ Name of Cardholder _____

Expiry Date ____/____ Security Code _____

Signature _____

Fees raised for subsequent years and also for the recovery of disbursements made by the IMA in relation to the appointment of an independent accountant to undertake compliance audits in accordance with the Regulation for the Applicant shall be billed to the Applicant's account with the IMA.

APPLICATION to the Institute of Mercantile Agents Limited (IMA) for continuing provision of services as an “APPROVED SECURITY INDUSTRY ASSOCIATION” pursuant to Security Providers Act 1993 (Act) and Security Providers Regulation 2008 (Regulation)

CONSENT TO AUDIT

Full name (entity holding licence as a Security Firm under the Act)

_____ ABN: _____ (the Applicant)

Licence Function: SECURITY FIRM (CLASS 1) Licence No: _____

Principal place of business: _____

In respect to the Institute of Mercantile Agents Limited (IMA) agreeing to provide to the Applicant services as an Approved Security Industry Association pursuant to the Act and Regulation (the Services) on a continuing basis, the Applicant hereby irrevocably undertakes to permit the independent accountant as appointed by the IMA from time to time to attend the Applicant’s business premises for the purpose of conducting compliance audits as and when provided for under the Regulation to assess the Applicant’s compliance to the IMA’s code of conduct relevant to the functions carried out by the Applicant as a security provider.

CONSENT given for and on behalf of:

Name of entity _____

SIGNED BY: Name of person signing _____

Capacity of Signatory _____

Signature X _____

Dated / /

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AUTHORITY to the Institute of Mercantile Agents Limited (IMA) to engage Independent Accountant to attend and conduct Audit as part of its continuing provision of services as an "APPROVED SECURITY INDUSTRY ASSOCIATION" pursuant to Security Providers Act 1993 (Act) and Security Providers Regulation 2008 (Regulation)

Full name (entity holding licence as a Security Firm under the Act)

_____ ABN: _____ (the Applicant)

Licence Function: SECURITY FIRM (CLASS 1) Licence No: _____

Principal place of business: _____

In respect to the Institute of Mercantile Agents Limited (IMA) agreeing to provide to the Applicant services as an Approved Security Industry Association pursuant to the Act and Regulation (the Services) on a continuing basis, the Applicant hereby authorises the IMA to do all things necessary for attending to the conducting of compliance audits as and when provided for under the Regulation to assess the Applicant's compliance to the IMA's code of conduct relevant to the functions carried out by the Applicant as a security provider, including but not necessarily limited to:

1. Engagement of an independent accountant in accordance with the Regulation to attend the Applicant's business premises to conduct a compliance audit;
2. Payment of the fees of the independent accountant for such compliance audit(s) in relation to the Applicant's business;
3. Recovery from the Applicant of the disbursements made by way of payment of fees to the independent accountant for the compliance audit(s); and
4. Reporting the outcome of the compliance audit(s) in accordance with the Regulation.

AUTHORITY given for and on behalf of:

Name of entity _____

SIGNED BY: Name of person signing _____

Capacity of Signatory _____

Signature X _____

Dated / /

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Code of Conduct for Security Firms

1. The member as a condition of membership of the Institute of Mercantile Agents (IMA) agrees to be bound by the IMA's By-Laws, Code of Conduct and Code of Ethics in force from time to time. This *Code of Conduct for Security Firms* is provided for under IMA By-Law 2011.23.1 and imposes obligations upon the member in addition to the IMA's Code of Conduct and Code of Ethics.
2. This Code of Conduct for Security Firms only applies to those members nominating the IMA from time to time to act as Approved Security Industry Association for "security firm" licences held pursuant to the Queensland Security Providers Act, 1993 (the Act) and the Queensland Security Providers Regulation 2008 (Regulation).
3. The member shall ensure the member's firm, employees and contractors shall comply with applicable State and Federal legislation, in particular the Act and Regulation.
4. The member shall ensure the member's firm acts with integrity in its dealings with its clients, suppliers, competitors, regulatory authorities and the general public, and in particular will not engage in false, misleading or deceptive conduct or otherwise bring the security industry into disrepute.
5. The member shall ensure its employees and its contractors are provided with a safe work environment, are appropriately supported in the delivery of services on behalf of the firm and are fairly remunerated in accordance with applicable State and Federal legislation.
6. The member shall ensure the member's firm, its employees and contractors deliver security services in a competent and professional manner as well as taking into consideration the public interest in the need to maintain privacy and confidentiality in their dealings.
7. The member shall ensure the member's firm maintains appropriate and accurate records that meet relevant legislative standards and enable regulatory authorities and the IMA to determine its level of compliance.
8. The member shall ensure that the member's firm does not engage in or associate with another firm which engages in unethical, improper or illegal methods to obtain business, including conflicts of interest.
9. The member shall ensure the member's firm engages in industry best practice in the delivery of its services and actively participates in industry related forums designed to raise the standard of service delivery.
10. The member shall ensure the member's firm has in place procedures to deal appropriately and promptly with complaints about the provision of its services and actively engages in the resolution of complaints raised with the IMA through its complaint management policy.
11. The member shall ensure the member's firm proactively raises breaches of this Code of Conduct for Security Firms with the IMA where they come to the attention of the firm.
12. Where a breach of this Code of Conduct for Security Firms by the member is brought to the attention of the IMA, the IMA shall raise this with the member in writing and provide an opportunity to remedy the breach in the first instance before taking appropriate disciplinary action by way of a show cause notice why the membership with the IMA should not be cancelled.