

BUSINESS FOUNDATION / PACK 01

Agency licensing, governance and trust pack

01

What must exist behind the brand before client money, appointments or staff activity begins.

THE FIVE-STAGE CONTROL MAP

A file becomes defensible when each stage has an owner, a current source, an approval and retained evidence.

01 License	02 Appoint	03 Supervise	04 Account	05 Audit
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W AGENT RULE

Draft the operational brief. Use official prescribed forms. Route legal instruments to the licensed professional responsible for them.

PACK 01 / ACTION CHECKLIST

Build the evidence file

Tick only when the document exists, is current, has been approved by the right person and is stored against the matter.

01	Licence file	Licence certificate, legal entity, trading names, ABN/ACN, registered office and public register check.	[]
02	Officer in effective control	Board appointment, position description, delegated authority, supervision calendar and absence coverage.	[]
03	Office and representative register	Employment start/cease notifications, eligibility evidence, classification, training and current contact details.	[]
04	Policies	Professional conduct, conflicts, complaints, gifts/rebates, delegation, advertising approval, privacy and document retention.	[]
05	Trust account opening	Authorised financial institution, account naming, myCAV notification, signatories and segregation from general money.	[]
06	Trust controls	Receipts, deposits, ledgers, payment authority, monthly reconciliation, electronic transfer approval and backup records.	[]
07	Annual audit	Qualified auditor engagement, year-end close, audit evidence, lodgement and any variation request before the deadline.	[]
08	Insurance register	Professional indemnity, public liability, cyber, office contents, motor and workers compensation advice and renewal dates.	[]

PACK 01 / SIGNING BOUNDARY

What W Agent must not blur

These controls are deliberately conservative. They protect the client, the agency and the professional who is responsible for the final instrument.

1	A licence held by one person must not be lent to another business or used to disguise who controls the agency.
2	Trust money is client money. Do not receive it until the account, receipting, reconciliation and audit process is operational.
3	Document the supervision system; a title alone does not demonstrate effective control.

OFFICIAL SOURCES

Open the live source again immediately before use. A saved or printed copy can become stale.

01	CAV estate agent forms https://www.consumer.vic.gov.au/licensing-and-registration/estate-agents/fees-and-forms
02	CAV trust accounts https://www.consumer.vic.gov.au/licensing-and-registration/estate-agents/running-your-business/trust-accounts
03	CAV professional conduct https://www.consumer.vic.gov.au/licensing-and-registration/estate-agents/running-your-business/professional-conduct/professional-conduct-and-obligations

IMPORTANT

This W Agent pack is a general operational checklist, not legal, conveyancing, financial, tax, valuation, planning, building, employment or franchising advice. It is not a prescribed form, authority, contract, disclosure document or government-approved instrument. Laws, forms, facts and transaction risks change. Obtain matter-specific advice and use current official or professionally licensed documents before signing, serving, advertising, receiving trust money or providing a regulated service.